Board of Trustees

MEETING #2 (2022-23) CYCLE 1
BOARD OF TRUSTEES
THURSDAY, SEPTEMBER 29, 2022
2:30 PM
IN PERSON RANKIN FAMILY PAVILION 214 & 215 and/or
REMOTE PARTICIPATION – MS TEAMS

Join on your computer or mobile app
Click here to join the meeting
Or call in (audio only)
(888) 862-4985 ,813368820# Canada (Toll-free)
Phone Conference ID: 813 368 820#

Approx. Time			
2:30	**1.**	**Call to Order and Welcoming Remarks** • Dashboard • Meeting Roadmap	Information
2:35	**2.**	**Declaration of Conflict of Interest**	
	3.	**Approval of the Agenda (including consent items)**	**Approval**
	4.	**Business Arising from the Minutes**	
2:40	**5.**	**Report of the Chair of the Board**	Information
2:55	**6.**	**Report of the President and Vice-Chancellor**	Information
	7.	**Report of the Provost and Vice-President, Academic** *(see President's report)*	Information
3:05	**8.**	**Report of the Vice-President, Research**	Information
	9.	**Reports of Standing Committees**	
3:15	**9.1.**	***Audit Committee***	
	9.1.1	2021-22 Brock University Pension Plan (BUPP) Audited Financial Statements	**DECISION**
3:25	**9.2.**	***Capital Infrastructure Committee***	
3:30	**9.3.**	***Financial Planning and Investment Committee***	
	9.3.1	Finance Policy – Investment Policy	**DECISION**
3:40	**9.4.**	***Human Resources Committee***	
	9.4.1	Approval of Revisions to the Respectful Work and Learning Environment Policy	**DECISION**
3:50	**9.5.**	***University and Community Experience Committee***	
	9.5.1	Performance and Overview Indicator Report	Information
4:00		******BOARD BREAK******	
4:10	**9.6.**	***Governance/Nominating Committee***	
	9.6.1	Designation of Trustee Emeritus/a	**DECISION**
	9.6.2	Appointment of Secretary to the Board	**DECISION**
4:15	**9.7.**	***Direct Reports to the Board***	
	9.7.1	Enrolment Update - IN CAMERA	Information
	9.7.2	Financial Implications of Trimester One 2022-23 Year-End Forecast – IN CAMERA	Information

4:55 **10. Other Business**

5:00 **11. Adjournment**

CONSENT ITEMS

12. Approval of the Minutes of the Previous Meetings and Confidential Record of the In Camera Session

12.1	Minutes of Meeting #6 (2021-22) held on June 23, 2022	Approval
12.2	Minutes of Meeting #1 (Special) 2022-23 held on August 11, 2022	Approval
12.3	Confidential record of Proceedings from the IN CAMERA session of the Meeting #6 held June 23, 2022	Approval
12.4	Confidential record of Proceedings from the IN CAMERA session of the Meeting #1 (Special) held August 11, 2022	Approval

13. Reports of the Actions of the University Senate

13.1	702 Meeting of Senate held September 14, 2022	Information

14. Reports of Standing Committee

14.1 Audit Committee

14.1.1	2022-23 Audit Committee Work Plan	Information
14.1.2	Minutes of Previous Meeting #5 (2021-22) held on June 22, 2022	Information

14.2 Capital Infrastructure Committee

14.2.1	2022-23 Capital Infrastructure Committee Work Plan	Information
14.2.2	Minutes of Previous Meeting #4 (2021-22) held on June 22, 2022	Information

14.3 Financial Planning and Investment Committee

14.3.1	2022-23 Financial Planning and Investment Committee Work Plan	Information
14.3.2	Minutes of Previous Meeting #5 (2021-22) held on June 23, 2022	Information

14.4 Human Resources Committee

14.4.1	2022-23 Human Resources Committee Work Plan	Information
14.4.2	Minutes of Previous Meeting #4 (2021-22) held on June 23, 2022	Information
14.4.3	Minutes of Previous Meeting – (Special) Meeting #1 (2022-23) held on August 16, 2022	Information

14.5 University and Community Experience Committee

14.5.1	2022-23 University Community and Experience Committee Work Plan	Information
14.5.2	Minutes of Previous Meeting #4 (2021-22) held on June 22, 2022	Information

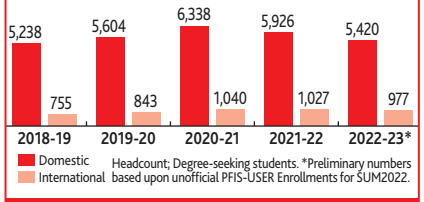
14.6 Governance/Nominating Committee

14.6.1	Governance Review	Information
14.6.2	2022-23 Board Development Plan	Information
14.6.3	Action Plan Arising from Annual Board Survey (IN CAMERA)	Information
14.6.4	2022-23 Governance/Nominating Committee Work Plan	Information
14.6.5	Policy Approvals Update	Information
14.6.6	Minutes of Previous Meeting #4 (2021-22) held on June 22, 2022	Information

CYCLE 1 (2022-23): BROCK UNIVERSITY BOARD DASHBOARD

STUDENTS

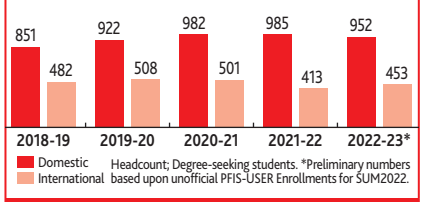
Undergraduate (Domestic & International)



Spring/Summer Enrollment

As at September 15, 2022

Graduate (Domestic & International)

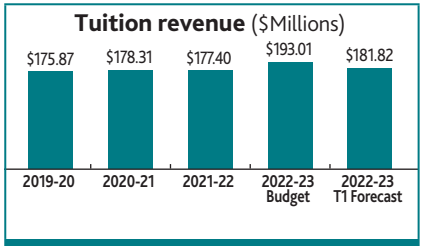


Spring/Summer Enrollment

As at September 15, 2022

FINANCES

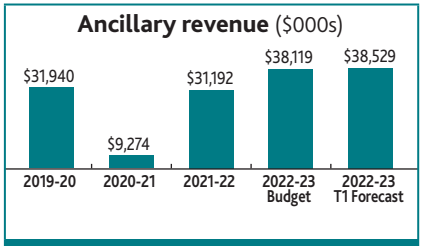
Tuition revenue ($Millions)



Tuition revenue

2022-23 Target: $193.01 million

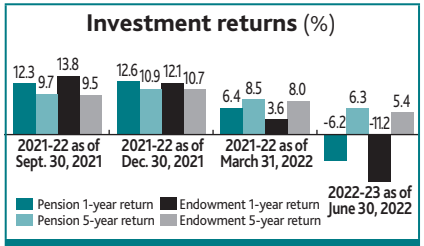
Ancillary revenue ($000s)



Revenue received

2022-23 Target: $38,119

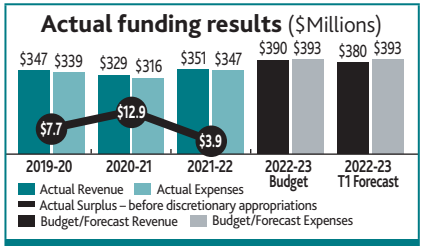
Investment returns (%)



Pension & Endowment funds

Targets: Pension 6%, Endowment 4.4% (spend plus inflation)

Actual funding results ($Millions)

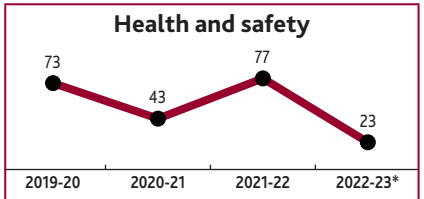


Funding results

Target: Balanced budget or better

OPERATIONS

Health and safety

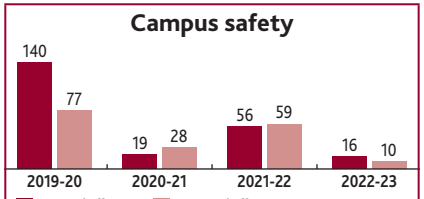


HSW annual metrics from May 1, 2021 to April 30, 2022.
*May 1 to Aug. 10, 2022.

Incidents

As at August 10, 2022

Campus safety

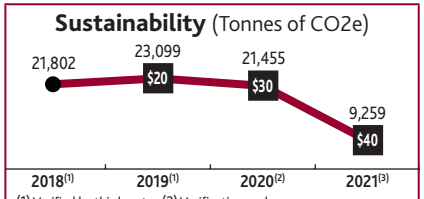


*May 1 to Aug. 31, 2022.

Criminal & Provincial offences

As at August 31, 2022

Sustainability (Tonnes of CO2e)

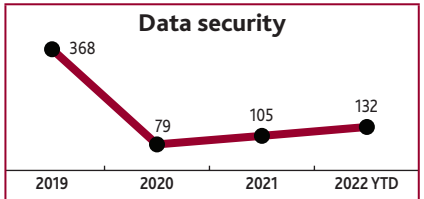


(1) Verified by third party. (2) Verification underway.
(3) Estimate Jan. to May. $ The price of carbon (CAD/Tonne).

Carbon emissions

As at May 18, 2021

Data security

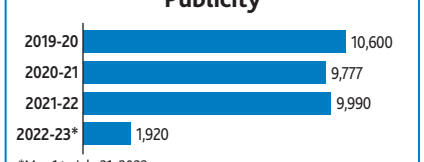


Compromised accounts

As at September 12, 2022

REPUTATION

Publicity



*May 1 to July 31, 2022.
As of July 31, 2022, 18% of goal.
Total number of media hits in Canada and internationally.

Earned media

Target: 10,600 | As at July 31, 2022

Alumni engagement

YTD 2022/23 – 2,544 total Alumni engaged

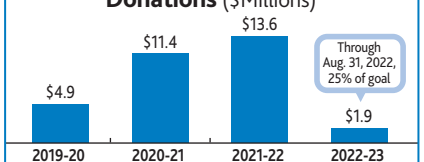
Alumni index – 2.9%*

* [Donors + Volunteers + Mentor + Event Participant + Activity Participant + Engagement Actions]/Contactable Alumni.
New metric; no historical data.

Alumni engagement

Target: 8.6% | As at September 13, 2022

Donations ($Millions)

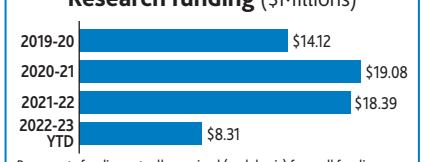


Cash + Pledges + Recurring gifts + Gifts in kind + Stock/Property + Sponsorship + Non receipted revenue + Other.

Paid gifts and pledges

As at August 31, 2022

Research funding ($Millions)



Represents funding actually received (cash basis) from all funding agencies, industry, community organizations and other granting bodies in the Brock fiscal year.

Grants

As at September 15, 2022

Board of Trustees
Cycle 1 Board Meeting Roadmap – September 29, 2022

Executive Summary

Welcome to the first regular meeting of the Board of Trustees for the 2022-23 academic year.

For new trustees, this roadmap provides a high level overview of the items on the Board meeting agenda, to help you navigate the agenda package and highlight key items for you.

As is customary during cycle 1, you will receive the Board's Annual Objectives prepared by the Board Chair and each Board Committee's work plan, including each Committee Chair's objectives, to give you a broad sense of the work being undertaken this year by administration and the Board. You will also receive the annual Performance Indicators report reflecting the University's progress towards its Institutional Strategic Plan. There are also several important decision items to present to the Board for consideration of approval. During the in camera session, the Board will consider confidential Reports related to enrolment and financial implications. Each of the key approval and information items are listed below to help you navigate the agenda.

Decision items

All decision items are subject to recommendation from the Committee designated. Any changes arising from the Committee's deliberations will be reported orally at the Board meeting.

Agenda Item	Committee	Decision Being Sought	Details
9.1.1	Audit	Approval of 2021-22 Brock University Pension Plan Audited Financial Statements	The statements have been prepared by Brock's external auditors, KPMG, and, subject to the review of the Audit Committee, will be presented to the Board for approval.
9.3.1	Financial Planning & Investment	Approval of revisions to the Investment Policy	Minor editorial changes and one major addition to the allowable investments are being proposed to update the Policy.

Agenda Item	Committee	Decision Being Sought	Details
9.4.1	Human Resources	Approval of revisions to the Respectful Work and Learning Environment Policy	Revisions are being proposed to address procedural issues related to investigations, incorporate updates to reflect current definitions and practices, and to transition the document into the university' current policy and procedures template.
9.6.1	Governance/ Nominating	Approval of designation of Trustee Emeritus	In accordance with the Board's Trustee Emeriti procedures, a former trustee is being recommended for designation as a Trustee Emeritus to honour and acknowledge service to the University.

Key Information Items

Agenda Item	Committee	Item	Details
9.5.1	University and Community Experience	Performance and Overview Indicator Report	The Report is presented annually to report on progress made in achieving the objectives set forth in the Institutional Strategic Plan and to provide a framework for shaping and reporting on the activities in the year ahead.
9.7.1	Direct Report	Enrolment Update – IN CAMERA	Confidential report provides an update on enrolment.
9.7.2	Direct Report	Financial Implications of the Enrolment Update – IN CAMERA	Confidential report provides information on financial implications of the enrolment update.

Report of the Chair of the Board of Trustees
September 29, 2022
Mark L. Arthur, Chair

I would like to take this opportunity to welcome new and returning members to the first full meeting of the 2022-23 Brock University Board of Trustees. The time and effort that you dedicate to Brock University and its community is truly appreciated. We are honoured to have the following new members on the Board:

Réjeanne Aimey
Anteneh Ayanso
Faten Darbaj
Jonathan Davey
Nyarayi Kapisavanhu
Kevin Magee
Dan Malleck
Matthew Melnyk
Haley Myatt
Greg Plata
Christine Sawchuk

The academic year is underway, the campus is open, the residences are full, and we are grateful to be returning to a more normal mode of operation for the University. There is a full slate of items for consideration by the Board as we move through the year. The critical issue of enrollment growth, the impact of difficulties relating to international students, the ongoing challenging and changing environment and, therefore, the consequences for the fiscal outlook, are all central matters being considered during the cycle 1 Board Meeting, and decisions will need to be made to address issues.

I would like to thank the Brock community and the management team for the stellar job that the University played in the success of the Canada Summer Games this past August. As a significant portion of the of games was held on campus, and the University served as the Athletes Village by hosting close to 5,000 athletes and coaches, Brock's profile was significantly raised. Well done!

I further wish to acknowledge the dedication and commitment of the members of the Advisory Committee on the Presidency for their approximate 20 months of work. The Committee concluded its efforts during the summer, and we look forward to Dr. Lesley Rigg joining the Brock community on November 1, 2022 as President and Vice- Chancellor. Our deep appreciation is extended to Dr. Lynn Wells for her dedication and commitment in serving as Interim President and Vice-Chancellor while continuing to serve as Provost and Vice-President, Academic.

Each year, I outline a few key objectives for the Board. They are high level and designed to help focus all Trustees on the key priorities of the Board for the current academic year. The priorities for 2022-23 are as follows:

1. Ensure the health, safety and well being of all students, faculty, and staff at Brock University as we deal with a full campus.
2. Maintain the financial stability of Brock University by making those decisions required to deal with the evolving environment through prudent management and investment.
3. Focus management on the execution of our core competencies to have a first-class experience for all stakeholders.
4. Review the status of the Brock University Institutional Strategic Plan at the December cycle of Board meetings with particular focus on our enrolment strategy and discuss with management the appropriate evolution of the plan and the establishment of a timeline.
5. Support the onboarding of the new President and Vice-Chancellor through oversight, dialogue, and education regarding the opportunities and challenges.
6. Undertake a Board governance review to ensure governance processes support the needs of the University and align with best practices.

As well, each Committee Chair has developed key objectives for their respective Committee. The Committee objectives have been included with each Committee's workplan posted in the consent portion of the Board agenda. While the goals and objectives of the President and Vice-Chancellor are also normally presented during the first cycle of Board meetings, due to the start of our new President and Vice-Chancellor on November 1, those partial year objectives will be presented during Board cycle 2 in December.

I very much look forward to working with all Board members this year, and I encourage any Trustee to contact me should you have any questions or concerns regarding Board matters.

Sincerely

Mark L. Arthur, Chair, Brock University Board of Trustees

Office of the Provost and
Vice-President, Academic

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Report to the Board of Trustees of the Provost & Interim President
September 29, 2022

Dear Trustees,

Tomorrow is September 30. Honoured for years as 'Orange Shirt Day', in 2021 September 30 also became the National Day for Truth and Reconciliation, a federal statutory holiday. For the first time this year, classes at Brock will adjourn for the day as we recognize the National Day for Truth and Reconciliation with a non-instructional day. This was a decision reached proudly and solemnly in consultation with our colleagues in the University sector.

A number of events will be taking place on campus today as Brock students, staff, faculty members and librarians honour the children who never return home and survivors of residential schools, as well as their families and communities. Painful though this memory may be, this is a day for us all to listen to survivors and to their stories, and to reflect on our role as Canadians in the pursuit of reconciliation.

I urge you all to find some time tomorrow to reflect, to listen, and participate in the day's activities.

Welcoming new colleagues

As we begin another academic year, let me welcome some new colleagues to the leadership team.

- First, I welcome Professor Rajiv Jhangiani, who joins Brock from British Columbia as the University's new Vice-Provost, Teaching & Learning, with responsibility for experiential education and faculty resourcing through the Centre for Pedagogical Innovation, among other items. Appointed to the Faculty of Education, Rajiv's practice and scholarship focus on open educational practices, student-centred pedagogies and ethical approaches to educational technology.
- Second, allow me to introduce Brad Clarke in his new role as Associate Vice-President, Students, which he began in June following Professor Anna Lathrop's term as Vice-Provost & Associate Vice-President, Students. Brad is a Brock alumnus, a former staff representative on the Board, and long-time staff member in the Students portfolio.
- Finally, join me in welcoming Professor Barry Wright at the Interim Dean of the Goodman School of Business. Barry has been a faculty member in Goodman since 2003, previously serving as Interim Dean from December 2015 to June 2017, as well as Interim Associate Dean. Since May 2020, Barry has been on secondment as CEO of the Niagara 2022 Canada Summer Games. With the Games over – and, I might add, a rousing success – we welcome Barry back to Brock and to GSB.

I trust you'll join me in welcoming Rajiv, Brad and Barry to their new roles.

Update on senior academic searches

As many of you will recall from last year, a number of key academic administrative searches are still underway.

- The Advisory Committee on the Dean, Faculty of Math & Science interviewed three shortlisted candidates in July. I am pleased to announce that Professor Peter Berg will be joining Brock from Augustana College at the University of Alberta as our new Dean of the Faculty of Math and Science in January.
- The search for a permanent Dean of the Goodman School of Business continues, with the advisory committee meeting over the summer to identify a long list of candidates. First-round interviews took place at the end of September, with a second round scheduled for October.
- The Advisory Committee on the Dean, Faculty of Education is in a similar position, with a long list of candidates identified for a first round on interviews.
- The Advisory Committee on the Vice-Provost, Indigenous Engagement has retained two candidates and will be moving directly to on-campus interviews, with on-campus interviews taking place in mid-September.

Finally, two new processes will launched in September to review the Dean of the Faculty of Social Sciences, Professor Ingrid Makus, and Professor Brian Power, the Vice-Provost & Associate Vice-President, Academic. The call for nominations to both committees are currently open, so I would encourage interested students, staff and faculty members to submit their names and engage in the process.

Update on the Academic Plan

Another project that carries over into this academic year is Brock's work to create an Academic Plan that will guide our direction past the end of the current Institutional Strategic Plan in 2025.

The first round of consultation on the Academic Plan was launched in November of last year, with over 400 members of the Brock community contributing their ideas. These responses were used to create a draft plan, which was made available to the University community for further consultation last March and April.

The draft plan:

- Revisits the key mission and values listed in the Institutional Strategic Plan;
- Outlines the purpose of the plan in our current late-pandemic context;
- Describes the method used to generate the draft plan;
- Lists actions under four thematic priority areas, including:
    - High-quality and meaningful education experience
    - Accessible, flexible and customizable
    - Supportive and student-centred
    - Equitable, diverse and inclusive
    - Future-oriented

After discussion with the Chair of PPBAC over the summer, we agreed on a consultation pathway to move towards finalizing the Academic Plan early in the new year. Consultation with Senate committees will take place in October, before the document comes to Senate for consultation in November. Dr. Jhangiani will play a leading role in this final round of consultation. We look forward to further discussion.

Scarborough Charter planning

At its August retreat, Senior Administrative Council members participated in a dialogue, led by our colleagues Professor Dolana Mogadime and Trecia McLennon, around the implementation of the Charter at Brock. Deans and other leaders will be engaging with

Senators and other members of the academic community in the months to come about ways in which we can bring the Charter's principles and vision to life on our campus.

Appreciation

As this will be my final Board meeting as Interim President, I want to thank Trustees for their support over the past year. I look forward to continuing to work with the Board in my role as Provost and Vice-President Academic.

Sincerely,

Lynn Wells
Interim President and Vice-Chancellor
Provost and Vice-President, Academic

Office of the Vice-President Research

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September 14, 2022

Report to the Board of Trustees
September 29, 2022

Dear Colleagues,

Welcome back to another Fall term, after what was, I hope, an enjoyable and refreshing summer. A special welcome to new members of the Board! I look forward to the opportunities the next months will bring.

Over the summer, I was honoured to accept re-appointment as Vice-President, Research. Researchers at Brock and the excellent team of staff colleagues who support them have done remarkable things in recent years; it has been a pleasure to witness this shared success. In keeping with Brock University's Institutional Strategic Plan, I look forward to continuing to support researchers, the staff team in the research enterprise, my colleagues in Brock's senior administration, including our incoming President Dr. Rigg, and the many communities with whom Brock Research partners.

Moreover, as of August 2022, I now serve as Vice-Chair of the Ontario Council for University Research, the VPRs' arm of the Council of Ontario Universities; and continue on the Executive of the Alliance of Canadian Comprehensive Research Universities. In each of these roles I will continue to represent Brock University and its research enterprise to the best of my abilities.

Below are some items that took place since the Board last met, as well as some items that will be addressed in the coming months.

Canada Summer Games
The Canada Games took place over two weeks in August. This was the focus of 30 Brock University research projects funded through the VPR Canada Games Research Grant program (though it was by no means the end of those projects, many of which continue to run). These projects to date have involved 28 PI researchers, 40 external partners, 82 student participants, and have generated at least 13 exhibitions or performances, 4 articles or books, 8 conference presentations, a video production, and one new product. These activities and outcomes are expected to grow in the months to come.

These research projects were promoted and celebrated on campus, in the Rankin Family Pavilion, and at most major off-campus venues throughout the Games by a team working under the supervision of Dr. Julie Stevens, Special Advisor to the President on the Canada Summer Games. They ran tents and kiosks, with demonstrations, presentations, and excellent outreach materials describing Brock research for the many thousands of audience

members and participants attending the Games. Thanks and congratulations to Dr. Stevens and her team for this great work in support of Brock researchers.

Commercialization Mandate Policy Framework
The Province of Ontario's Commercialization Mandate Policy Framework process (included as an Appendix to this report) continues at Brock. In April, following consultation with campus stakeholders, the Office of Research Services posted a Commercialization Mandate Statement. This step is to be followed by the introduction of a Commercialization Mandate Policy by the provincially-mandated date of December 15, 2022. My intention is for a draft policy to be available to RSPC for feedback in November.

Brock LINC: Women in Entrepreneurship
In July and August 2022, the Brock LINC facilitated conversations with women entrepreneurs in Niagara, representing various stages of entrepreneurship, and a diverse cross-section of businesses. These conversations focused on understanding challenges that women entrepreneurs have faced early in their journeys and uncovering desires for future supports. The resulting feedback and networking will inform LINC programming in support of women entrepreneurs in the coming year and subsequently.

Research Management System
A digital research management system, sourced through eVision, will receive a soft launch in September for the central research enterprise at Brock. This system will support paperless operation and enable the integration of file handling across grant management, research accounting, research ethics, and animal care services. It will also enable better tracking of internal research data and metrics.

Innovate Niagara Partnership
Brock University renewed its annual agreement with Innovate Niagara, the Regional Innovation Centre incorporated under OCI, the Ontario Centre of Innovation. Brock University is a founding partner of Innovate Niagara, and collaborates with it, and with other RICs, on matters of entrepreneurship, community partnership, commercialization, and applied research and innovation. Brock's VPR serves as a member of the Innovate Niagara Board.

Advisory Committee, Re/Appointment of the Associate Vice-President, Research
An advisory committee for the appointment or re-appointment of the Associate Vice-President, Research has now been struck. Committee members and a call for campus feedback on the re/appointment process will be announced soon.

Program information sessions
The summer saw a range of research consultations and support sessions organized by staff in the Office of Research Services, including Eric Bergeron of SSHRC in August, and Tom Mikkelsen, President and Scientific Director, and Kirk Nylen, Deputy Scientific Director, both of the Ontario Brain Institute, in July.

NSERC successes
Over the summer, NSERC announcements confirmed the very welcome news that Brock researchers were awarded over $3m in grant funding from the agency. More than two dozen researchers from three different Faculties were funded through the Discovery Grant, Discovery Development Grant, Research Tools and Instruments, and Launch Supplement programs.

Indigenous Research Grants
I am delighted to report also that the second round of the Brock University Indigenous Research Grant program was adjudicated in June. Grant holders and projects in the current round are:

- Maureen Connolly, Professor of Kinesiology, Faculty of Applied Health Sciences, "Decolonizing experiential learning on the Brock University campus: A case study"
- Liam Midzain-Gobin, Assistant Professor of Political Science, Faculty of Social Sciences, "Indigenous Affordable Housing in Niagara"
- Constance Schumacher, Assistant Professor of Nursing, Faculty of Applied Health Sciences, "Defining a Good Life: Community Partnerships and interRAI Data"
- Kevin Turner, Associate Professor of Geography and Tourism Studies, Faculty of Social Sciences, "The sky is the limit for community monitoring of climate change impacts in Old Crow, Yukon"

Building Better Research 2022-23
The Building Better Research series, programmed jointly by the Library and by ORS, is slated to have 21 presentations in 2022-23, its highest number yet. This outstanding series promotes research education, knowledge-sharing, and skills development. This year the series will include multiple sessions on Indigenous-themed research, along with formal OCAP training for participants. OCAP stands for ownership, control, access, and possession: key elements of the authority that First Nations communities are entitled to exercise over research data and data collection processes relating to themselves. For more information about BBR, contact Nicole Nolan, Acting University Librarian, or Jayne Morrish, Knowledge Mobilization Officer in the Office of Research Services.

Research EDI colleague joins the research enterprise
I am pleased to welcome Syna Thakur to the Office of the VPR. She joins as the Equity, Diversity and Inclusion In Research Advisor, supporting the understanding of EDI across the research enterprise, Brock's CRC EDI Action plan processes, and facilitating the development of increasingly significant EDI components of grant applications.

T. Kenyon, Vice-President, Research

Board of Trustees

Joint Report to the Audit Committee and Financial Planning and Investment Committee

RECOMMENDATION ITEM / INFORMATION ITEM

TOPIC: 2021-22 Brock University Pension Plan (BUPP) Audited Financial Statements

September 28 & 29, 2022

Josh Tonnos, Chief Financial Officer and Associate Vice-President, Financial Services
Lisa Price, Director, Financial Accounting and Controller, Financial Services
Wanda Fast, Director, HR Administration, Human Resources

MOTION

THAT the Audit Committee recommend to the Board of Trustees that the audited financial statements of the Brock University Pension Plan for the year ended June 30, 2022 (Appendix 1) be approved.

EXECUTIVE SUMMARY

1. Rationale

- This report is intended to satisfy section 3.1 "Financial Reporting and Disclosure" of the Audit Committee Charter.

2. Key Background

- The audited financial statements of the Brock University Pension Plan for the year ended June 30, 2022 are to be filed by December 31, 2022 for use by the Financial Services Regulatory Authority of Ontario in compliance with Section 76 of the regulations to the Pension Benefit Act (Ontario).
- The financial statements are also shared as an information item with the Financial Planning and Investment Committee and the Pension Committee.
- For new members of the Committee looking for additional background on the Pension Plan, the 2020-21 Pension Annual Report is linked as appendix 4 to provide more in-depth background on the Plan.

3. Implications

- Approval of the financial statements of the Brock University Pension Plan for the year ended June 30, 2022 is the responsibility of the Board of Trustees upon receiving a recommendation from the Audit Committee. To assist the Audit Committee and the Board of Trustees in this process, analytical comments are included on Appendix #2 that summarize salient information about the Pension Plan for the previous fiscal year.

- These financial statements present the assets of the Pension Plan and do not report the liabilities of the pension plan. A full valuation of the assets against the liabilities of the pension plan is prepared on a triannual basis by the plan actuary Mercer.
- No audit differences or control deficiencies were identified by the external auditors.
- Note to Financial Statements 1 (e) Fair value measurement was revised in consultation with the past Chair of the Audit Committee and KPMG following feedback at last year's cycle 1 Audit Committee meeting. The note has removed information on fair value measurement that is not relevant to the Brock University Pension Plan and is now more concise and relevant. The track changes to this note are provided in Appendix 3.

4. Next Steps

- There are no next steps.

5. Background Materials

Appendix 1 – Brock University Pension Plan – June 30, 2022 (21 pages)
Appendix 2 – Analytical Comments (5 pages)
Appendix 3 – Note 1 (e) Fair value measurement track changes (1 page)
Appendix 4 – 2020-21 Pension Annual Report (brocku.ca) (24 pages)

Fund Financial Statements of

BROCK UNIVERSITY PENSION PLAN

(REGISTRATION NUMBER 327767)

And Independent Auditors' Report thereon

Year ended June 30, 2022

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INDEPENDENT AUDITORS' REPORT

To the Administrator of the Brock University Pension Plan

Opinion

We have audited the fund financial statements of Brock University Pension Plan (the Plan), which comprise:

- the statement of net assets available for benefits as at June 30, 2022
- the statement of changes in net assets available for benefits for the year then ended
- and notes to the fund financial statements, including a summary of significant accounting policies

(Hereinafter referred to as the "financial statements").

In our opinion, the accompanying financial statements present fairly, in all material respects, the net assets available for benefits of the Plan as at June 30, 2022, and its changes in net assets available for benefits for the year then ended in accordance with the financial reporting provisions of Section 76 of Regulation 909 of the Pension Benefits Act (Ontario).

Basis for Opinion

We conducted our audit in accordance with Canadian generally accepted auditing standards. Our responsibilities under those standards are further described in the ***"Auditors' Responsibilities for the Audit of the Financial Statements"*** section of our auditors' report.

We are independent of the Plan in accordance with the ethical requirements that are relevant to our audit of the financial statements in Canada and we have fulfilled our other ethical responsibilities in accordance with these requirements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

Emphasis of Matter - Financial Reporting Framework

We draw attention to Note 1(a) in the financial statements, which describes the applicable financial reporting framework and the purpose of the financial statements.

As a result, the financial statements may not be suitable for another purpose.

Our opinion is not modified in respect of this matter.

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Responsibilities of Management and Those Charged with Governance for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with the financial reporting provisions of Section 76 of Regulation 909 of the Pension Benefits Act (Ontario) and for such internal control as management determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, management is responsible for assessing the Plan's ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless management either intends to liquidate the Plan or to cease operations, or has no realistic alternative but to do so.

Those charged with governance are responsible for overseeing the Plan's financial reporting process.

Auditors' Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditors' report that includes our opinion.

Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with Canadian generally accepted auditing standards will always detect a material misstatement when it exists.

Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of the financial statements.

As part of an audit in accordance with Canadian generally accepted auditing standards, we exercise professional judgment and maintain professional skepticism throughout the audit.

We also:

- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion.

  The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.

- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control.

- Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by management.

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- Conclude on the appropriateness of management's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Plan's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditors' report to the related disclosures in the financial statements or, if such disclosures are inadequate, to modify our opinion. Our conclusions are based on the audit evidence obtained up to the date of our auditors' report. However, future events or conditions may cause the Plan to cease to continue as a going concern.
- Evaluate the overall presentation, structure and content of the financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation.
- Communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that we identify during our audit.

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Chartered Professional Accountants, Licensed Public Accountants

Vaughan, Canada

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BROCK UNIVERSITY PENSION PLAN

(REGISTRATION NUMBER 327767)

Statement of Net Assets Available for Benefits

June 30, 2022, with comparative information for 2021

	2022	2021
Assets		
Contributions receivable:		
Employer	$ 1,203,592	$ 1,151,110
Employee	673,043	645,755
	1,876,635	1,796,865
Investments (note 2)	595,545,803	652,558,875
Total assets	597,422,438	654,355,740
Liabilities		
Accrued liabilities (note 4)	678,895	738,077
Net assets available for benefits	$ 596,743,543	$ 653,617,663

See accompanying notes to fund financial statements.

On behalf of the Board of Trustees:

Lynn Wells
President and Vice-Chancellor

Mark Arthur
Chair, Board of Trustees

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BROCK UNIVERSITY PENSION PLAN

(REGISTRATION NUMBER 327767)

Statement of Changes in Net Assets Available for Benefits

Year ended June 30, 2022, with comparative information for 2021

	2022	2021
Increase in net assets available for benefits:		
Investment income (note 5)	$ 13,467,251	$ 11,378,166
Change in net unrealized gain in investments	-	47,198,149
Net realized gain on sale of investments	21,442,329	20,942,990
Transfers from other pension plans	146,200	259,299
	35,055,780	79,778,604
Contributions (note 6):		
Employer	16,082,984	15,857,176
Employee	8,119,984	7,884,535
	24,202,968	23,741,711
	59,258,748	103,520,315
Decrease in net assets available for benefits:		
Benefit payments (note 7)	38,259,621	38,794,587
Administrative expenses and professional fees (note 8)	5,274,237	5,059,614
Change in net unrealized loss in investments	69,085,033	-
Change in fair value of forward foreign currency contracts	3,513,977	1,272,448
	116,132,868	45,126,649
Increase in net assets available for benefits	(56,874,120)	58,393,666
Net assets available for benefits, beginning of year	653,617,663	595,223,997
Net assets available for benefits, end of year	$ 596,743,543	$ 653,617,663

See accompanying notes to fund financial statements.

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BROCK UNIVERSITY PENSION PLAN

(REGISTRATION NUMBER 327767)

Notes to Financial Statements

Year ended June 30, 2022

The Brock University Pension Plan (the "Plan") is a registered pension plan in the Province of Ontario under registration number 327767. The Plan is a hybrid defined benefit money purchase pension plan, which contains both a defined contribution component and a defined benefit component. The defined contribution component of the plan is funded by Brock University (the "University") and member contributions and provides a benefit to members based on their accumulated account. The defined benefit component of the Plan is funded by University contributions and provides for a guaranteed minimum benefit. The Plan provides pension benefits to substantially all permanent employees of the University.

1. Significant accounting policies:

(a) Basis of presentation:

As permitted by the Financial Services Regulatory Authority of Ontario ("FSRA"), the Plan may prepare financial statements in accordance with Canadian accounting standards for pension plans as outlined in the Chartered Professional Accountants Canada ("CPA Canada") Handbook, Section 4600, excluding pension obligations and any resulting surplus or deficit.

The Plan has prepared financial statements in accordance with Section 4600 excluding pension obligations and any resulting surplus or deficit.

In selecting or changing accounting policies that do not relate to its investment portfolio or pension obligations, Section 4600 requires the Plan comply (on a consistent basis) with either International Financial Reporting Standards ("IFRS") in Part 1 of the CPA Canada Handbook - Accounting or Canadian accounting standards for private enterprises in Part II of the CPA Canada Handbook - Accounting. The Plan has chosen to comply on a consistent basis with IFRS.

These financial statements are prepared in accordance with the financial reporting provisions of Section 76 of Regulation 909 of the Pension benefits Act (Ontario). The purpose of these financial statements is to assist the Pension Committee in meeting the requirements of the FSRA under Section 76 of Regulation 909 of the Pension Benefits Act (Ontario). As a result, these fund financial statements may not be suitable for another purpose.

The financial statements of the Plan do not purport to show the adequacy of the Plan's assets to meet its pension obligation. Such an assessment requires additional information, such as the Plan's actuarial reports and information about the University's financial health.

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1. Significant accounting policies (continued):

(b) Basis of measurement:

The financial statements have been prepared on the historical cost basis except for financial instruments which are measured at fair value through the statement of changes in net assets available for benefits.

(c) Functional and presentation currency:

These financial statements are presented in Canadian dollars, which is the Plan's functional currency.

(d) Financial assets and financial liabilities:

(i) Non-derivative financial assets:

Financial assets are recognized initially on the trade date, which is the date that the Plan becomes a party to the contractual provisions of the instrument. Upon initial recognition, attributable transaction costs are recognized in the statement of changes in net assets available for benefits as incurred.

The Plan measures all of its investments at fair value through the statement of changes in net assets available for benefits. All other non-derivative financial assets including contributions receivable are measured at amortized cost.

The Plan derecognizes a financial asset when the contractual rights to the cash flows from the asset expire, or it transfers the rights to receive the contractual cash flows in a transaction in which substantially all the risks and rewards of ownership of the financial asset are transferred or in which the Plan neither transfers nor retains substantially all the risks and rewards of ownership and does not retain control of the financial asset.

On derecognition of a financial asset, the difference between the carrying amount of the asset and consideration received is recognized in the statement of changes in net assets available for benefits as a net realized gain or loss on sale of investments.

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1. Significant accounting policies (continued):

(ii) Non-derivative liabilities:

All financial liabilities are recognized on the trade date at which the Plan becomes a party to the contractual provisions of the instrument.

The Plan derecognizes a financial liability when its contractual obligations are discharged, cancelled or expired.

The Plan considers its accrued liabilities to be a non-derivative financial liability.

(iii) Derivative financial instruments:

Derivative financial instruments are recognized initially at fair value and attributable transaction costs are recognized in the statement of changes in net assets available for benefits as incurred. Subsequent to initial recognition, derivatives are measured at fair value, and all changes are recognized immediately in the statement of changes in net assets available for benefits.

Financial assets and liabilities are offset and the net amount presented in the statement of net assets available for benefits, when, and only when, the Plan has a legal right to offset the amounts and it intends either to settle on a net basis or to realize the asset and settle the liability simultaneously.

(e) Fair value measurement:

In determining fair value, the Plan follows the guidance in IFRS 13, Fair Value Measurement ("IFRS 13"), in Part I of the CPA Canada Handbook - Accounting.

All changes in fair value, other than investment income and expense, are recognized in the statement of changes in net assets available for benefits as part of the change in net unrealized gains in investments.

The investments are stated at fair value.

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1. Significant accounting policies (continued):

The Plan is invested in pooled fund investments as disclosed in note 2. Pooled fund investments are valued at the unit values supplied by the investment manager, which represent the Plan's proportionate share of underlying net assets at fair values determined using closing market prices.

(f) 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.

(g) Investment income:

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

(h) 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 the year end rate of exchange. Gains and losses arising from translations are included in the change in net unrealized gains on investments.

Foreign currency denominated transactions are translated into Canadian dollars at the rate of exchange on the date of the related transaction. Cost of investments, as disclosed in note 2, are translated into Canadian dollars at the rate of exchange on the date of purchase.

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1. Significant accounting policies (continued):

(i) Forward foreign currency contracts:

The Plan entered into forward foreign currency contracts (the "contracts") to hedge approximately one half of the currency exposure of foreign equity investments. The fair value of the contracts is based on amounts quoted by the Plan's investment manager to realize favourable contracts or settle unfavourable contracts, taking into account current foreign exchange rates. The net unrealized gain on contracts is included in the current period change in fair value of forward foreign currency contracts and recognized in the statement of changes in net assets available for benefit. When the contracts are closed out the net gain or loss is reflected in the net realized gain or loss on sale of investments.

(j) Income taxes:

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

(k) Use of estimates:

The preparation of the financial statements requires management to make judgments, estimates and assumptions that affect the application of accounting policies and the reported amounts of assets and liabilities at the date of the statement of net assets available for benefits and the reported amounts of changes in net assets available for benefits during the year. Actual results may differ from these estimates.

Estimates and underlying assumptions are reviewed on an ongoing basis. Revisions to accounting estimates are recognized in the period in which the estimates are revised and in any future years affected.

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2. Investments:

The following is a summary of investments, including all individual investments with a cost or fair value in excess of 1% of the cost or market value of the total Plan, as required by the Pension Benefits Act (Ontario):

	2022		2021	
	Cost	Fair value	Cost	Fair value
Equity funds:				
Walter Scott and Partners Canadian Institutional Trust Global Equity Fund	$ 97,098,048	$ 120,231,581	$ 92,575,714	$ 137,114,801
Mawer Global Equity Fund Class O	102,844,109	127,031,618	107,699,324	151,757,958
Pier 21 World Wide Equity Pool	47,852,430	62,910,169	47,310,062	75,868,441
	247,794,587	310,173,368	247,585,100	364,741,200
Fixed income funds:				
Alliance Bernstein Core Plus Bond Fund	-	-	183,043,222	192,427,185
Aviva Core Plus Fund	64,012,124	56,187,898	-	-
PH&N Core Plus Fund	130,715,127	112,699,551	-	-
Mawer Canadian Money Market Fund	5,954,610	5,954,610	7,501,808	7,501,808
	200,681,861	174,842,059	190,545,030	199,928,993
Real estate and infrastructure:				
Morgan Stanley-Prime Property Fund LLC	27,337,518	35,381,253	26,141,988	26,557,439
Prudential Prisa LP	26,479,744	37,929,355	25,268,130	28,342,584
Axium Infrastructure	155,000	155,000	-	-
IFM Global Infrastructure	26,088,147	32,804,802	25,873,011	29,155,642
	80,060,409	106,270,410	77,283,129	84,055,665
CIBC USD Hedge	–	(2,441,549)	–	1,072,428
Cash and cash equivalents	6,701,515	6,701,515	2,760,589	2,760,589
	$ 535,238,372	$ 595,545,803	$ 518,173,848	$ 652,558,875

On July 28, 2021, the Plan entered into a subscription agreement with Axium Infrastructure NA Limited Partnership with a Capital Commitment in the amount of $31,000,0000 in exchange for Limited Partnership Units of the Partnership. As of June 30, 2022, the undrawn Capital Commitment is $30,845,000.

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2. Investments (continued):

Cash and cash equivalents includes pending investments, benefit and expense payments held by CIBC Mellon.

3. Forward foreign currency contracts:

The Plan uses financial instruments to reduce risks associated with its investments and is committed under various forward foreign currency contracts to both purchase and sell various foreign currencies with a notional amount in Canadian dollars totaling $93,575,060 (2021 - $97,636,037). The fair value of these forward foreign currency contracts as at June 30, 2022 is $(2,441,549) (2021 - $1,072,428) and has been recognized in the statement of changes in net assets available for benefit. Notional amounts are the contract amounts used to calculate the cash flows to be exchanged. These are a common measure of volume of outstanding transactions but do not represent credit or market risk.

The forward foreign currency contracts mature on July 19, 2022.

4. Accrued liabilities:

	2022	2021
Portfolio administration fees	$ 653,498	$ 700,638
Actuarial and other professional fees	6,003	19,920
Audit fees	13,179	12,317
Custodial fees	6,215	5,202
	$ 678,895	$ 738,077

5. Investment income:

	2022	2021
Pooled funds:		
Global equity	$ 4,204,836	$ 4,015,857
Bonds and debentures	9,162,718	6,995,358
Real estate	73,185	357,113
Money market	26,512	9,838
	$ 13,467,251	$ 11,378,166

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6. Contributions:

Contributions received by the Plan were as follows:

2022	Regular	Voluntary	Special	Total
Employer	$ 14,619,980	$ –	$ 1,463,004	$ 16,082,984
Employee	8,000,296	119,688	–	8,119,984
	$ 22,620,276	$ 119,688	$ 1,463,004	$ 24,202,968

2021	Regular	Voluntary	Special	Total
Employer	$ 14,156,174	$ –	$ 1,701,002	$ 15,857,176
Employee	7,760,984	123,551	–	7,884,535
	$ 21,917,158	$ 123,551	$ 1,701,002	$ 23,741,711

7. Benefit payments:

	2022	2021
Pension benefits	$ 18,896,600	$ 17,005,618
Transfers to other retirement funds	15,722,596	16,961,174
Cash refunds	2,255,012	3,941,746
Death benefits	1,385,413	886,049
	$ 38,259,621	$ 38,794,587

8. Administrative expenses and professional fees:

	2022	2021
Portfolio administration fees	$ 4,548,852	$ 4,217,246
Actuarial and other professional fees	647,246	735,261
Custodial fees	63,494	94,857
Audit fees	14,645	12,250
	$ 5,274,237	$ 5,059,614

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9. Related party transactions:

The University provides certain administrative services to the Plan. The cost to the Plan for these services in the year ended June 30, 2022 were $221,475 (2021 - $206,931), being the exchange amount agreed to by the parties, and is included in administrative expenses and professional fees in the statement of changes in net assets available for benefits. At June 30, 2022 accounts payable and accrued liabilities included nil (2021 - nil) owing to the University relating to such services.

10. Fair value of financial instruments:

The objective of the Plan is to accumulate funds for the purpose of providing lifetime income in retirement for Members of the Plan. The objectives of the Administrator are to meet the fund objectives outlined in the Plan's Statement of Investment Policies & Procedures (see note 11).

The Plan manages the following risks by engaging knowledgeable investment managers who are charged with the responsibility of investing existing funds and new funds in accordance with the approved Statement of Investment Policies and Procedures. The Pension Committee reviews on a quarterly basis the performance of investments invested by the Plan's investment managers.

(a) Fair values:

The fair values of investments are described in note 1(e) and disclosed in note 2. The fair value of forward foreign currency contracts is described in note 1(i). The fair value of other financial assets and liabilities, being contributions receivable and accrued liabilities, approximates their carrying value due to the short term nature of these instruments.

Fair value measurements recognized in the statement of net assets available for benefits are categorized using a fair value hierarchy that reflects the significance of inputs used in determining the fair values.

- Level 1 - unadjusted quoted prices in active markets for identical assets and liabilities:
- Level 2 - inputs other than quoted prices included in Level 1 that are observable for the assets or liabilities, either directly or indirectly; and
- Level 3 - inputs for assets and liabilities that are not based on observable market data.

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10. Fair value of financial instruments (continued):

All investments are categorized as Level 2 at June 30, 2022. There has been no change in the category of any of the Plan's financial instruments during the year.

(b) Associated risks:

(i) Market price risk:

Market price risk is the risk that the value of an instrument will fluctuate as a result of changes in market prices, whether caused by factors specific to an individual investment, its issuer or all other factors affecting all instruments traded in the market. As all of the Plan's financial instruments are carried at fair value with fair value changes recognized in the statement of changes in net assets available for benefits, all changes in market conditions will directly result in a change in net assets available for benefits. Market price risk is managed by the Plan by investing in a diversified portfolio of instruments traded on various markets and across various industries.

As at June 30, 2022, had the equity prices of all equity benchmarks increased or decreased by 10% and assuming there is a perfect positive correlation between the Plan's equities and the benchmarks, with all other variables held constant, the value of the Plan's investments would have increased or decreased, by approximately $31,017,337 (2021 - $36,474,120).

(ii) Foreign currency risk:

Foreign currency risk is the risk that fair value or future cash flows of a financial instrument will fluctuate because of changes in foreign currency rates. Through the pooled fund investments the Plan holds investments in financial instruments and enters into transactions denominated in various foreign currencies. Consequently, the Plan is exposed to risks that the exchange rate of the foreign currency may change in a manner that has an adverse effect on the value of the portion of the Plan's assets or liabilities denominated in currencies other than Canadian dollars. The Plan's overall currency positions and exposures are monitored on a regular basis by the Plan Administrator.

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10. Fair value of financial instruments (continued):

Real estate investments are not hedged. Presently, approximately half of equity investments are hedged as the Plan has adopted a mechanism to apply a United States dollar hedge under certain market conditions. Of the total PH&N Core Plus Bond Fund, 6.5% is held in foreign currency with 0.00% of the portfolio not hedged back to the Canadian dollar. Of the Aviva Core Plus Bond Fund, 1.33% is held in foreign currency with 0.00% of the portfolio not hedged back to the Canadian dollar. In the prior year, the Alliance Bernstein Core Plus Bond Fund portfolio held 24.20% in foreign currency with 0.10% of the portfolio not hedged back to the Canadian Dollar.

The Plan's non-Canadian currency exposure of its equity, real estate and infrastructure investments as at June 30 is as follows:

	2022		2021	
	Canadian dollar equivalent	Percentage of total	Canadian dollar equivalent	Percentage of total
United States dollar (hedged)	$ 93,575,060	15.71	$ 97,636,037	14.96
United States dollar (unhedged)	154,991,444	26.03	158,812,803	24.34
Euro	31,934,000	5.36	41,796,148	6.40
Japan yen	18,839,250	3.16	24,218,832	3.71
United Kingdom pound	17,748,584	2.98	21,868,513	3.35
Switzerland franc	16,230,271	2.73	21,254,880	3.26
Denmark krone	11,793,653	1.98	9,613,143	1.47
Hong Kong dollar	5,688,522	0.96	8,720,233	1.34
Sweden krona	5,657,698	0.95	6,790,878	1.04
Other currencies	7,418,827	1.25	13,641,405	2.09
	$ 363,877,309	61.11	$ 404,352,872	61.96

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10. Fair value of financial instruments (continued):

As at June 30, 2022, if the Canadian dollar strengthened or weakened by 5% in each respective foreign currency, with all other factors remaining constant, the following table summarizes the estimated impacts:

	Net exposure	Estimated impact
United States dollar (unhedged)	$ 154,991,444	$ 7,749,572
Euro	31,934,000	1,596,700
Japan yen	18,839,250	941,963
United Kingdom pound	17,748,584	887,429
Switzerland franc	16,230,271	811,514
Denmark krone	11,793,653	589,683
Hong Kong dollar	5,688,522	248,426
Sweden krona	5,657,698	282,885
Other currencies	7,418,827	370,941
	$ 270,302,249	$ 13,515,113

(iii) Liquidity risk:

Liquidity risk is the risk that the Plan will not be able to meet its obligations as they fall due. The Plan maintains an investment policy, as approved by the Plan, which contains asset mix guidelines which help to ensure the Plan is able to liquidate investments to meet its pension benefits or other obligations.

The accrued liabilities are all due within 90 days or less.

All the Plan's investments are considered to be readily realized as their underlying assets are listed on recognized stock exchanges and can be quickly liquidated at amounts close to their fair market value in order to meet liquidity requirements. Although market events could lead to some investments becoming illiquid, the diversity of the Plan's portfolio should ensure that liquidity is available for benefit payments. The Plan also maintains cash on hand for liquidity purposes and to pay accrued liabilities. At June 30, 2022, the Plan has cash in the amount of $6,701,515 (2021 - $2,760,589).

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10. Fair value of financial instruments (continued):

(iv) Interest rate risk:

Interest rate risk refers to the adverse consequences of interest rate changes on the Plan's cash flows, financial position and income. The value of the Plan's assets is affected by short term changes in interest rates. Interest rate changes directly impact the value of any fixed income securities in the pooled funds.

As at June 30, 2022, had the prevailing interest rates increased or decreased by 1% with all other variables remaining unchanged, the Plan’s net assets available for benefits would have decreased or increased by approximately $12,430,019 (2021 - $14,335,825)

(v) 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. Credit risk is generally higher when a non exchange traded financial instrument is involved because the counterparty for non exchange traded financial instruments is not backed by an exchange clearing house.

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11. Capital risk management:

The Plan defines its capital as the net assets available for benefits. The main objective of the defined benefit component of the Plan 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 financial statements. The primary investment objective of the defined contribution component of the Plan is to permit members to accumulate assets within the Plan in order to provide an appropriate level of retirement income, considering contribution rates under the Plan and the investment objectives and risk tolerances of Stakeholders. The benefits a retiree or employees receives at retirement or on termination under this defined contribution plan are not predetermined. Income distribution or benefits are based on the assets within the retiree or employee individual retirement plan account at the time they retire. The Plan fulfills its primary objective by adhering to specific investment policies outlined in its Statement of Investment Policies and Procedures (the "SIPP"), which is reviewed annually by the Pension Committee. The SIPP states investment objectives, guidelines and benchmarks used in investing the capital of the Plan, permitted categories of investment, asset-mix diversification and rate of return expectations. The Plan manages net assets available for benefits by engaging knowledgeable investment managers who are charged with the responsibility of investing existing funds and new funds (current year's employer contributions) in accordance with the approved SIPP. The SIPP was last amended effective September 30, 2021. This amendment included minor verbiage updates and there is no change to the long-term asset mix. There is no change in the manner in which the capital is managed in the current year.

The SIPP permits four categories of assets. The Plan's investment was allocated within the allowed asset categories range, as of the date of these financial statements. The following table presents the asset allocation of each asset category and total investments, along with appropriate benchmark:

		Asset allocation	
Asset categories	SIPP ranges*	2022	2021
Equity	40.00% - 60.00%	52.39%	56.64%
Fixed income	22.50% - 37.50%	28.53%	29.88%
Real assets	10.00% - 30.00%	17.95%	13.05%
Cash and cash equivalents	0.00% - 5.00%	1.13%	0.43%
Total investments		100.00%	100.00%

*Long-term allocation

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11. Capital risk management (continued):

Asset categories	Benchmark
Global equity	MSCI World Index
Fixed income	FTSE Canada Universe Bond Index
Real estate	NCREIF Fund Index - Open End Diversified Core
Infrastructure	No external benchmark – Adopted a 8%-10% return target

Although there are no regulatory requirements relating to the level of net assets available for benefits, the funding to be maintained by the defined benefit component of the Plan is determined through triennial actuarial valuations. More details on employer contributions that were paid during the year can be found in note 6. Contributions past due as of June 30, 2022 are presented as contributions receivable on the statement of net assets available for benefits.

The Plan is required to file financial statements with the FSRA annually.

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APPENDIX 2 – ANALYTICAL COMMENTS

Statement of Net Assets Available for Benefits

	June 30, 2022	June 30, 2021	Change Increase/ (Decrease)	Comments
Investments	$ 595,545,803	$ 652,558,875	$ (57,013,072)	This change is the result of $24.2M in new contributions and $13.5M in investment income. These increases have been offset by $38.3M in benefit payments, $69.1M in unrealized losses and $3.5M in foreign currency hedging losses. The plan also incurred $5.3M in fees and administrative expenses representing 0.88% of net assets. Fees and administrative expenses were $5.1M in prior year or 0.77% of net assets.
Contributions receivable: Employer Employee	$ 1,203,592 $ 673,043	$ 1,151,110 $ 645,755	$ 52,482 $ 27,288	Employer contributions receivable have increased by 4.56% and employee contributions receivable have increased by 4.23% in comparison to the prior year. The increase is in line with an increase in overall contributions during the year.
Accounts payable and Accrued liabilities	$ 678,895	$ 738,077	$ (59,182)	The decrease is the result of timing of investment management fee invoice payments around year end.
Net assets available for benefits	**$ 596,743,543**	**$ 653,617,663**	**$(56,874,120)**	

Statement of Changes in Net Assets and Retained Earnings

	June 30, 2022	June 30, 2021	Change Increase/ (Decrease)	Comments
Change in net assets				
Investment Income	$ 13,467,251	$ 11,378,166	$ 2,089,085	Investment income is interest, dividends and partnership income from Prudential Prisa and IFM Global Infrastructure.
Net unrealized (loss)/gain in investments	$(69,085,033)	$47,198,149	$(116,283,182)	Investments in equity and fixed income securities are subject to market price volatility. The change reflects the market price fluctuations for securities held throughout the fiscal year.
Change in fair value of forward foreign currency contracts	$(3,513,977)	$(1,272,448)	$ (2,241,529)	At of June 30, 2022, approximately half of the USD denominated Global equity funds are hedged back to the Canadian dollar. A global equity USD hedge trigger was achieved on March 12, 2020 due to significant exchange volatility brought on by the Global Pandemic.
Net realized gain on sale of investments	$ 21,442,329	$ 20,942,990	$ 499,339	The change is a result of liquidating the Alliance Bernstein portfolio to invest with Aviva and PH&N as well as investment managers buying and selling securities.
Transfers from other pension plans	$ 146,200	$ 259,299	$ (113,099)	Transfers from other pension plans represents amounts that have been transferred to the University's Pension Plan as a result of employees joining the University and asking for their funds from their previous employer(s) to be transferred into the Brock University Plan.
Contributions Employer Employee	$ 16,092,984 $ 8,119,984	$ 15,857,176 $ 7,884,535	$ 235,808 $ 235,449	Employer contributions have increased by 1.42% and employee contributions have increased by 2.99% in comparison to the prior year. The increase in Employer and Employee contributions is partially due to collective agreement salary increases. The increase in Employer contribution is slightly offset by lower Special payments ($238k) as 2021-22 was a full year of lower special payments due to the latest actuarial valuation.

	June 30, 2022	June 30, 2021	Change Increase/ (Decrease)	Comments
Change in net assets				
Benefit payments	$ 38,259,621	$ 38,794,587	$ (534,966)	Benefits paid have decreased by $535k in the current year. This figure represents amounts paid out to pensioners and departing Plan members in the current year. Benefits paid are broken down into four categories: pension benefits (increased by $1.9M or 11.12%), cash refunds (decreased by $1.7M or 42.79%), transfers out to other locked-in vehicles (decreased by $1.2M or 7.30%) and death benefits (increased by $499K or 56.36%). Refer to note 1 below for more details.
Administrative expenses and professional fees	$ 5,274,237	$ 5,059,614	$ 214,623	Administration fees have increased by $215k or 4.24% in the current year. Administration fees are comprised of four categories: portfolio administrative fees (increased by $332k or 7.86%), actuarial and other professional fees (decreased by $88k or 11.97%), custodial fees (decreased by $31k or 33.06%) and audit fees (increased by $2k or 19.55%). Included in actuarial and other professional fee is administrative services the University provides to the plan (increased by $14k or 6.7%). Refer to note 2 below for more details.
(Decrease) / Increase in net assets available for benefits	**$ (56,874,120)**	**$ 58,393,666**	**(115,267,786)**	

Note 1 – Benefit Payments:

- Pension Benefits – (2022 – $18,896,600, 2021 - $17,005,618) Monthly pension payments are made to pensioners. The amount of pension benefits paid is influenced by the number of pensioners receiving payments (increased by the entry of new pensioners and decreased by pensioner deaths). Pension benefits paid is also influenced by the annual pensioner adjustment. Money Purchase Pension amounts are increased or decreased according to the fund rate of return and pensioner mortality in the last Plan year compared to assumed fund rate of return and pensioner mortality when pensions were first calculated; Minimum Guaranteed Pension amounts are increased by Consumer Price Index to a maximum of 2%.
- Cash Refunds – (2022 – $2,255,012, 2021 - $3,941,746) There are two situations where a cash payment will be made from the Plan:
    - According to current pension law, the Small Benefit Rule applies for departing or retiring Plan members. If the Small Benefit rule is met then they will receive their pension benefit as cash, less applicable taxes.

    - When a member departs or retires and elects to transfer their pension benefit out of the Plan into a Locked-In Retirement Account (LIRA), the portion of the Commuted Value of the accrued Minimum Guaranteed Pension that is above the Income Tax Act limit is paid as a lump sum cash payment, less applicable taxes.
- Transfers (to other Pension Plans, Locked-In Retirement Accounts and Life Income Funds) – (2022 - $15,722,596, 2021 - $16,961,174) If a departing Plan member's funds are locked-in they have the option to transfer their funds to another registered pension fund or LIRA. If greater than age 55, they also have the option to transfer directly to a LIF.
- Death Benefits – (2022 - $1,385,413, 2021 - $886,049) Upon the death of a deferred or active member, a spouse may elect a monthly survivor benefit or transfer the death benefit from the Plan. If the member has no spouse, the beneficiary will receive a lump sum death benefit payment according to the terms of the Plan.

The amount of cash refunds, transfers and death benefits varies from year to year depending on the number of Plan members which have departed, retired or died during the year, as well as the option that they elect with respect to their benefit.

Note 2 – Administrative Expenses and Professional Fees:

- Portfolio Administration Fees – (2022 – $4,548,852, $2021 - $4,217,246) These fees include expenses for the investment managers. The amount of fees paid is relative to the size of the portfolio (i.e. the amount of fees will increase as the portfolio size increases).
- Actuarial and Other Professional Fees – (2022 - $647,246, 2021 - $735,261) These fees include expenses for the: actuary, investment consultant, legal counsel, Plan administration and tax consultant. The amount of fees paid in this category varies from year to year depending on items that must be dealt with or issues that arise. The University provides administrative services to the Plan which includes Brock employee salaries and other administrative expenses. The cost to the Plan for these services in the current year was $221k (2021 - $207k). One major difference from 2021 to 2022 was the decrease in actuarial fees paid to Mercer, which decreased by $117K from the prior year due to a full actuarial valuation being completed in the prior year. This was slightly offset by higher consulting fees paid to KPMG for the review of new Investment Manager agreements with Axium, Aviva and PH&N in the current year.
- Custodial Fees – (2022 - $63,494, 2021 - $94,857) These fees include expenses to the Plan's custodian which changed from RBC to CIBC during the prior year. The amount of fees paid in this category varies from year to year depending on the amount of the fund and number of transactions (the fee increases with the amount of the fund and number of transactions). The overall decrease of $31k is mainly due to lower fees charged by CIBC compared to RBC.
- Audit Fees – (2022 - $14,645, 2021 - $12,250) These fees represent fees paid by the Plan for the annual audited financial statements.

- Below is a summary of the number of employees enrolled in the Pension Plan and the number of pensioners drawing from the Plan for the last five years:

	Number of Plan Members		
	Active	Deferred	Pensioners
June 30, 2022	1,713	397	538
June 30, 2021	1,667	378	523
June 30, 2020	1,682	346	498
June 30, 2019	1,674	328	447
June 30, 2018	1,618	318	414

- Below is a summary of the last five years of rates on investments (net):

	Rate of Return on Investments
June 30, 2022	(6.85%)
June 30, 2021	12.50%
June 30, 2020	7.45%
June 30, 2019	8.34%
June 30, 2018	8.35%

(e) Fair value measurement:

~~Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date.~~

~~The investments are stated at fair value.~~ In determining fair value, the Plan follows the guidance in IFRS 13, Fair Value Measurement ("IFRS 13"), in Part I of the CPA Canada Handbook - Accounting. ~~As allowed under IFRS 13, if an asset or a liability measured at fair value has a bid and an ask price, the price within the bid-ask spread that is the most representative of fair value in the circumstances shall be used to measure fair value. The Plan uses closing market price as a practical expedient for fair value measurement.~~

~~When available, the Plan measures the fair value of an instrument using quoted prices in an active market for that instrument. A market is regarded as active if quoted prices are readily and regularly available and represent actual and regularly occurring market transactions on an arm's length basis.~~

~~If a market for a financial instrument is not active, then the Plan establishes fair value using a valuation technique. Valuation techniques include using recent arm's length transactions between knowledgeable, willing parties (if available), reference to the current fair value of other instruments that are substantially the same, discounted cash flow analyses and option pricing models.~~

~~The best evidence of the fair value of a financial instrument at initial recognition is the transaction price, i.e. the fair value of the consideration given or received, unless the fair value of that instrument is evidenced by comparison with other observable current market transactions in the same instrument or based on a valuation technique whose variables include only data from observable markets.~~

All changes in fair value, other than investment income and expense, are recognized in the statement of changes in net assets available for benefits as part of the change in net unrealized gains in investments.

The investments are stated at fair value.

~~Fair values of investments are determined as follows:~~

The Plan is invested in p~~P~~ooled fund investments as disclosed in note 2. Pooled fund investments are valued at the unit values supplied by the investment manager~~pooled fund administrator~~, which represent the Plan's proportionate share of underlying net assets ~~-~~at fair values determined using closing market prices.~~.~~

Report to the Financial Planning and Investment Committee

RECOMMENDATION ITEM

TOPIC: Financial Policies Review

September 28, 2022
Josh Tonnos, Chief Financial Officer and Associate Vice-President, Financial Services

MOTION

THAT the Financial Planning and Investment Committee recommend to the Board of Trustees that the amendments to the Investment Policy (set out in Appendix 1) be approved:

EXECUTIVE SUMMARY

1. Rationale

- The Investment Policy is up for scheduled review.
- The policy amendments were developed following a review by the University's Financial Services unit. The changes were presented to the Senior Administrative Council on January 31, 2022. The Senior Administrative Council endorsed the changes to the policies.

2. Key Background

- The policy owner is the Vice-President, Administration. The Chief Financial Officer and Associate Vice-President, Financial Services is the policy lead for the changes and is presenting the updated policy to this Committee to advise the Board on whether to approve the changes.
- Minor editorial changes and one major addition to the allowable investments (deposits and GICs with Credit Unions) were presented to the Committee at the March 3, 2022 meeting. This change was in consideration of previous suggestions by Trustees that the University explores doing businesses with Credit Unions that have ties to the local community. At the March 2022 meeting, questions were raised relating to the concept of investments with Credit Unions and whether there should be parameters the level of investments.

3. Implications

- A scan of the 15 Canadian Comprehensive Universities only found one University with Credit Union investments explicitly called out in their allowable asset classes (Simon

Fraser). There was no limitation on the size of the interest-bearing deposit accounts with Credit Unions in their policy.

- As there are no plans in the near term to invest with a Credit Unions, draft changes to the policy will not be required at this time. At this time, Financial Services does not see any need to adjust our working capital investment strategy, especially given the more favourable short-term interest rate environment we have seen evolve since this report was first considered in March.

4. Next Steps

- Each of the Trimester Reports and Annual Report includes a section dedicated to reporting on the treasury activities of the University.
- Subject to FPI's review, the changes to the Investment Policy will be presented to the Board for approval.

5. Background Materials

- Appendix 1 - Investment Policy (12 pages)

INVESTMENT POLICY

PURPOSE

This Policy establishes the authority of officers and employees to authorize and execute transactions and otherwise bind the University with respect to investments. It is designed to support stewardship and accountability of University funds through the establishment of fund objectives, responsibilities for fund management, and investment guidelines.

SCOPE

This Policy applies to officers and employees with delegated authority for investments.

This policy governs all financial investments of the University, except for the University's Pension Fund which is governed through the Statement of Investment Policies and Procedures (the "SIP&P").

POLICY STATEMENT

Background

Endowment & Trust Funds

Various University programs and activities are funded from the generosity of individuals, corporations, foundations, and other donor organizations in the form of an endowment or trust. These gifts are essential to the University and its students.

Endowments are designated to support their identified programs and activities in perpetuity. Endowed donation principal is not expendable, only the income earned on investing the principal may be accessed to fund their identified programs and activities.

Trust funds are designated to support their identified programs and activities for a definite period. Trust donation principal is expendable on identified programs and activities.

Operating and Capital Funds

Brock University carries operating and capital cash balances throughout the year. This cash balance is committed to specific operating and capital purposes.

Long Term Investments

On December 14, 2005, Brock University issued $93,000,000, 4.967% Senior Unsecured Debentures due on December 14, 2045~~ (the "Debentures")~~. On May 13, 2020, Brock University issued $125,000,000, 3.033% Series B Senior Unsecured Debentures due May 17, 2060.

The Board of Trustees has requested that the University establish a voluntary, internally administered sinking fund from which to repay 100% of the principal of the Debentures at maturity. The Trust Indentures does not require the establishment of a sinking fund.

On March 12, 2015 the Board of Trustees requested that the University establish a voluntary, internally administered fund to provide resources to offset a growing employee future benefits liability.

Fund Objectives

Endowment Fund

It shall be the policy of the University to invest Endowment Funds in an effort to provide income in excess of inflation. Since Endowment Funds are intended to exist in perpetuity, the goal is to maintain or enhance the purchasing power of the Endowment Fund to maintain the activities it supports. The primary objectives of making such investments shall be;

1. Respect for the terms of reference agreed to with donors.
2. Preservation of capital;
3. A rate of return that maintains or enhances the purchasing power of the endowment over time (growth of principal) and supports a desired spending rate;
4. Prudent levels of risk and protection of the portfolio from undue loss due to market fluctuations and/or poor diversification.

Trust Funds

Unless otherwise agreed to by the Donor, it shall be the policy of the University to invest Trust funds in low risk fixed income instruments with investment terms to maturity consistent with spending terms of references agreed upon with the Donor. The primary objectives of making such investments shall be;

1. Respect for the terms of reference agreed to with donors;

2. Preservation of capital;
3. Yield;
4. Maintenance of liquidity.

Operating and Capital Fund

It shall be the policy of the University to invest its temporary surplus cash in fixed-income instruments to earn a market rate of interest at minimal risk to principal. The primary objectives of making such investments shall be;

1. Preservation of capital;
2. Maintenance of liquidity;
3. Yield.

Long-Term Investments

Occasionally long-term investments may be established by the Board of Trustees to fund future obligations. Investment strategies and objectives will be approved by the Financial Planning and Investment Committee and reviewed on an ongoing basis. Due to the long-term perspective of these funds, the risk tolerance of the fund is above average.

Sinking Fund

It shall be the policy of the University to invest in a sinking fund to provide sufficient funds to repay 100% of the principal amount of the $93,000,000 debenture on December 14, 2045 and of the $125,000,000 debenture on May 17, 2060.
The sinking fund aims to maximize investment earnings over the time horizon and to achieve a minimum annualized rate of return of 5.0%-5.5% over the life of the fund. Due to the long-term perspective of the sinking fund, the risk tolerance of the sinking fund is above average in the earlier years. The risk tolerance of the portfolio is to be reduced as maturity of the debenture approaches.

The annual contributions and investment rate of return will be reviewed each year to ensure the adequacy of the sinking fund target.

Responsibilities for all Funds

Financial Planning and Investment Committee

1. Approve investment management strategies and policies;
2. Approve investment managers, consultants, and custodians;
3. Review investment performance of each fund on a regular basis;
4. Report to the Board of Trustees annually.

Management

1. The Financial Planning and Investment Committee delegates all day-to-day responsibilities to appropriate staff of the University in order to ensure timely actions are taken in accordance with the University investment policy.
2. Monitor investment performance of each fund on a regular basis;
3. Report investment performance of each fund on a regular basis to the Financial Planning and Investment Committee;
4. Monitor the adequacy of investment managers on a regular basis;
5. Monitor investment manager's compliance with this policy;
6. Develop and recommend investment management strategies and policies to the Financial Planning and Investment Committee as required;
7. Ensure investments meet all legislative requirements.

Investment Manager

1. Invest the portfolio in accordance with this policy;
2. Confirm compliance with their investment mandate and with the applicable portions of this policy. Notify Management immediately of any areas of non-compliance with their investment mandate or this policy and provide their recommended actions and timeframe to remedy the issue;
3. Provide a quarterly report to Management that includes a brief review and outlook for the economy and the capital markets and a discussion of the investment performance to date in relation to the objectives (including information on the reasons underlying outperformance or underperformance relative to their benchmark index);
4. Make periodic presentations to the Financial Planning and Investment Committee, when requested to do so, to help the Financial Planning and Investment Committee to better understand their performance.

Investment Consultant

1. Provide direction and recommendations on all investment related matters as required through contractual agreements with the University;
2. Review and advise on the Investment Policy;

3. Maintain an effective process to monitor investment performance and capabilities of each Investment Manager on an ongoing basis;
4. Maintain an effective process to monitor overall investment performance, including the effectiveness of the current investment strategy in relation to other potential strategies and in relation to the performance of other comparable clients on an ongoing basis;
5. Report on such monitoring and immediately notify Management if there are any concerns.

Investment Guidelines

The portfolio may be invested in pooled funds. As pooled funds are managed in accordance with the pooled fund's guidelines, they cannot be directly subject to the guidelines enunciated here. It is the responsibility of Management and the Financial Planning and Investment Committee to ensure, prior to investing in the pooled fund, that the pooled fund's guidelines are consistent with the spirit of this policy.

In the guidelines below, the term "portfolio" is used when referring to the assets under the administration of the Investment Manager (eg. the Fixed Income Manager for the Endowment Fund). The term "fund" is used when referring to all assets held in a specific University Investment Fund (eg. the Endowment Fund). Guidelines for the type, quality and quantity of the investment assets are summarized below.

Fund Specific Asset Mix Guidelines	Endowment Fund Minimum – Maximum	Trust Funds Minimum – Maximum	Operating and Capital Funds Minimum – Maximum	Long-Term Investment Funds (eg. Sinking Fund, EFB Reserve) Minimum – Maximum
Cash Short-term investments	0% - 15% 0% - 15%	0% - 100% 0% - 100%	0% - 100% 0% - 100%	0% - 100% 0% - 100%
Fixed Income	25% - 55%	0% - 100%	0% - 30% average annual balance	0% - 100%
Canadian Equities Global Equities **Total Equities**	0% - 45% 20% - 70% **45% - 75%**	NA NA NA	NA NA **NA**	0% - 45% 20% - 70% **45% - 75%**
Real Estate and Infrastructure	NA	NA	NA	NA

Fund Specific Investment Guidelines	Endowment Fund	Trust Funds	Operating and Capital Funds	Long-Term Investment Funds (eg. Sinking Fund, EFB Reserve)
Benchmarks	**Cash and Short-Term Investments** (FTSE TMX 91-Day T-Bill Index) **Fixed Income** FTSE TMX Universe Bond Index **Canadian equities** S&P/TSX Composite **Global equities** MSCI World Index	**Cash and Short-Term Investments** (FTSE TMX 91-Day T-Bill Index) **Fixed Income** Any FTSE TMX Bond Index with comparable duration to investment duration	**Cash and Short-Term Investments** (FTSE TMX 91-Day T-Bill Index) **Fixed Income** Any FTSE TMX Bond Index with comparable duration to investment duration	A relevant benchmark for each fund shall be established by the Financial Planning and Investment Committee so that investments are aligned with the funds goals and objectives. Example: A benchmark long-term rate of return is currently set at 5.0% for the sinking fund.
Allowable Asset Classes	Cash and High Interest Savings Accounts Short-Term Investments (Government issuer* Treasury Bills, Canadian Schedule 1 Chartered Banks ~~and Credit Unions~~ BAas / GICs**) Fixed Income Multi-Asset Credit Equities (listed on a major recognized public exchange)	Cash and High Interest Savings Accounts Short-Term Investments (Government issuer* Treasury Bills, Canadian Schedule 1 Chartered Banks ~~and Credit Unions~~ BAs / GICs**) Fixed Income	Cash and High Interest Savings Accounts Short-Term Investments (Governmen t issuer* Treasury Bills, Canadian Schedule 1 Chartered Banks ~~and Credit Unions~~ BAs / GICs**) Fixed Income	Cash and High Interest Savings Accounts Short-Term Investments (Government issuer* Treasury Bills, Canadian Schedule 1 Chartered Banks ~~and Credit Unions~~ BAs / GICs**) Fixed Income Equities (listed on a major recognized public exchange)

Commented [JT1]: Change suggested at Cycle 3 2021-22 to add Credit Unions which was sent back by the FPIC for further consideration. Removing this suggested change from policy as outlined in report.

Maximum Investment Duration	No Maximum (Assets to exist in perpetuity; therefore, not necessary to restrict investment duration)	Investment maturity to be aligned with and not to exceed donor spend down requirements of principal.	5.5 Years	No Maximum Not to exceed December 2045 (Sinking Fund) or May 2060 (Sinking Fund)

** Government issuer is a security issued by or guaranteed by:*
(i) the Government of Canada,
(ii) a province of Canada having at least an "A" rating, or
(iii) another developed market country whose debt is rated "A" or better.
*** Excludes equity linked GICs*

Authority to Invest

Cash, High Interest Savings Accounts and Short-Term Investments

Financial Planning and Investment Committee approved University Staff for Canadian investments only or Investment Manager(s).

Financial Planning and Investment Committee approved University Staff includes:

- President and Vice Chancellor
- Vice-President Administration
- Chief Financial Officer and AVP ~~Finance~~Financial Services
- Director, Financial Accounting & Controller~~Associate Director, Accounting and Financial Reporting~~

One Financial Planning and Investment Committee approved University Staff signature is required to initiate any investment in this category. The Financial Services department will maintain internal controls to ensure all of these investments are subject to a dual review process.

Investments other than Cash, High Interest Savings Accounts and Short-Term Investments

Restricted to Financial Planning and Investment Committee approved Investment Manager(s).

Two Financial Planning and Investment Committee approved University Staff signatures are required to initiate any investment deposit, withdrawal or transfer between approved

Investment Manager(s) in this category.

Maximum exposure to any single investment within the fund

No exposure limit for Cash, High Interest Savings Accounts and Short-Term Investments

Fixed Income and Equity investments shall not exceed 5% of the market value of the fund including related companies. Government of Canada or Crown Corporations and Agencies who are guaranteed by the government have no exposure limits.

Risk Tolerance Short-Term Investments

1. All securities must be readily marketable.
2. R1-low by DBRS, or equivalent by S&P or Moody's.

Risk Tolerance Fixed Income

1. All securities must be readily marketable.
2. The portfolio should have an aggregate credit rating of at least A or equivalent.
3. Maximum exposure to below investment grade securities is limited to 15% of the market value of the portfolio.
4. Up to 10% of the exposure to foreign currency may be unhedged.
5. The minimum quality standard of preferred shares in the portfolio will be a Pfd-2 rating.
6. Asset-backed securities and mortgage-backed securities shall be rated first by a U.S. rating agency to ensure liquidity and shall be limited to no more than 10% of the market value of the portfolio. Ratings for Asset-backed securities and mortgage-backed securities may be obtained from a Canadian rating agency only if a rating from a U.S. rating agency is unavailable.
7. Maximum exposure to mortgages is limited to 10% of the market value of the portfolio and all such mortgages shall rank as first secured mortgages and must not be subordinated to any other debt.
8. Multi-Asset Credit strategies invest in different parts of the global credit universe such as high yield bonds, bank loans, emerging market credit, investment grade credit, distressed credit and structured credit, as such do not have traditional risk tolerance constraints noted above. An investment in a multi-asset credit strategy will be allowable only after an investment manager

search facilitated by a professional investment consultant. Any multi-asset credit investment must be reviewed in detail no less than twice a year by a professional investment consultant and management, accompanied by a report to the Financial Planning and Investment Committee.

Risk Tolerance Equities

1. All securities must be readily marketable.
2. If a Canadian equity mandate is utilized, not more than 10% of the Canadian equity portfolio may be invested in securities not included in the S&P/TSX Composite Index.
3. Not more than 15% of the global equity portfolio may be invested in securities that are not included in the MSCI World Index**.**
4. Small cap exposure is restricted to a maximum of 20% of the total portfolio; however, not more than 10% of the portfolio may be invested in securities having a market capitalization of less than $1 billion. (Small cap is defined as investments in either of the BMO Small Cap (Weighted) Total Return Index or Russell Global Small Cap Total Return Index.)

Use of Derivatives

Derivatives may be used only for hedging and risk management purposes and only by external Investment Managers. Derivative instruments will only be used in ways that reduce risk or transfer risk and not to increase risk. Use of derivatives must be consistent with the fund's objective, this policy, and the University's investment objectives.

Conflict of Interest

A conflict of interest is defined as any event or circumstance that impairs the ability of any member of the Financial Planning and Investment Committee or its designate, or any employee or consultant to render unbiased and objective advice regarding any investment decision of the portfolio. In such cases, the conflict must be fully disclosed on a timely basis and the member shall withdraw from the meeting during the discussion and voting on the investment decision.

Statement Regarding Socially Responsible Investing

The University believes socially responsible investing (SRI) is best embodied by the United Nations Principles for Responsible Investing (UNPRI). These principles provide a menu of possible actions for incorporating environmental, social and corporate governance issues (ESG) into mainstream investment decision-making and ownership practices. UNPRI does not advocate an exclusionary approach, whereby companies that operate in certain industries or geographical areas are automatically screened out of an investment portfolio. The University will encourage investment managers, to the extent possible within their investment process, to consider ESG principles as they relate to long term financial returns when making investment decisions. The University does not believe it is appropriate, recognizing its fiduciary responsibility to represent the needs of all of the various stakeholder groups, to mandate the exclusion of companies that operate in certain industries or geographical areas.

COMPLIANCE AND REPORTING

The Vice President, Administration is responsible for maintaining compliance with the Policy.

There may be circumstances for low risk investments under which a temporary exemption to the investment policy is warranted. The Vice President, Administration and the Chair of the Financial Planning and Investment Committee will decide if the exemption will be allowed and how the funds will be invested. A meeting of the Financial Planning and Investment Committee will be convened promptly to formally approve the exemption.

Policy Oowner:	Vice-President, Administration
Policy Lead:	Associate Vice-President, Financial Services
Policy Classification:	Operational
Approvaluthorized by:	Approved by the Board on the recommendation of the of Trustees, Financial Planning & Investment
Accepted by:	Senior Administrative Council
Effective date:	October 1, 2015September 2022
Next review:	September 20251
Revision history:	Adopted September 2017 Revised September 2018 Revised September 2022
Related documents:	Endowment Management Policy

Board of Trustees

Report to the Human Resources Committee

RECOMMENDATION ITEM

TOPIC: Approval of Revisions to the Respectful Work and Learning Environment Policy

September 29, 2022
Lynn Wells, Interim President & Vice-Chancellor; Provost & Vice-President, Academic
Jennifer Guarasci, Associate Vice-President, Human Resources
Amanda Villella, Director, Faculty & Staff Relations

MOTION

THAT the Human Resources Committee recommend to the Board of Trustees that the revised Respectful Work and Learning Environment Policy, attached as Appendix 1 to this Report, be approved.

EXECUTIVE SUMMARY

1. **Rationale**

- The Respectful Work and Learning Policy (RWLEP) is a critical part of the University's commitment to building and maintaining a community where students, staff and faculty members can work and learn in an environment that respects the dignity and worth of members of the Brock community.

- The RWLEP was last revised in September 2018 and is in need of revisions to address procedural issues related to investigations, incorporate updates to reflect current definitions and practices, and to transition the document into the University's current policy and procedures templates.

- The present revisions to the RWLEP have been prepared in consultation with internal stakeholders, including student and employee unions, and in consideration of the ongoing review of the Human Rights and Equity Office. Future changes to the policy and procedures may be required as a result of the recommendations that emerge from that review.

- The Interim President had previously committed to a full review of the RWLEP, with significant internal stakeholder engagement, in Fall 2022. This review is part of a broader initiative announced in March 2022 to update and modernize the University's policies aimed at ensuring a safe and respectful work and learning environment. For example, a review of the University's Sexual Assault and Harassment Policy was also launched in March 2022.

- The revised RWLEP must be approved by the Board prior to implementation.

2. Key Background

- Procedural issues related to the administration of the RWLEP have been the subject of several grievances in recent years.
- The grievances filed by the Brock University Faculty Association (BUFA) were referred to arbitration and an arbitration date was scheduled for January 26, 2022.
- As a resolution to those grievances, the University agreed to a mediated resolution that included making updates to the RWLEP.
- As required by Article 4.06 of the collective agreement with BUFA, changes to the RWLEP that affect terms and conditions of employment of BUFA members must be negotiated with BUFA. The Parties settled the grievances by negotiating amendments to the RWLEP.
- BUFA has reviewed the proposed revisions to the RWLEP and is supportive of them.
- All other employee unions and the student unions were consulted about the proposed revisions. Consultation was also conducted with the Human Rights and Equity Office, General Counsel, Senior Administrative Counsel, and the Executive Team.
- The final revised policy and procedures are included in Appendix 1 and 2 respectively. Key changes that resulted from the negotiations and subsequent consultations are summarized in Appendix 3.

3. Implications

- The revised policy includes greater clarity with respect to the definitions of types of harassment and to the timelines expected for investigations.
- Additional implications of the policy revisions are summarized in Appendix 3.

4. Next Steps

- Following approval by the Board of Trustees, the policy will be implemented and will be made publicly available to the Brock community.
- Any further changes to the policy that result from the ongoing review of the Human Rights and Equity Office will go through a similar consultation and approval process at the appropriate time.

5. Background Materials

- Appendix 1 – Respectful Work and Learning Environment Policy (12 pages)
- Appendix 2 – Respectful Work and Learning Environment Procedures (14 pages)
- Appendix 3 – Summary of key changes to the RWLEP (1 page)

RESPECTFUL WORK AND LEARNING ENVIRONMENT POLICY

PURPOSE

Brock University is committed to building and maintaining a diverse and inclusive community where our students, Staff, Faculty, course participants, volunteers and visitors can work and learn in an environment that respects the dignity and worth of members of the Brock community.

The purpose of the Respectful Work and Learning Environment Policy (the "Policy") is to:

- Develop and support a work and learning culture that values diversity and inclusion, fosters respect, and does not tolerate prejudice, Discrimination, or Harassment;
- Outline rights, responsibilities and types of behaviour which fall within the scope of the Policy;
- Make provision for support services, including training and awareness initiatives, to promote a respectful work and learning environment; and
- Outline procedures for handling and resolving complaints when the Policy is breached by Discrimination or Harassment.

SCOPE

The Policy applies to all members of the University community including:

- All students, course participants, Staff, Faculty, and volunteers of Brock University; and
- Any visitors to Brock University.

The Policy applies to Harassment and Discrimination that takes place:

a. on Brock University Premises; or
b. off campus, where the conduct:
   i. Occurs as part of a University event, program, or activity;

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ii. Occurs when a Brock Student, Course Participant, Staff, Faculty or Volunteer is acting as a representative of Brock University at a non-University event, program, or activity; or

iii. Has a sufficient nexus with University operations and may include online conduct.

The Policy is in effect at all times – fifty-two (52) weeks per year, seven (7) days per week, twenty-four (24 hours per day, and is not limited to working days.

The Policy does not cover issues of academic integrity, which are covered under other policies and procedures of the University.

The Policy shall be interpreted and applied in compliance with the University's obligations under any collective agreements. If any provision of this Policy is found to be inconsistent with the provisions of a collective agreement, the collective agreement will prevail to the extent of the inconsistency, unless the Policy provision is required by law, in which case the Policy provision will prevail.

The Policy does not limit the exercise by a person of any right to commence proceedings at the Human Rights Tribunal of Ontario or before any other legal body.

POLICY STATEMENT

1. Brock University supports equity, diversity and the dignity of all people. The University promotes equality in our learning programs, services and employment and in the conduct of the University's affairs.

The University recognizes the following:

- A richly diverse society in Ontario, as well as beyond;
- A duty to act in a manner consistent with existing legislation regarding human rights;
- A commitment to academic freedom and freedom of thought, inquiry, and expression among its members that may result in respectful disagreements regarding beliefs or principles.

2. Brock University opposes behaviour that is likely to

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undermine the dignity, self-esteem or productivity of any of its members and prohibits any form of Discrimination or Harassment whether it occurs on University property or in conjunction with University-related activities. Therefore, Brock University is committed to an inclusive and respectful work and learning environment, free from:

- Human rights Discrimination or Harassment;
- Workplace harassment;
- Sexual harassment; and
- Personal harassment, including bullying.

3. Harassment and Discrimination violate a person's human rights and run contrary to the University's fundamental values. Brock University will act promptly and efficiently to deal with these behaviours. It will endeavour to ensure that persons who believe that they have been subjected to Harassment or Discrimination are able to express concerns and register complaints without fear of retaliation or reprisal. The University will exercise care to protect and respect the rights of both the Complainant and the Respondent.
4. Brock University will establish mechanisms to give effect to the Policy including:

    - Development and staffing of the Human Rights and Equity Office, which will be responsible for the administration of the Policy, including advising Complainants about their rights and options under the Policy and procedures, and overseeing investigations conducted under the Policy;
    - Make training available for Faculty, Staff, students and volunteers, related to Harassment and Discrimination generally, and to the contents of this Policy and the University's program with respect to Harassment and Discrimination;
    - Establish and implement awareness programs designed to enhance awareness of the Policy and Procedures relating to it.

5. Each year a report will be prepared by the Human Rights and Equity Office and made available to the University community concerning the number, type and disposition of cases and on educational and other activities related to the Policy. A copy of this report shall be forwarded to the Human Resources Committee of the Board of Trustees

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annually.

6. Brock considers Harassment and Discrimination in all forms to be serious offences. The Human Rights and Equity Services Office shall normally conduct Alternative Dispute Resolution of matters falling under this Policy. Where breaches of the Policy have been found and cannot be resolved through alternative dispute resolution practices, such behaviour may attract discipline and sanctions in accordance with University codes of conduct for students, human resources policies, procedures and practices, and applicable collective agreements.

Rights and Responsibilities

7. Every person has the right to participate, learn, and work in an environment that promotes equal opportunities and prohibits all forms of Harassment and Discrimination.

8. Brock University and all members of the University community share the responsibility of establishing and maintaining a climate of respect within this community and to address any situations in which respect is lacking. This means not engaging in, allowing, condoning or ignoring behaviour contrary to this Policy. The Policy is not meant to interfere with mutually acceptable social interactions that are an important part of a comfortable working and academic environment.

9. Faculty, Staff, Students, course participants, volunteers and visitors have the right to:

   - An environment which supports them in their work and study and which is free from Discrimination and Harassment;
   - Access the Policy and its Procedures for dealing with breaches and complaints;
   - Be supported in a sensitive and confidential manner, when addressing breaches and complaints, by members of the University who have been given relevant training;
   - Attend training opportunities related to diversity awareness and the Policy and Procedures; and
   - If the person is a Brock employee, report incidents

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or complaints of Workplace Harassment to a person other than the employer or the supervisor, if the supervisor or employer is the alleged harasser.

10. Faculty, Staff, Students, course participants, volunteers and visitors are responsible for:
    - Their own behaviour and actions;
    - Recognizing and supporting the right of everyone to be treated with dignity and respect at work and study and to maintain an environment in which this can flourish;
    - Familiarizing themselves with the Policy, which may include attending training appropriate to their position within the University; and
    - Taking the initiative in identifying Harassment and taking reasonable corrective or preventative action in accordance with the Policy. The University has a duty of care under health and safety, employment, and human rights legislation. Therefore, Faculty and Staff cannot ignore unacceptable behaviour and are encouraged to bring to the attention of the appropriate level of management any Harassment they might themselves receive or witness. The Policy does not inhibit firm but fair management, or reasonable actions taken by an employer or supervisor relating to the management and direction of workers or the workplace, in accordance with applicable collective agreements or other contractual obligations.

11. Senior administration and senior managers are responsible for:
    - Ensuring workers are informed and instructed on the contents of the Policy and the University's program with respect to Workplace Harassment; and
    - Ensuring that where it is necessary to take remedial or disciplinary action against a member of Faculty, Staff, Student, course participant, volunteer or visitor, this is done fairly and in accordance with the disciplinary measures within applicable collective agreements and University procedures.
12. The University recognizes its responsibility to ensure that every person in its community is protected from unlawful Discrimination and Harassment in accordance with the Ontario Human Rights Code. Any action or failure to act that results in Harassment or Discrimination on any of the grounds enumerated under the Code will not be tolerated

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by the University.
The University also recognizes and commits to its responsibilities as an employer to ensure that its workers are protected from Workplace Harassment in accordance with Ontario's Occupational Health and Safety Act, including:

- Its responsibility to develop and maintain a written policy and program with respect to Workplace Harassment;
- Its responsibility to ensure that the University's program with respect to Workplace Harassment complies with the requirements set out in the Occupational Health and Safety Act;
- Its responsibility to ensure that an investigation is conducted into incidents and complaints of Workplace Harassment that is appropriate in the circumstances, is in accordance with applicable collective agreements and other contractual obligations, and complies with the University's duties under the Occupational Health and Safety Act; and
- Its responsibility to provide information and instruction to workers with regards to the Policy and the University's program with respect to Workplace Harassment.

Accountability

13. The Human Rights and Equity Office is responsible for:

- Communicating about the Policy and related Procedures;
- Developing and implementing training and instruction on the Policy and related Procedures;
- Administration of the Policy and related Procedures;
- Working with Human Resources, Student Affairs, and the University's Legal Counsel in interpretating the Policy and related Procedures; and
- Working with the University Secretariat to advise the President when a formal review of the Policy is required.

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Review

14. A formal policy review will be conducted at least every three years.

DEFINITIONS

No policy document can give a full description and definition of behaviours that fall within the meaning of Harassment and Discrimination. The Human Rights and Equity Office will provide members of the Brock community with training opportunities that identify proscribed behaviours and outline them in greater depth.
Note that the definitions below apply to both the Policy and Procedures documents.

Alternative Dispute Resolution: a process that parties can use to reach their own agreement without going to court or trial. This can include personal resolution, informal resolution, Indigenous dispute resolution practices, mediation, negotiation, facilitation, settlement conferences, and other dispute resolution techniques.

Brock University Premises: buildings and lands owned, leased, operated, controlled, or supervised by the University.

Complainant: a person who initiates a complaint under the Personal Resolution, the Informal Resolution or the Formal Resolution processes herein.

Course participants: a person registered in a course or program of study offered through Professional and Continuing Studies or English as a Second Language Services, or any person who is auditing any course or program at Brock University.

Disability: as set out in the *Ontario Human Rights Code*, means,

(a) any degree of physical disability, infirmity, malformation or disfigurement that is caused by bodily injury, birth defect or illness and, without limiting the generality of the foregoing, includes diabetes mellitus, epilepsy, a brain injury, any degree of paralysis, amputation, lack of physical co-ordination, blindness or visual impediment, deafness

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or hearing impediment, muteness or speech impediment, or physical reliance on a guide dog or other animal or on a wheelchair or other remedial appliance or device,

(b) a condition of mental impairment or a developmental disability,

(c) a learning disability, or a dysfunction in one or more of the processes involved in understanding or using symbols or spoken language,

(d) a mental disorder, or

(e) an injury or disability for which benefits were claimed or received under the insurance plan established under the Workplace Safety and Insurance Act.

Discrimination: differential treatment of an individual or group which is based on a personal characteristic of that individual or group and which has an adverse impact on them. Personal characteristics include: race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, gender identification, gender expression, age, marital status, family status, disability, record of offences (in employment only), and receipt of public assistance (in accommodation only) as defined by the *Ontario Human Rights Code*. "Human Rights Discrimination" may include or be linked to "Workplace Sexual Harassment," as defined below.

Faculty: teaching and/or research staff of the University, including Professors, Librarians, Associate Professors, Assistant Professors, Adjunct Professors, and Lecturers.

Harassment: a course of vexatious comment or conduct that is known or ought reasonably to be known to be unwelcome. Single acts of sufficient severity may also constitute harassment. "Harassment" includes: "

- **Bullying:** engaging in aggressive and typically persistent behaviour that is physically or verbally abusive in nature and may involve misuse of power, open humiliation, spreading malicious rumours, intentional ostracism, threatening or offensive language, repeated unfair criticism, and/or undermining an individual's ability or position, which results in damage to the individual's health, productivity, or work relationships and/or reduced feelings of self-confidence, self-esteem, or self-worth. Bullying does not include a reasonable action

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taken by an employer or supervisor relating to the management or direction of workers or the workplace.

- **Human Rights Harassment**: engaging in a course of vexatious comment or conduct that is known to be or ought reasonably to be known to be unwelcome to an individual a person or group, whether intended or not, based on: race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, gender identification, gender expression, age, marital status, family status, disability, record of offences (in employment only), and receipt of public assistance (in accommodation only) as defined by the *Ontario Human Rights Code*. "Human Rights Harassment" may include or be linked to "Workplace Sexual Harassment," as defined below.

- **Personal Harassment:** one or a series of objectionable and unwelcome comments or conduct directed toward a specific person or group of persons which diminish the dignity of the recipient(s) and serve no legitimate work or academic related purpose, and/or have the effect of creating an intimidating, humiliating or hostile work or learning environment.

- **Sexual Harassment:** includes but is not restricted to:

(a) any unwanted attention of a sexually oriented or gender-oriented nature directed at an individual a person or group by another person or group of the same or opposite sex who knows, or ought reasonably to know, that this attention is unwanted;
(b) engaging in a course of vexatious comment or conduct because of sex, sexual orientation, gender identity or gender expression, where the course of comment or conduct is known or ought reasonably to be known to be unwelcome;
(c) making a sexual solicitation or advance where the person making the solicitation or advance is in a position to confer, grant or deny a benefit or advancement to the recipient thereof, and the person making the solicitation knows or ought reasonably to know that the solicitation or advance is unwelcome;
(d) any implied or expressed promise of reward for complying with a sexually oriented request or advance;
(e) any implied or expressed threat of reprisal for refusing

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to comply with an implied or expressed sexually oriented request;

(f) any inappropriate behaviour, verbal or physical, of a gender- or sexually oriented nature that either interferes with the academic or work environment of an individual a person or group or creates an intimidating or hostile atmosphere.

- **Workplace Harassment:** engaging in a course of vexatious comment or conduct against a worker in a workplace that is known or ought reasonably known to be unwelcome. It may also include Sexual Harassment, as outlined above. A reasonable action taken by an employer or supervisor relating to the management and direction of workers or the workplace is not Workplace Harassment.

Managers: Faculty or Staff who supervise other employees of the University.

Reprisal: an action or threat that is intended as retaliation or punishment for a person claiming or enforcing a right or participating in an investigation process under the Policy.

Respondent: a person against whom a complaint has been made under the Policy and includes an alleged harasser.

Senior Administration: includes the President, Provost, Vice-Presidents, Vice-Provosts, Associate Vice-Presidents, Executive Directors, Deans, and University Librarian.

Senior Managers: includes Directors, Associate Deans, Associate University Librarians, Associate Directors, and Assistant Directors who manage departments.

Staff: any person employed by the University (except "Faculty" as defined above), whether full or part time, including Managers, Senior Managers and Senior Administration. Students may also be employed as Staff of the University and shall be treated as Staff under the Policy where an incident occurs within the scope of their employment.

Student: a person who is registered in a course of study approved by the Senate; engaged in any academic work which leads to the recording and/or issue of a mark, grade or

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statement of performance by the appropriate authority in the University or another institution; entitled to a valid student card who is between sessions but is entitled because of student status to use University facilities; and/or participating in the English Language Program. Staff of the University may also be students at the University. Staff shall be treated as a "student" under the Policy where an incident occurs while they are acting within their role as a student and outside the scope of their employment.

Vexatious: lacking a sufficient ground and only serving to annoy and distress.

Visitor: a person who is attending Brock University premises for educational, employment, recreational or other purposes but is not a student, course participant, Staff or Faculty member of the University, as defined by the Policy. This would include: members of the local community attending events held on campus or making use of recreational facilities on campus, guests of students, Staff and Faculty, guests of Conference Services staying in residence accommodation, and contractors or other persons working on Brock University premises but not employed by Brock University.

Volunteer: a person who provides services to the University for which they are not being paid. Where a volunteer is also a student, Staff, or Faculty member, they will be treated as a Student, Staff, and Faculty member under the Policy.

Working Days: Mondays to Fridays, excluding Saturdays, Sundays and paid holidays observed by the University.

COMPLIANCE AND REPORTING

This Policy is under the jurisdiction of the President. The interpretation and application of this Policy is the shared responsibility of Human Resources, the Human Rights & Equity Office, and the University's Legal Counsel.

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Policy Owner:	Office of the President
Policy Lead:	Human Resources; Human Rights & Equity Office
Policy Classification:	Board
Approval:	Board of Trustees, Human Resources Committee
Effective date:	XX
Next review:	XX

Revision history:	Adopted July 2006 Revised March 2007 Revised September 2016 Revised September 2018
Related documents:	Employment Accommodation Policy Accessibility Policy Sexual Violence Policy Workplace Violence Prevention Policy Student Code of Conduct Employment Equity Policy Residence Community Standards Applicable Collective Agreements

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RESPECTFUL WORK AND LEARNING ENVIRONMENT PROCEDURES

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PURPOSE

The purpose of this document is to provide detailed instructions for the processes related to the Respectful Work and Learning Environment Policy ('the Policy'), including conflict resolution and investigation procedures.

These Procedures fall under and should be read together with the *Respectful Work and Learning Environment Policy*.

Note that the definitions outlined in the Policy also apply to the Procedures document.

CONFIDENTIALITY

1. Because of the particular sensitivity of allegations of Discrimination and Harassment, the parties to a complaint and those involved in an investigation will be informed of the requirement to keep the complaint and their involvement in an investigation confidential. Breaches of confidentiality may result in disciplinary action.

2. Confidentiality does not mean anonymity. The Respondent to a complaint must be informed of the specific nature of the complaint, including the identity of the Complainant. A Respondent may also be informed of the names of others who participate in an investigation where necessary for the Respondent to respond to the allegations. If a Respondent is provided with this information, they shall be reminded that any reprisal against a Complainant or anyone involved in an investigation constitutes a violation of the Policy may result in disciplinary action.

PERSONAL SAFETY

3. Where there exists a clear, serious, and immediate threat to the safety of one or more members of the community, the University shall warn any community members at risk notwithstanding any confidentiality requirement that may otherwise apply.

ROLE OF THE HRE OFFICE

4. The role of the Human Rights and Equity Office is to:
    - Receive and document concerns regarding an alleged violation of the Policy;
    - Offer support, guidance and advice regarding the scope and application of the Policy, and to outline and advise Complainants and Respondents on the procedures in the Policy, including personal resolution, informal resolution using alternative dispute resolution measures, or a formal complaint;
    - Assist the parties to informally resolve matters, as required;
    - Ensure that Complaints of Workplace Harassment are investigated in a manner that is appropriate to the circumstances, in accordance with applicable collective agreements and other contractual obligations, and coordinate the investigation process in a consistent, timely and fair manner;
    - Communicate the results of any investigation under the Policy to Complainants and Respondents. If either the Complainant or Respondent is a University employee, Human Resources shall be consulted prior to the delivery of any communication;
    - Assist those with supervisory responsibilities in the resolution of human rights concerns;
    - Make referrals to other University departments or outside organizations that can further support or assist the Complainant in resolving the matter; and
    - Bring to the attention of those in positions of responsibility any University policy, procedures or practices that appear to discriminate against a person or groups based on prohibited grounds.

PERSONAL ASSISTANCE

5. Any Complainant or Respondent may seek assistance, support, or representation from another person of their choice, such as a union observer/representative or ombudsperson. The Human Rights and Equity Office shall advise the parties about possible personal assistance available to them on campus.

6. In a personal resolution or informal resolution process, the parties may be accompanied by a personal advisor who may participate in the process as observer and/or representative. However, the parties to the process must also be present and participate. When a personal advisor

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attends and/or represents a party, that party must advise the Human Rights and Equity Office.

7. Participation and/or representation by personal advisors during the formal complaint process is subject to the applicable collective agreements and/or other university policies or codes of conduct.
8. No member of the Human Rights and Equity Office or Office of the Ombudsperson may act as a party's personal representative/advisor during the personal resolution, informal resolution or formal complaint processes.

STAGES OF COMPLAINT

9. The following process describes three stages: personal resolution, informal resolution and formal complaint. In all but the most serious cases, the University would hope that the matter could be resolved through the personal resolution or informal resolution stages. The aim is to arrive at a constructive and mutually acceptable outcome wherever possible.
10. Complaints must normally be initiated within twelve (12) months of the incident occurring. In extenuating circumstances a complaint filed after this twelve-month period has passed may be considered at the discretion of the Human Rights and Equity Office.
11. Any of the time frames for the steps outlined below may be extended upon mutual agreement of the parties. In extenuating circumstances, the Human Rights and Equity Office may also extend a time frame. In all cases, the Human Rights and Equity Office will advise the parties of the reason for and period of the extension. Such notice shall not be unreasonably delayed and will be provided to the parties when it becomes apparent that an extension is required.
12. A Complainant has the right to withdraw a complaint at any time, but the University may continue to address the allegations in the complaint.

PERSONAL RESOLUTION

13. Any Faculty member, Staff member, student, course participant, volunteer or visitor who believes that they have experienced or witnessed Discrimination and/or Harassment:
    - should contact the Human Rights and Equity Office for advice and assistance in resolving the matter;
    - may request that the person(s) engaged in this

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behaviour immediately cease doing so; and
- should, as soon as possible, keep a written record setting out detailed information of the events they experienced, including the date(s), time(s) and location(s) of such events, the names of those who engaged in or who witnessed these events, along with any other written records regarding the event.

14. Where:

- Personal resolution does not succeed;
- The behaviour continues;
- The behaviour is of a more serious nature than can be dealt with by personal resolution; or
- Personal resolution is not appropriate to the specific case;

then the Complainant may make a complaint to the Human Rights and Equity Office, which shall be addressed through the informal resolution or formal complaint process, depending on the circumstances of the case.

INFORMAL RESOLUTION

15. Informal resolution will attempt to be conciliatory rather than adversarial. It is important for both parties to retain their dignity, and for practical solutions to be found to enable the parties to continue to work or study together.

16. Where a complaint of Discrimination and/or Harassment has been made and the informal resolution process is utilized, the Human Rights and Equity Office will make contact with the Respondent to discuss the complaint and invite the Respondent to participate in an informal resolution process.

17. Where the parties agree, the Human Rights and Equity Office will work together with the parties, using alternative dispute resolution strategies to resolve the complaint. Any information obtained during alternative dispute resolution or an attempted settlement arising from the process is without prejudice and will not be introduced as evidence in any subsequent investigation under the formal complaint process.

18. If an informal resolution acceptable to both parties is reached, then the Human Rights and Equity Office will send written communication to both parties, setting out the details of the informal resolution. Receipt of this written communication and confirmation in writing

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regarding the agreement must be acknowledged by both parties. The Human Rights and Equity Office will then assist in bringing about whatever administrative or other action is needed to implement the resolution.

19. Informal resolution shall normally be completed within eight (8) weeks (40 working days) of the Human Rights and Equity Office making contact with the Respondent to discuss the matter.

20. Where:

- Informal resolution measures do not resolve the matter;
- Both parties are not willing to attempt informal resolution;
- The behaviour continues;
- The behaviour is of a more serious nature than can be dealt with by informal resolution; or
- Informal resolution is not appropriate to the specific case,

then the matter will move to a formal complaint process.

FORMAL COMPLAINT PROCESS

21. Failing resolution of the matter through personal or informal resolution, the Complainant may submit a formal complaint form in writing to the Human Rights and Equity Office. A Complainant may submit a formal complaint intake form at any time and is not required to first engage in personal or informal resolution.

22. Using the formal complaint form, the Complainant shall set out the specific nature of the allegation(s), including the date(s) and details of any incident(s) complained of, the name(s) of the witnesses, and the alleged breach(es) of the Policy.

23. The decision on whether or not to proceed with formal complaint shall be made by the Human Rights and Equity Office in consultation with Legal Counsel and Human Resources where relevant. On receiving a formal intake complaint form, the Human Rights and Equity Office will determine if:

- The University has jurisdiction,
- The allegations fall within the scope of the Policy,
- The most recent alleged incident occurred within the past twelve (12) months; and
- There are any safety risks or health concerns that require immediate action.

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24. If the Human Rights and Equity Office decides not to proceed with the formal complaint process, the Complainant shall be informed in writing within ten (10) working days of receipt of the completed formal complaint intake form.

25. If the Human Rights and Equity Office decides to proceed with the formal complaint process, both Complainant and the Respondent shall be notified within ten (10) working days of receipt of the completed formal complaint intake form. This notice shall include:

- The specific nature of the allegations(s), including the dates(s) and details of any incident(s) complained of;
- The alleged breach(es) of the Policy;
- The procedure to be followed in the resolution of the complaint; and
- The support services available which the parties may wish to consult.

26. Nothing in the Policy precludes the University from commencing an investigation where the University reasonably believes that Discrimination and/or Harassment may have occurred.

CLIMATE REVIEWS

27. In consultation with the relevant Vice-President, a Senior Manager or a member of Senior Administration may initiate a Climate Review as an information gathering exercise to:

- Respond to concerns raised by one or more members of the University community regarding the work or learning environment in a specific part of the University community; or
- Assess situations of group conflict from a high-level perspective and recommend practical solutions.

Nothing in this Policy precludes the utilization of informal conflict resolution processes as potential alternatives to a Climate Review.

28. To encourage broad participation in the Climate Review, participants may be permitted to participate on a confidential basis.

29. The mandate of a Climate Review is to solicit and listen to input from participants in order to better understand

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any issues and concerns related to the work and learning environment, and to make recommendations for its improvement.

30. An individual conducting a Climate Review will produce a report at the conclusion of the Climate Review, which will include their recommendations for improving the workplace climate. The report will outline the nature of the issues or concerns identified in the Climate Review and it may identify individuals whose behaviour is alleged to have given rise to those issues or concerns. The report will not make any findings that any person has engaged in misconduct. The report shall not otherwise name any of the participants in the Climate Review. The report will be provided to the Senior Manager or member of the Senior Administration who requested the Climate Review. If the Climate Review includes one or more employees of the University, a copy of the report shall be provided to Human Resources and a representative of the union(s) representing one or more employees in the unit(s) under review. The report may also be provided to the Provost, President, or other Senior Administrators responsible for the unit. The content of the report shall not be disseminated in whole or in part to any other person, except as required by law.

31. The Climate Review report shall not be used as the basis for discipline. The individual conducting the Climate Review may recommend to the University that a formal investigation under the Policy be conducted. In those circumstances, the individual who conducted the Climate Review shall not be appointed to conduct any such investigation and shall not otherwise participate in any such investigation. Documents created by the individual who conducted the Climate Review shall not be reviewed or relied upon by any investigator appointed.

32. The scope and mandate of a Climate Review will be clearly communicated to all affected persons within the unit(s) at the outset thereof and to any relevant union(s). Participants will be advised that participation in the Climate Review is purely voluntary.

33. An executive summary of the report, including the recommendations for improving the workplace climate,

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but not including a recommendation for a formal investigation under the Policy, if any, will normally be shared with all persons invited to participate in the Climate Review, the Senior Manager or member of the Senior Administration responsible for the unit's management, and a representative of the union(s) representing one or more employees who participated in the review. The executive summary will not contain the name of any individuals. Where appropriate, the executive summary may be shared with persons involved in implementing the recommendations. The content of the executive summary shall not be disseminated in whole or in part to any other person, except as required by law.

INTERIM MEASURES

34. After a complaint is made, the Human Rights and Equity Office, in consultation with the appropriate supervisory or academic personnel, will determine if any interim measures are required to protect the University, its community or any of its members, and/or the integrity of the process. These measures may include limiting access to facilities, making arrangements for alternative grading or supervisory relationships, or discontinuing contact between the Complainant and the Respondent during the period of the formal complaint process. Interim measures, if required, are to be implemented by the appropriate University personnel. Human Resources will be consulted before any interim measures that affect a University employee are implemented. Both parties shall be notified of any interim measures. Note that any interim measures are not intended as discipline or a transfer within the meaning of any applicable collective agreement or policy.

RESOLUTION OF FORMAL COMPLAINTS

35. Formal complaints against a student may be dealt with as alleged breaches of residence and/or campus codes of conduct. As such, staff of the Human Rights and Equity Office may refer the matter to Campus Security Services, the Department of Residence, and/or the Manager, Student Affairs, for investigation, adjudication and sanction under the appropriate code of conduct. The Human Rights and Equity Office shall play an advisory role in ensuring that the investigation and adjudication of complaints that are referred to these offices against students are handled in a manner consistent with the

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spirit and procedures within the Policy.

36. Formal complaints against Faculty and Staff shall be dealt with under the Policy and in accordance with applicable collective agreements and Human Resources policies. Human Resources will coordinate with the Human Rights and Equity Office to ensure that, as required by the Occupational Health & Safety Act, a University employee who has allegedly experienced Workplace Harassment will be informed of any corrective action that has been taken or that will be taken as a result of a Workplace Harassment investigation.

37. Where a formal complaint is made against a visitor, volunteer or course participant, the Human Rights and Equity Office will consult with affected parties and relevant University Staff, Managers, and/or Senior Administration to determine how the complaint will be addressed. In making this determination, the following factors will be considered:

- The severity and frequency of the actions complained about;
- Any continuing threat or risk to the University community;
- The person's reason for being on University premises and whether that person has any continuing need to be on University premises;
- The person's response to the complaint and willingness to resolve the matter; and
- The University's duty to provide a safe and healthy work and learning environment for its Faculty, Staff, and students, and its obligations under human rights, employment, and health and safety legislation.

INVESTIGATOR

38. The Human Rights and Equity Office will appoint an impartial investigator with knowledge, training, and experience regarding Discrimination and Harassment to investigate formal complaints under the Policy. The investigator can be an internal investigator, an investigation team, or an external investigator.

39. In determining whether to appoint an external investigator, the Human Rights and Equity Office will consider the nature and severity of the allegations, the number of parties involved, the availability of an external investigator and length of time required to engage them in an investigation, and the appropriateness

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of engaging an internal investigator. At the time of appointment of the investigator, the Human Rights and Equity Office will confirm to the extent reasonably possible the investigator's ability to meet the timelines and other relevant aspects of the Policy.

40. Anyone appointed as an internal investigator under the Policy, and employees in Campus Security Services and the Department of Residences who are responsible for the investigation of Discrimination and/or Harassment complaints, will have been trained or will receive training in how to conduct such investigations, as arranged by the Human Rights and Equity Office and Human Resources.

INVESTIGATION PROCESS

41. Once the investigator has been appointed, the Human Rights and Equity Office will make all relevant documentation in its possession concerning the complaint (subject to section 17 of these procedures) available to the investigator.

42. The parties will be notified in writing of the identity of the investigator appointed.

43. Any party to a formal complaint may challenge the appointment of an investigator on the grounds that the proposed investigator has a potential conflict of interest or that there is a reasonable apprehension of bias on their part. A party raising a challenge will submit it in writing to the Human Rights and Equity Office no later than five (5) working days after notice of the appointment of an investigator has been given to the Complainant and Respondent. The Human Rights and Equity Office will make a decision with regards to the alleged conflict of interest or bias within five (5) working days of having received the challenge. That decision will be final under the Policy.

44. An allegation of bias that arises during the course of an investigation into a formal complaint shall be made in writing as soon as possible following the event(s) giving rise to the allegation and shall be presented to the Human Rights and Equity Office.

45. The Human Rights and Equity Office may determine that an investigation of a formal complaint may continue notwithstanding that an allegation of bias has been made.

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46. The following process will be followed by the investigator appointed by the Human Rights and Equity Office.
47. The investigator will gather testimonial evidence through interviews with the parties and any witnesses relevant to the investigation, as well as any relevant documentary evidence.
48. In all cases, the investigator will ensure that the Respondent has sufficient particulars about the allegations(s) being investigated, including the allegations in the complaint form, to enable them to respond.
49. The investigator may decide to suspend any investigation in the event that the situation is appropriate for, and the parties mutually decide to attempt, alternative dispute resolution through the Human Rights and Equity Office. Should alternative dispute resolution not be successful, the investigator will restart the investigation.
50. The University may decide to postpone, suspend or cancel any investigation if its continuance would duplicate or prejudice another proceeding or bring the administration of the Policy and these procedures into disrepute. In coming to a decision, the University will consider such factors as:
    - The University's responsibility to provide an environment free from Harassment and Discrimination;
    - The recognition that grievances may be filed simultaneously with complaints in order to comply with negotiated timelines (should a Complainant under these circumstances elect to grieve a human rights matter under any applicable collective agreement or other policy established by the University rather than through the Policy and Procedures, the University reserves the right to continue with its own investigation to address the matter in compliance with its obligations under the Ontario Human Rights Code);
    - Other legal procedures that may be initiated to protect statutory rights; and
    - The wishes of the parties.
51. The investigator will update the parties and the Human Rights and Equity Office on the progress of the investigation and its estimated time of completion every

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four weeks.

INVESTIGATION TIME FRAME

52. The investigation, including the preparation and delivery of the investigator's draft report, shall normally be completed within eight (8) months from the date the Respondent is notified in accordance with paragraph 42 above. If an investigation is expected to take longer than eight (8) months, then the Human Rights and Equity Office shall develop an investigation plan with the investigator to create a reasonable timeline for completion, which shall be provided to the parties. Time that elapses during the suspension of an investigation as set out above in paragraph 50 will not be included when calculating this time limitation.

INVESTIGATION RESULTS AND REPORTS

53. Following the conclusion of the investigation, the investigator shall submit an investigation report as soon as practicable, having regard to the scope and complexity of the complaint and the investigation, to the Human Rights and Equity Office, which will distribute it to the parties. This investigation report shall include:
    - Allegations giving rise to the formal complaint;
    - Grounds in the Policy that have allegedly been violated;
    - Any responses of the Respondent and Complainant;
    - Findings of fact; and
    - A determination as to whether or not the Policy has been breached, which shall be made using the standard of proof on a balance of probabilities.
54. If the Complainant is an employee of the University (or otherwise in an employment relationship with the University) and has allegedly experienced Workplace Harassment or Discrimination, both the Complainant and the Respondent (if they are also an employee or in an employment relationship with the University) will be informed of the results of the investigation and of any corrective action that has been taken against either party, as required by law.
55. The Complainant, Respondent, and any appropriate University department(s) and/or official(s) shall be informed in writing of the investigation's outcome. If the investigator's report determines that an employee of the University has violated the Policy, a copy of the report shall be provided to Human Resources.
56. Where the final report finds no breach of the Policy, the matter shall be considered resolved and the final report shall not be forwarded to Human Resources or placed in

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the official personnel or student file of the Respondent.

COMPLAINTS AGAINST HRE STAFF

57. Complaints brought against staff of the Human Rights and Equity Office under this Policy shall be brought to the Office of the President, who shall oversee the application of these procedures to the complaint. Where appropriate and the parties agree, athird party shall be appointed to attempt informal resolution between the parties. Where formal complaint procedures are required, the process for Staff outlined in this procedure shall be used and the President or their designate shall take over the responsibilities normally taken by staff of the Human Rights and Equity Office.

BAD FAITH ALLEGATIONS

58. It is a violation of the Policy for any person to:
    - Make a frivolous, vexatious, malicious or bad allegation;
    - Initiate a procedure under the Policy in bad faith; or
    - Influence an ongoing procedure under the Policy in bad faith.

    A written complaint that a bad faith allegation or action has been made will be treated as a formal complaint under the Policy. If such a complaint is substantiated, it will be subject to the same consequences as complaints of Discrimination and/or Harassment.

REPRISALS

59. It is a violation of the Policy for any person to retaliate or initiate a reprisal against anyone because they have participated in a process using the Policy. Written allegations of retaliation or reprisals will be treated as a formal complaint under the Policy. If such a complaint is substantiated, it will be subject to the same consequences as complaints of Discrimination and/or Harassment and may also be grounds for the use of interim measures as set out in these procedures.

WHISTLEBLOWER PROTECTION

60. A member of the Brock community who comes forward in good faith with reports or concerns about compliance with University policies or procedures shall not be subject to reprisal or retaliation for making such a report. Any such reprisal or retaliation shall be considered under the Policy.

APPEALS

61. A student may initiate an appeal alleging that any of the procedures in the Policy have been violated in accordance with the applicable student code of conduct.
62. The investigation of a formal complaint may commence or continue notwithstanding an allegation of a procedural violation of the Policy or the filing of a related appeal.
63. A unionized employee of the University may initiate an

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appeal by filing a grievance in accordance with the applicable collective agreement.

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Appendix 3 - Summary of Key Changes to the RWLEP

- Separate the RWLEP into both policy and procedure documents using the familiar Brock policy template.
- Amend the scope to provide clarity regarding on-campus and off-campus activities.
- Remove the Appendix that provided examples of types of harassment. This information can be made available on the Human Rights and Equity website or in other locations but need not be tied to the policy documents.
- Move multiple overlapping definitions of harassment and bullying under one heading and streamline these definitions by deleting the redundant "psychological harassment" and re-wording the definition of bullying under the broader heading of harassment.
- Extend the timelines for filing a complaint from 6 months to 12 months from the date of the incident to align with the timeline for complaints filed to the Human Rights Tribunal of Ontario.
- Ensure that the Human Rights and Equity office consults with Human Resources when interim measures are implemented that affect any University employee (e.g., a change of supervisory reporting structure pending the outcome of an investigation).
- Require the investigator to provide monthly updates on the status of the investigation to the parties and to the Human Rights and Equity Office during the term of the investigation.
- The previous timeline of 8 weeks to complete investigations was unreasonable and was almost never met. The new timeline will be 8 months.
- Remove the draft report stage, which permitted the parties to review the report and provide comments before it was finalized. This step adds unnecessary time to the process and rarely, if ever, results in any substantive amendments to the report before it is finalized.
- The investigator will make findings of fact and a determination as to whether the Policy has been breached but will no longer be asked to recommend that disciplinary procedures be initiated as that is the responsibility of the manager in consultation with Human Resources and the appropriate SAC member.
- Add language to clarify the process for conducting a climate review within a unit, which is a different process from the Investigation process.
- The schedule to review the policy will be every three years instead of annually, which is consistent with other policies of this type.
- Some general housekeeping changes (e.g., punctuation and capitalization) and updates to language to provide clarity without changing practice or intent.

Board of Trustees

Report to the University and Community Experience Committee

INFORMATION ITEM

TOPIC: Performance and Overview Indicators report

September 28, 2022
Lynn Wells, Interim President & Vice-Chancellor;
Provost & Vice-President, Academic

EXECUTIVE SUMMARY

1. Purpose of the Report

- The Performance and Overview Indicators report template is used annually to report on progress made in achieving the objectives set forth in the Institutional Strategic Plan and to provide a framework for shaping and reporting on the activities in the year ahead.
- This is the third annual iteration of the report, which is presented to the Board and to Senate in September each year for information before being released to the public.

2. Key Background

- Brock's Institutional Strategic Plan, titled "Brock University: Niagara Roots — Global Reach," was approved in December 2018. The seven-year plan, from 2018-2025, focuses on identifying and achieving the University's academic, cultural and community objectives, defined by growth into a dynamic, next-generation university with enhanced areas of strength, increased experiential and work-integrated learning opportunities, advanced research activity, and active community partnerships.
- A set of overview and performance indicators was developed to measure Brock's success in achieving the objectives set out in the Institutional Strategic Plan. These indicators would be made public annually and reported to both the Board and Senate.
- A draft report template was presented to Senate in May 2020 and to UCEC and Board in cycle 5 of 2019-20. Endorsement of the report template was obtained from all three bodies.
- The current version of the report builds on the report template to include available data from July 2021-June 2022. These data can be divided roughly into three categories:
    - Institutional data already available to the University (e.g., enrolment data or budget data);
    - Data collected as part of the University's engagement with government regarding SMA3. Note that these data have been defined in conjunction with government. These data are clearly identified in the report tables as also being part of SMA3 reporting.

    - New metrics that the University has not yet begun reporting.
- As one would expect, the indicators for 2021-22 continue to show the impact of the pandemic on Brock's objectives in some areas. However, Brock continues to make significant progress overall. Some highlights of the report include:
    - A section dedicated to Brock's return to campus in September 2021, as well as ongoing measures to adapt to COVID;
    - Enrolment numbers remained steady despite the influence of the pandemic on the general economy;
    - Continued improvement in the Maclean's rankings, both with respect to Brock's overall ranking and to its student satisfaction performance;
    - A budget which remains balanced despite the significant effects of the pandemic;
    - Significant milestones with respect to advancement and giving, including the naming of both the Walker Sports and Abilities Centre and the Yousef Haj-Ahmad Department of Engineering; and
    - Continued strength in research revenue, with a second year of revenue values well above Brock's historical levels.
- Work remains to be done in the next year to define a number of indicators related to the inclusivity, accessibility, reconciliation and decolonization priority.
    - For those indicators related to the diversity of the University community, work has begun on a demographic survey. An initial attempt to contract a firm with expertise in this area failed last Winter. Further research is being done to identify potential firms before a request for proposals is re-issued.
    - The Ontario University Application Centre will be implementing changes to the demographic questions it poses to all Ontario high school students applying to a university in the province. Many of these changes will yield new data related to under-representation. Most of these questions will also overlap with the categories identified as performance indicators, yielding an initial picture of Brock's incoming student body.

3. Next Steps

- Data will be reported annually in September using the report template, as previously agreed.

4. Background Materials

Appendix 1 – Performance and Overview Indicators (September 2022) (36 pages)

University and Community Experience Committee
TOPIC: Performance and Overview Indicators report
DATE: September 28, 2022
Appendix 1

Brock University

Performance and Overview Indicators

September 2022

WELCOME TO
THE BEST
YEARS OF
YOUR LIFE.
Brock

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Brock at a Glance

Vision

Brock University is a dynamic, comprehensive university that makes a positive difference in the lives of individuals in our Brock community, the Niagara Region, Canada and the world through leadership, innovation and excellence in learning, teaching, research, scholarship and creativity across disciplines.

Mission

Brock flourishes through the scholarly, creative and professional achievements of our students, faculty and staff. Although we share a common purpose, we recognize and honour knowledge pursued through diverse perspectives and approaches. Our academic mission is to nurture and support our students and faculty in the discovery of knowledge through exemplary scholarship, teaching and service.

Values

- Integrity and respect
- A unique student experience
- Freedom of thought and expression coupled with academic responsibility
- The generation and mobilization of knowledge
- Innovation through disciplinary and transdisciplinary scholarly activities
- Inclusivity, diversity and equity
- Reconciliation and decolonization
- Sustainable, accountable and transparent stewardship

Overview

The University's Institutional Strategic Plan was approved by the Brock Board of Trustees and the Senate, reflecting the collaborative and consultative process involved in its development and the shared strategic priorities established. The Strategic Plan process and the development of associated indicators for success mirror efforts undertaken by a number of other peer universities in recent years.

Brock's strategic priorities for 2018 – 2025 are as follows:

- **Offer a transformational and accessible academic and university experience;**
- **Build research capacity across the University;**
- **Enhance the life and vitality of our local region and beyond; and**
- **Foster a culture of inclusivity, accessibility, reconciliation and decolonization.**

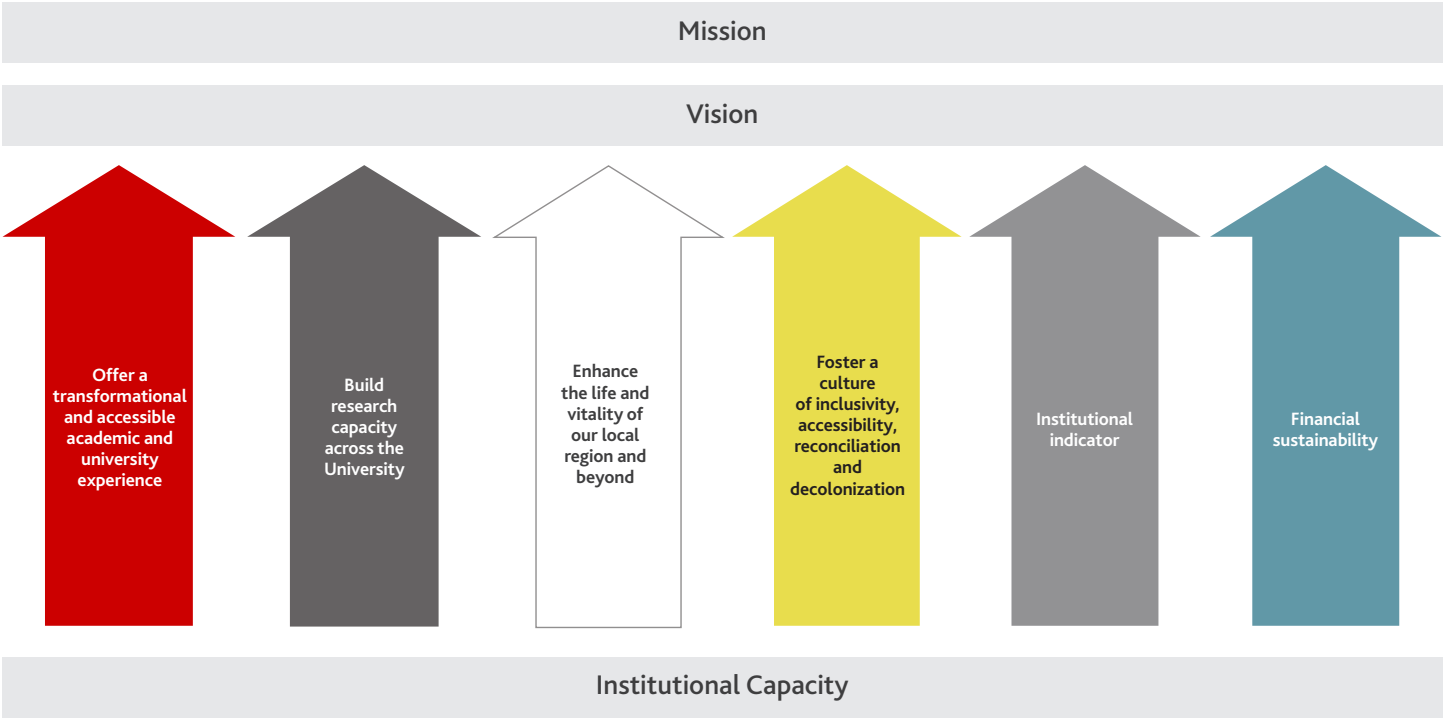
The Strategic Plan states that the realization of the strategic priorities would lead to enhancement in teaching and learning, research, scholarly and creative activities; community engagement aimed at advancing Brock as a comprehensive university of choice for students, faculty and staff as well as alumni, partners and other stakeholders; advanced improvements in students' academic and university experience; growth in the quantity, quality and impact of inquiry, knowledge and originality; and expanded and intensified bonds with local and global partners to increase Brock's reputation.

Furthermore, the Strategic Plan states that these developments will be reflected in Brock's enrolments. Specifically, Brock aims to increase its degree-seeking enrolment from its 2017/18 level of 18,017 to 21,282 by 2024/25, representing an average 2.4 percent annual growth over the seven-year period of the Strategic Plan. International student enrolment will increase from the 2017/18 level of 10 percent to 17 percent of total Brock enrolment levels by 2024/25. While the COVID-19 pandemic has impacted Brock's enrolments, especially at the international level, a strong rebound post-pandemic could still allow Brock to achieve these objectives by the end of the Strategic Plan period. These enrolment targets will be re-evaluated in the post-pandemic period.

Indicators were developed for annual reporting on progress made in support of the strategic priorities. The first iteration of the annual performance indicators report was released in September 2020. This is the third edition. The annual performance indicator reports will also be supported by an interim progress review in 2022 and a final report in 2025.

This current report provides annual data covering the period from July 1, 2021 to June 30, 2022 for the performance indicators established in last year's report, noting that these indicators were developed in collaboration with and approved by the Senate and Board of Trustees.

The current dynamics of the post-secondary environment in Ontario introduce several factors that are highly influenced by government, such as tuition levels and government grant funding. As such, they can be dynamic and even volatile. The additional impacts of the pandemic have made them even more so. For instance, in order to respect the public health measures required to help control the COVID-19 pandemic Brock offered instruction primarily online from March 2020 until September 2021. As the province paused to respect government stay-at-home orders, most faculty members and staff worked from home. Face-to-face meetings were held only rarely, including with both internal and external stakeholders. Certain types of research were slowed down or required to interrupt their work briefly, which had impacts on student academic progression and faculty productivity. While necessary, and despite the best attempts at mitigation, COVID has impacted the University's ability to pursue its strategic objectives. The indicators and metrics outlined in this report therefore take into account the post-secondary environment as well as the Strategic Plan and its priorities.



The mapping framework informing the structure of the Strategic Plan and indicators is reflected above. The information in this report aims to provide an overview of the University's performance. The indicators and metrics this report contains are divided into two primary groups: 'Institutional Performance Indicators' and 'Institutional Reporting Indicators'. The performance indicators tend to be broader in scope and attach specific targets or goals to be achieved for each academic year (e.g., enrolment), while the reporting indicators aim to provide informative data about the University, recognizing that they could be affected by forces outside its control (e.g., graduate earnings, which are determined by the broad labour market and by student choice as much as by the actions of the University).

Institutional Performance Indicators: Definitions

Priority	Indicator	Definition	Lead
Providing a transformational and accessible academic and student experience	Enrolment	Total student population, including domestic and international undergraduate and graduate students	Provost
Increasing the University's research capacity	Research revenue	All revenue from government grants, institutions, foundations and the private sector for research purposes	Vice-President, Research
Enhancing the life and vitality of communities across Niagara region and beyond	Economic impact	Brock University's effect on the Ontario economy	Chief Financial Officer AVP, GR
Fostering a culture of inclusivity, accessibility, reconciliation and decolonization	Self-identified Indigenous students	Self-identified Indigenous students, including First Nations, Inuit, and Métis students, as reported to Brock's Aboriginal Student Services office	President
	% of programs that include Indigenous context, culture, history and/or thought	To be collected from departments in 2022 based on Senate-approved Indigenous learning outcomes, which are currently under development	Provost Vice-Provost, Indigenous Engagement
	% of programs that include content related to equity, diversity and/or inclusion	To be collected from departments in 2022	
External indicator	Maclean's rankings	Brock's performance in Maclean's University Rankings, specifically in the Comprehensive category	Provost
Financial sustainability	Revenues / Expenses	University's funding budget	Chief Financial Officer
	Donations	All donations to the University	AVP, Advancement & External Relations
	Dominion Bond rating	Independent audit of Brock's credit rating	Chief Financial Officer

Priority	2019-20	2020-21	2021-2022
Provide a transformational and accessible academic and student experience	**Enrolment** 19,796	**Enrolment** 19,723	**Enrolment** 19,368
Increase the University's research capacity	**Research Revenue** $11,715,000	**Research Revenue** $11,778,000	**Research Revenue** $13,173,000
Enhance the life and vitality of communities across Niagara region and beyond	**Economic Impact** $652,566,000	**Economic Impact** $2,404,893,623	**Economic Impact** $2,380,454,120
Foster a culture of inclusivity, accessibility, reconciliation and decolonization	**Self-identified Indigenous students** 303	**Self-identified Indigenous students** 321	**Self-identified Indigenous students** **322**
	% of programs that include Indigenous context, culture, history and/or thought N/A	**% of programs that include Indigenous context, culture, history and/or thought** N/A	**% of programs that include Indigenous context, culture, history and/or thought** **N/A**
	% of programs that include content related to equity, diversity and/or inclusion N/A	**% of programs that include content related to equity, diversity and/or inclusion** N/A	**% of programs that include content related to equity, diversity and/or inclusion** **N/A**
Institutional indicator	**Maclean's rankings** Overall: 14 Satisfaction: 4	**Maclean's rankings** Overall: 13 Satisfaction: 2	**Maclean's rankings** Overall: 12 Satisfaction: 3
Financial sustainability	**Revenues** $346,977,000	**Revenues** $328,996,000	**Revenues** $351,389,000
	Expenses $339,319,000	**Expenses** $316,102,000	**Expenses** $347,492,000
	Net $7,658,000	**Net** $12,894,000	**Net** $3,897,000
	Donations Cash received: $3,773,000	**Donations Cash received:** $4,397,000	**Donations Cash received:** $2,091,000
	Recognized audited financial statement: $4,224,000	**Recognized audited financial statement:** $3,987,000	**Recognized audited financial statement:** $4,938,000
	Dominion Bond rating A (High)	**Dominion Bond rating** A (High)	**Dominion Bond rating** A (High)

Overall Strategic Trajectory

Priority	2021-22	2024-25
Provide a transformational and accessible academic and student experience	**Enrolment** 19,368	**Enrolment** 21,282*
Increase the University's research capacity	**Research Revenue** $13,173,000	**Research Revenue** Improved
Enhance the life and vitality of communities across Niagara region and beyond	**Economic Impact** $2,380,454,120	**Economic Impact** Improved
Foster a culture of inclusivity, accessibility, reconciliation and decolonization	**Self-identified Indigenous students** **322**	**Self-identified Indigenous students** Target 2-4% enrolment growth per year
	% of programs that include Indigenous context, culture, history and/or thought **N/A**	**% of programs that include Indigenous context, culture, history and/or thought** Improved
	% of programs that include content related to equity, diversity and/or inclusion **N/A**	**% of programs that include content related to equity, diversity and/or inclusion** Improved
Institutional indicator	**Maclean's rankings** Overall: 12 Satisfaction: 3	**Maclean's rankings** Overall: 12-13 Satisfaction: Top 4
Financial sustainability	**Revenues** **$351,389,000**	**Revenues** $403,988,000*
	Expenses **$347,492,000**	**Expenses** $403,988,000*
	Net **$3,897,000**	**Net** $0
	Donations **$4,938,000**	**Donations** $10,000,000
	Dominion Bond rating A (High)	**Dominion Bond rating** A (High)

Risk Management

Indicator	Risk	Mitigation
Enrolment	Low - Persistence of COVID-19, especially if it continues to limit international travel; low population growth rate in the key 101 demographic; increased competition from other universities, which increased their intake during COVID	Full brand review; increase advertisement and outreach within Ontario; increased recruitment effort for Indigenous and international students; development of new programs and courses that are highly attractive to students (e.g., engineering)
	High - Strong rebound from COVID. Greater outreach to Indigenous community may result in increase in these related numbers	
Research Revenue	Low - Changes in federal or provincial funding framework adversely affecting research; failure to establish research and academic capacity in priority areas determined by government (e.g., STEAM)	Establishment of incentive initiatives and research service capacity to support University members developing proposals, especially in federal and provincial research priority areas
	High - Continued advancement in the research culture and capacity of Brock result in increases in funding applications as well as success rates.	
Economic Impact	Low - The impacts of the pandemic, reduced government funding and/or persistent lower enrolments require that the University reduce the scale of its activities	Lobbying to government on the importance of universities for their local communities and the role universities can play in economic development
	High - A strong economic recovery and/or an activist government provide the University with new opportunities for growth	
Self-identified Indigenous Students	Low - A slow economic recovery from COVID-19, with slow student return to in-person courses	Getting early information from the Registrar's Office on enrolment levels to assist with service planning
	High - Strong engagement with Indigenous communities and awareness of Brock University programs and services could require added investment in Indigenous student services	
% of programs that include Indigenous context, culture, history and/or thought	Low - Inability to attract or retain qualified faculty members; consensus definition may be difficult to achieve; inability to incentivize program creation, which can be a long and onerous process	Early collaboration with Senate and strong central support for faculty members, departments and Faculties that wish to develop programs inpriority areas
	High - Rapid proliferation of programs in this area allows the University to rethink their place in the curriculum	
% of programs that include content related to equity, diversity and/or inclusion	Low - Consensus definition may be difficult to achieve; inability to incentivize program creation, which can be a long and onerous process	
	High - Rapid proliferation of programs in this area allows the University to rethink their place in the curriculum	

Risk Management

Indicator	Risk	Mitigation
Expenses	Low - The new realities after the pandemic minimize or eliminate common types of expenses (e.g., travel)	Fiscal discipline and focus on the priorities laid out in the strategic plan
	High - Adjustment to the teaching online and other changes brought about by the pandemic require investment in new areas	
Donations - Cash received	Low - Philanthropic giving is reduced during challenging economic times following the pandemic	Continued engagement with alumni and potential donors; carefully crafted campaign; adjustment to philanthropic realities post-COVID
	High - A strong campaign and engagement with new major donors leads to significant gifts	
Dominion Bond Rating	Low - The University is forced to assume further debt to make up for reduced funding and/or lower enrolments as the pandemic persists	Fiscal discipline and continued attempts to identify new markets and increase enrolment
	High - The University continued to perform well financially despite the challenges of the pandemic	

Institutional Reporting Indicators

PRIORITY:

Offer a transformational and accessible academic and university experience

AIF launched to strengthen Brock's post-pandemic recovery

Through the new Academic Initiatives Fund (AIF), the Provost supported 17 projects aimed at attracting new student populations, building retention initiatives, and better aligning academic programming with industry needs and student demand. The AIF was created in Spring 2020 to offer one-year seed funding to initiatives that will address the University's strategic priorities and position Brock to face the challenges of recovery from the pandemic. All administrative and academic units reporting to the Provost, including the academic Faculties, were eligible to receive funding.

Brock selects Kitchener-based D2L to provide next Learning Management System

After an in-depth consultation and procurement process, Brock University announced that its next Learning Management System (LMS) will be D2L's Brightspace. The modern, cloud-based Brightspace is well-suited to serve the needs of the University's instructors and students.

With a simple user interface, support for online marking and feedback, a mobile app and continuous updates, the LMS from Kitchener-based D2L offered significant upgrades from Brock's outgoing system. With the agreement now fully in place, Brock will use a phased-in approach to bring the Brightspace LMS online, with the aim of having it operational across all courses by January 2023.

Brock begins University-wide consultation on development of academic plan

As Brock approaches the halfway mark of its Institutional Strategic Plan, the University launched a process to create an academic plan. The academic plan will support the overarching vision of Brock as a dynamic, comprehensive university that makes a positive difference in the lives of individuals. It is being developed in collaboration with the Planning, Priorities and Budget Advisory Committee (PPBAC) of Senate.

Brock launches Canada's first PhD in Sustainability Science

Brock University Environmental Sustainability Research Centre (ESRC) has launched a PhD in Sustainability Science, the first program of its kind in Canada. The first cohort of students will begin in September 2022.

Brock launches Canada's first Master of Arts in Game Studies

The MA in Game Studies is an interfaculty and interdisciplinary program designed to provide students with a high-quality venue for studying and designing games in all their forms. The two-year program offers students opportunities to engage with scholarly and professional literature, exploring the key debates within the discipline. The first cohort of incoming students will arrive in September 2022.

Brock's new residence now open and welcoming students

Brock's brand-new, 308-bed residence building opened in the Winter term after construction that lasted throughout much of the pandemic period. Residence 8 is the eighth housing complex on the main Brock University campus in St. Catharines and increases the University's total residence capacity to nearly 2,800 beds.

Goodman's BBA International Double Degree program receives prestigious accreditation

The Goodman School of Business received accreditation from the European Foundation for Management Development (EFMD) for one of its flagship offerings — the Bachelor of Business Administration International Double Degree co-op program.

The three-year accreditation recognizes the quality of education at both Brock and the European partner schools and comes after a thorough analysis of the program by EFMD's Peer Review Team, which included a virtual visit.

Brock takes next step to refresh its brand

The brand refresh was launched in 2021, when the Provost and the Associate Vice-President, Advancement chaired a committee that included students, staff, faculty members and trustees. Working with a third-party consultant, research and consultation were conducted to identify and refine Brock's core value proposition. The refreshed brand was presented internally early in 2022 and will be rolled out progressively through the 2022-23 academic year.

Brock making tuition more affordable for international students

While domestic students generally know what their tuition will be during their post-secondary education, international students pay significantly more due to the lack of government funding to subsidize the cost of program delivery. International tuition changes each year due to inflationary pressures and restrictions on government revenues. To provide greater budget certainty for students around the world, the University introduced a new tuition structure that will see international students pay the same amount as their first-year tuition through their whole undergraduate studies. The change will start with students who enrol at Brock for the 2022 Spring/Summer Term.

Brock again ranked among Top 100 in world for sport science programs

Brock University has once again ranked among the Top 100 universities in the world for its Kinesiology and Sport Management programs in the annual QS University World Rankings on sports-related subjects. Brock was ranked among the Top 100 in the world and among the Top 9 in Canada.

Brock was ranked alongside Queen's University, and ahead of the University of Waterloo, Université Laval and the Université de Montréal. The QS University World Rankings compare up to 550 institutions around the world in each category and rank them based on things such as academic reputation, employer reputation and research citations per paper.

Brock acquires Schmon Parkway site, enabling expansion of on-campus classroom and research space

Brock University acquired an eight-acre site on Schmon Parkway to support future growth, further enabling the expansion of classroom and lab space on the St. Catharines campus.

In an effort to free up space for more classrooms and research labs, several units that do not provide student-facing or employee-facing services, and are not operationally required to be on campus, will be relocated to the new site. It is expected the relocations will begin gradually in late 2022.

Brock launches Canada's first accelerated concurrent Nursing program

Applications are now open for Brock University's new concurrent Bachelor of Nursing/Master of Nursing (BN/MN) program — the first of its kind in Canada. The concurrent BN/MN degree in Nursing is an innovative, course-based program designed to provide students with a high-quality alternative entry to practice that includes a hands-on and theoretical approach. The program combines an undergraduate and graduate degree in Nursing, providing students with an opportunity to become nursing leaders upon graduation.

FMS and GSB launch Bachelor of Science in Data Science and Analytics

Brock's new Bachelor of Science (BSc) in Data Science and Analytics, with co-op option, was specifically crafted to fill evolving labour market needs in the area. The program bridges the gap between two core streams — computational data sciences and domain-specific analytics — by forming well-rounded graduates with strong core knowledge and skills in programming for big data, data infrastructures, computational statistics, data mining, business analytics and management of information systems. The result of a concerted effort between the Faculty of Mathematics and Science and the Goodman School of Business, Brock's program is one of only two BSc programs in Canada combining financial analytics with computational data science. The program will welcome its first cohort of students in fall 2023.

Brock Sports celebrates its most successful year ever

In their first sports campaign since the COVID-19 pandemic cancelled the 2020-21 season, the Brock Badgers celebrated their most successful sports season in University history, capturing seven championship titles in men's rowing, men's lacrosse, women's volleyball, women's hockey, men's basketball and men's and women's wrestling.

The Badgers had 10 teams compete at national championships and 30 teams represented Brock at the provincial level. A total of eight coaches were named Coach of the Year across various sports, while student-athletes secured seven major awards and 45 all-star honours.

Return to Campus

Varsity sports return to Brock

With Ontario University Athletics announcing a return to competition in the Fall, Brock Badgers resumed their training after a year's hiatus in 2020-21 with extra health and safety precautions in place, including a COVID-19 vaccine requirement and mandated regular rapid antigen testing for coaches, athletes, and officials.

Student services transit to hybrid format

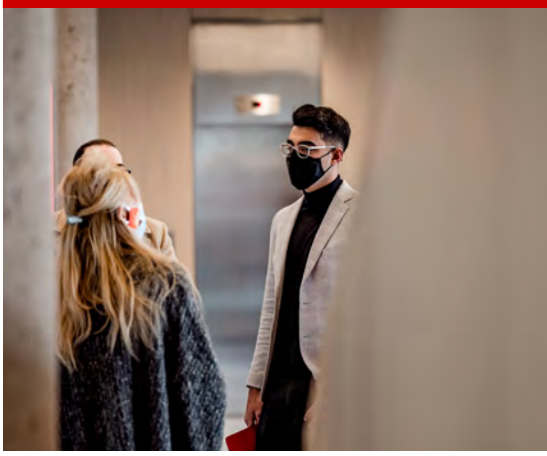
With the return to on-campus instruction, many student services – including Brock's oft-lauded suite of mental health services – transitioned to a hybrid format to facilitate student access. Options are being explored to continue this format in the post-pandemic era, heralding a new future for student services delivery.

Enhancements to ventilation system help control COVID on campus

While a number of changes were made to help ensure the health and safety of the Brock community throughout the pandemic, enhancements to ventilation were among the most substantial. Air exchanges per hour were increased and high-performance, surgical-grade filters were installed across campus. Mobile industrial air purifiers were also installed in labs, classrooms, meeting spaces, and other key locations around campus.

University community returns to on-campus instruction

Having operated largely online since the COVID-19 pandemic began in March 2020, Brock courses returned to campus for the Fall 2021 term. Roughly 60% of courses had at least one on-campus component in the Fall, with that number increasing to 80% in the Winter term. This return was made possible thanks to stringent public health protocols – including Brock's vaccine requirement and rapid testing processes – developed together with Niagara Region Public Health and provincial officials.



111th Brock University Convocation returns to on-campus ceremonies

For the first time in more than two years, Brock University Convocation ceremonies returned to campus, as Spring 2022 Convocation was held in the Ian Beddis Gym with nine ceremonies over five days in June. About 3,500 graduands from seven Faculties crossed the stage as the University returns to more formal in-person celebrations after the COVID-19 pandemic forced the 2020 and 2021 Spring and Fall Convocations to be held online.

Brock adjusts term dates to cope with impact of COVID

The University adjusted its term dates for both the Fall and Winter terms to allow the community to respond to the evolving COVID-19 pandemic.

In the Fall term, most courses began online for the first week in order to allow students, staff and faculty members additional time to get vaccinated ahead of the return to campus and following the Province's implementation of a vaccine mandate.

In the Winter term, Ontario universities worked with provincial public health officials in order to slow the spread of the Omicron variant. In this context, universities agreed to begin courses online and phase back to campus in late January.

PRIORITY:

Offer a transformational and accessible academic and university experience

To be a destination of choice for undergraduate, graduate and part-time students, we must ensure an academic and university experience that positively transforms our students' abilities, understanding, and impact on the world. We teach future-ready students and equip lifelong learners with a zest for knowledge, as well as skills and competencies that will enable them to achieve their full academic, professional, career and life potential. Core to our student experience is the development of engaged citizens who are resilient, involved, career-ready and versatile.

GOAL:

Deliver high-quality programs that meet the interests and needs of students, and support them to achieve their potential in life.

Actions:

- Review and renew academic programs regularly and expeditiously to ensure that they reflect students' interests and animate their desire to expand and challenge their abilities and perspectives.
- Increase and enhance programming that leverages the distinct cultures, geography, economic composition and demographic profile of our region.
- Develop programs that meet labour market and societal needs by tailoring them to provide students with the skills required for current and potential areas of growth.
- Map learning outcomes with career and life skills and competencies to facilitate academic program renewal and development and facilitate existing and future academic pathways.
- Increase experiential learning and high-impact practices across all academic programs.
- Improve and enhance pedagogical support and development opportunities for faculty and staff.

GOAL:

Expand Brock's lifelong learning opportunities for our students and members of the community.

Actions:

- Adopt flexible and inclusive courses and program delivery formats, including a tri-semester schedule, to better meet the needs of a broader demographic.
- Expand and formalize responsibilities for lifelong learning such as part-time degree offerings and professional development opportunities.
- Create initiatives that lead from certificate or diploma programs to an undergraduate or graduate credential, further skills for working professionals (micro credentialing) and offer learning opportunities for older adults.

GOAL:

Provide an engaging campus experience that meets students' needs and provides social, cultural and recreational opportunities for all students.

Actions:

- Ensure that students receive timely and proactive support services.
- Continue to build capacity in ExperienceBU and the co-curriculum.
- Continue to improve effective and well-integrated student services in order to meet the needs of an increasingly diverse student body.
- Enhance and improve recruitment and other supports to ensure personal and academic success for Indigenous, international, and first-generation students.

GOAL:

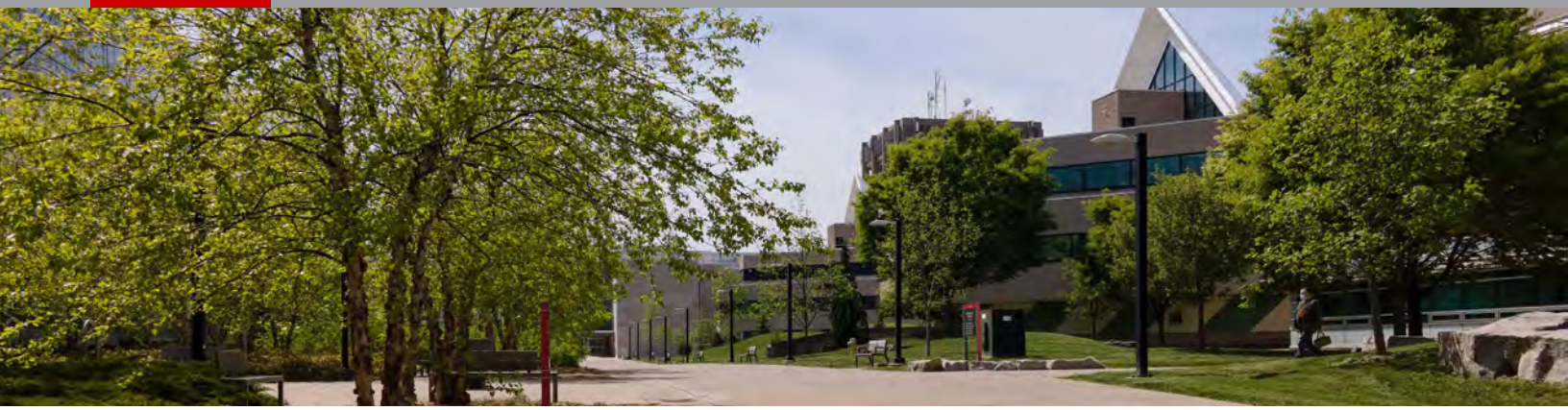
Offer globally-oriented learning and experience opportunities.

Actions:

- Attract world-leading scholars to Brock.
- Increase active partnerships with highly reputable international academic institutions and global organizations to facilitate opportunities for student and faculty engagement and collaboration.
- Encourage faculty and students to be actively engaged in research, scholarship and academic studies in other countries and bring their learning and perspectives back to Canada to share within local communities.

Priority	Outcomes	Indicator	Included in SMA	FY 18/19 Actual	FY 19/20 Actual	FY 20/21 Actual	FY 21/22
Offer a transformational and accessible academic and university experience	The programs and experiences Brock offer attract an increasing number of students	Enrolment*	No	19,112	19,796	19.,723	19,368
	Institutional strength/focus	Increase in programs of strength	Yes	50.5%	51.0%	53.3%	54.9%
		Programs with explicit learning outcomes	No	N/A	84%	100%	100%
	Students graduate with a Brock degree	Undergraduate retention to graduation	Yes	75.8%	73.9%	74.5%	76.2%
	Students are prepared for life after Brock	Graduate employment rate (two-year)	No	96.0%	95.9%	94.2%	
		Skills and competencies	Yes	N/A	N/A	N/A	New in SMA3
		Experiential learning as defined by Ministry	Yes	40.1%	37.9%	37.1%	43.2%
	Students succeed in their studies	Undergraduate retention rate (year 1 to year 2)	No	88.5%	86.7%	87.7%	88.1%
		Graduate degree time to completion (in terms)	No	Master's: 4.9 PhD: 15.4	Master's: 4.9 PhD: 16.9	Master's: 4.7 PhD: 14.8	Master's: 5.4 PhD: 14.7

* Institutional Performance Indicator



PRIORITY:

Building research capacity across the University

Brock receives over $500,000 in federal funds for early-stage research

Nine Brock researchers received Insight Development Grants from the Social Sciences and Humanities Research Council of Canada (SSHRC), totaling $501,559 for 2021. Insight Development Grants support research in its initial stages, enabling the development of research questions or methods. Funding runs for up to two years.

Research teams awarded federal funding for community partnerships

Three teams of Brock researchers were awarded funding through the SSHRC Partnership Engage Grant program for projects that aim to help Niagara organizations meet the needs of women and children during the pandemic and provide opportunities for Indigenous communities in the region's tourism industry.

Brock continues to post near-record research numbers

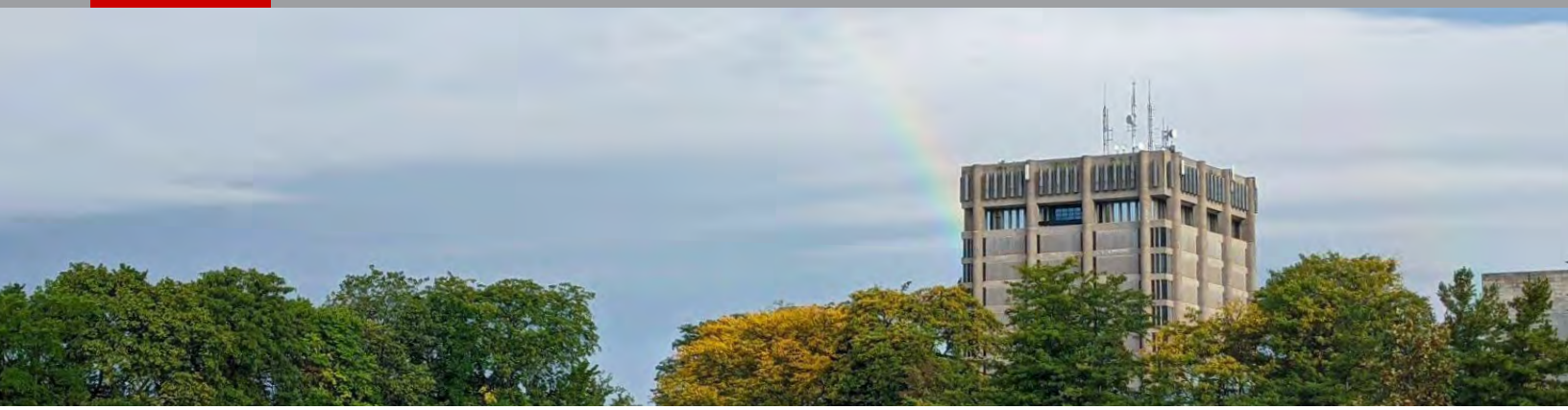
After posting record research revenues of $19.1M in 2020-21, Brock researchers continued their success with $18.4M in revenues in 21-22. The next highest research revenue value stands at $14.2M in 2019-20, marking two years of significant improvement over historical values.

Brock's research outputs also increased by 28% in 2020-21, the latest year of data made available by SciVal. Research outputs include journal articles, conference papers, reviews, books, book chapters, and other products of research activity.

High marks for Brock on research funding national report

Research Infosource, which tracks Canada's research and development performance, ranked Brock University first out of 21 universities in its category for corporate research income growth. The value of Brock's research grants and contracts received from corporate sources grew 134.5 per cent from fiscal years 2019 to 2020, says Research Infosource's latest report dated January 2022.

Corporate research income, or sponsored research, comes from a variety of sources. Agencies such as Mitacs, FedDev and the Natural Sciences and Engineering Research Council's (NSERC) Alliance Grants program leverage funding to Brock obtained from the private sector. These programs, funding from the Ontario Grape and Wine Research Inc. (OGWRI) and other grants and contracts negotiated between Brock and industry accounted for the rise in sponsored research between 2019 and 2020.



Sport Management professor awarded Chancellor's Chair for Research Excellence

Associate Professor of Sport Management Dawn Trussel was awarded the 2021 Chancellor's Chair for Research Excellence. She will use her Chair to investigate how volunteers and paid staff in community youth sport organizations define and learn about allyship and activism.

Brock University gains four new Canada Research Chairs, one renewal

In January, the federal government announced four new CRCs for Brock, as well as one renewal. Canada Research Chairs are nationally recognized experts who contribute knowledge, understanding, and solutions to society. Brock is now home to 12 CRCs, with another two allocations expected to be filled in the next few years.

Brock University's new CRCs are:

- Paula Duarte-Guterman, Assistant Professor, Psychology
- Matthew Kwan, Assistant Professor, Child and Youth Studies
- Danielle Sirianni Molnar, Associate Professor, Child and Youth Studies
- Newman Sze, Professor, Health Sciences

In addition, Associate Professor of Kinesiology Michael Holmes, who was named Tier 2 Canada Research Chair in Neuromuscular Mechanics and Ergonomics in 2016, has had his Chair renewed.

CFI awards Brock more than $623,000 for specialized research equipment

Brock University's newest Canada Research Chairs (CRC) will be purchasing state-of-the-art equipment thanks to funding from the Canada Foundation for Innovation (CFI). The CFI has awarded Paula Duarte-Guterman, Matthew Kwan, Danielle Sirianni Molnar and Newman Sze $623,933 for specialized infrastructure through its John R. Evans Leadership Fund.

Kenyon speaks to Parliamentary Standing Committee on Science and Research

In February, Brock's Vice-President, Research Professor Tim Kenyon spoke to the federal Parliamentary Standing Committee on Science and Research on the role that small and medium-sized universities play in supporting regional vitality. Kenyon was invited to participate as a witness in a study being conducted on the successes, challenges and opportunities for science in Canada.

PRIORITY:

Build research capacity across the university

Our research focus is central to our identity. Brock will invest in building a world-leading research institution, grounded in scholarly excellence and strong graduate and post-graduate programs. We will leverage our strengths within and across disciplines to enhance research impact.

GOAL:

Nurture a culture of research and creative excellence.

Actions:

- Integrate research, knowledge and creative values and processes into policy, governance and administration, and create a culture aimed at output, uptake and impact.
- Grow application rates, success rates and overall income for grant applications.
- Enhance recruitment of excellent graduate students, post-doctoral researchers and visiting scholars within Canada and internationally.
- Connect research and scholarly activities conducted by members of the Brock community to global issues.
- Explore expanded undergraduate research and creativity opportunities.

GOAL:

Invest in research infrastructure and support to ensure sustainable and accessible research services for the Brock scholarly community.

Actions:

- Identify and invest in strategic initiatives with the greatest potential to enhance Brock's research intensity.
- Integrate research and experiential education, in part by developing Brock LINC's capacity to enhance student innovation, entrepreneurship, research and commercialization.
- Invest strategically in major research tools and associated infrastructure.
- Increase internal research funding supports and small grants.

GOAL:

Enhance transdisciplinary research and high-impact research practices.

Actions:

- Support collaborative research activity across disciplines and academic institutions, as well as non-academic partners.
- Build on Brock's institutional experiences of transdisciplinary research.
- Enhance and promote awareness of transdisciplinary, impact-focused and problems-based research.
- Develop and promote areas of strategic focus on research, balancing specialization with diversity in strategic research development.

GOAL:

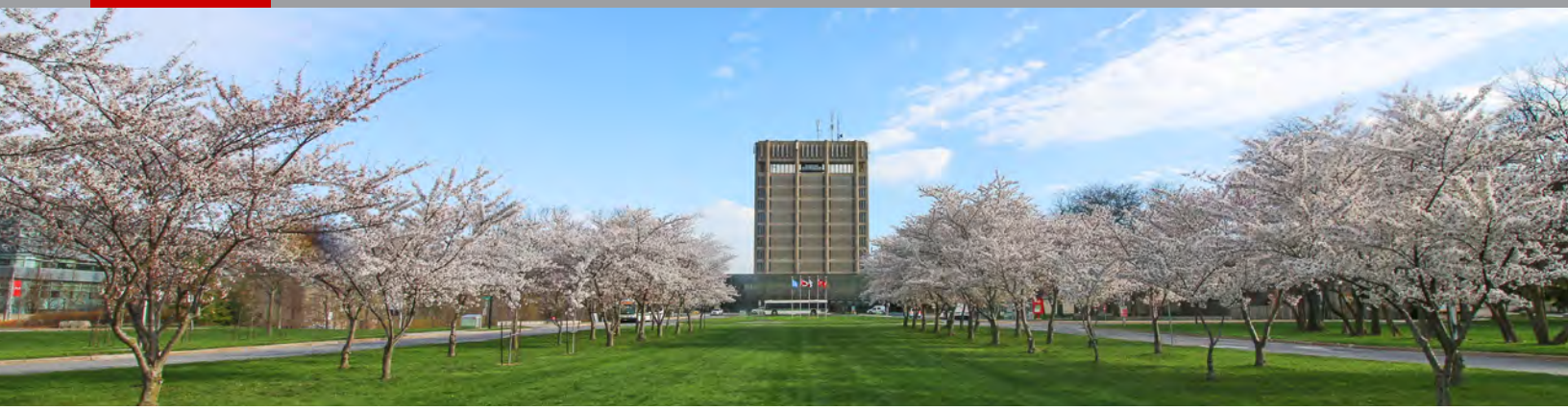
Build awareness of Brock University as a centre of research excellence.

Actions:

- Promote awareness of Brock as a research, training and mentorship destination for excellent graduate students and postdoctoral researchers.
- Enhance international research activity and partnerships.
- Create strategies and practices for the celebration and recognition of scholarly accomplishments of research faculty, students, visiting researchers and staff.
- Facilitate global knowledge exchange by participating in and hosting international symposia.
- Highlight the global impact of research and scholarly activities conducted by members of the Brock community.

Priority	Outcomes	Indicator	Included in SMA	FY 18/19 Actual	FY 19/20 Actual	FY 20/21 Actual	FY 21/22
Build research capacity across the university	Production of high-quality research	Research revenue audited financial statements*	No	$14.592M	$11.715M	$11.778M	$13.173M
		Federal Tri-Agency funding secured	Yes	$8.148M	$7.865M	$10.213M	$9.588M
		Total number of external research grants held	No	651	557	498	501
		Proportion of tenure-stream researchers holding external grants	No	278/623	253/623	242/622	253/622
		Total overhead received	No	$2.261M	$2.326M	$2.398M	$2.556M
	Research is mobilized through external partnerships	Research funding attracted from private sector sources	Yes	$2.086M	$2.390M	$2.216M	$2.593M
		Number of new research partnerships	No	18	15	26	44

* Institutional Performance Indicator



PRIORITY:

Enhance the life and vitality of our local region and beyond

Brock gains connection to GO Transit bus network

In September, Brock became the newest stop on the GO Transit bus network, with service from Hamilton to Stoney Creek, Grimsby, Beamsville, and St. Catharines. The move created new transit options for students commuting from the GTHA to Brock for classes.

Timeline updated for Brock campus relocation to Burlington

Late in 2020, Brock announced a partnership with the City of Burlington to relocate its recently-sold Hamilton campus to Burlington. In October 2021, Brock announced that the relocation would take place in September 2023 in order to allow the City of Burlington to acquire and prepare a new site for the campus. Brock will continue to operate its Hamilton campus through the end of the 2022-23 academic year. An interim location in Burlington will be used if necessary until the new site is ready.

Brock partners with LCBO to advance equity in the beverage industry

The Goodman School of Business has partnered with the LCBO as part of its Spirit of Inclusion initiative in response to the lack of equitable representation of women and diverse communities in the beverage alcohol industry. The partnership will see the creation of a Spirit of Inclusion Research Scholar to conduct research in the area, as well as a series of mobility bursaries intended to remove financial barriers for students wanting to pursue the MBA-MSc double-degree program with France's Burgundy School of Business.

Brock helps Niagara Region fight COVID with vaccines and rapid tests

Ahead of the Fall 2021 term, the University welcomed nearly 10,000 community members over five days as part of Niagara Region Public Health's COVID-19 vaccination efforts. Parking was free for the clinic, which took place in the Beddis Gym.

Brock also welcomed the Province's GO-VAXX bus – a mobile vaccination clinic hosted in a GO bus – on a dozen occasions throughout the academic year. The University also served as a community distribution site for rapid antigen tests.

Brock, TD working together to improve physical and mental well-being of Niagara seniors

Through Brock University's SeniorFit program, offered by the Brock-Niagara Centre for Health and Well-Being, hundreds of Niagara residents 55 years and older are getting a much-needed physical and mental health boost while training in a safe environment. The Centre offers a gym full of all types of workout equipment, one-on-one training, and both in-person and online fitness classes. Through a multi-year grant from TD Bank Group (TD), more resources will be committed to an important community resource with the goal of removing barriers and further promoting health and well-being among older adults. The grant from TD will allow the Brock-Niagara Centre to expand its SeniorFit program across the Niagara region through satellite programs in a number of municipalities.

Brock named one of Hamilton-Niagara's Top Employers for fourth time

Brock University was recognized as one of Hamilton-Niagara's Top Employers for 2022. The annual competition, now in its 15th year, is organized by the editors of Canada's Top 100 Employers. The award honours organizations that demonstrate industry leadership in offering an exceptional place to work through progressive and forward-thinking programs. This is the fourth time Brock University has received the designation, having been selected in every year it has applied: 2017, 2018, 2021 and 2022.

Brock partners with YWCA to support local women and families

Brock formalized its relationship with the YWCA Niagara Region through the signing of a Memorandum of Understanding this year. The YWCA provides emergency shelter, food and assistance to women and their families living in poverty. Committed to social change and creating an equitable community, the organization offers transitional housing and skills development programs to help women regain their independence and to break the cycle of poverty.

Brock partners with MTechHub to strengthen Canadian manufacturing

Brock University and MTechHub have combined forces to enhance the skills of workers in the Canadian manufacturing industry. Through the partnership, Brock University's Professional and Continuing Studies will work with MTechHub, a Burlington-based organization that supports digital transformation for Canadian manufacturing, to develop a set of unique educational opportunities for manufacturing workers that will combine online and classroom learning, hands-on labs, work-integrated projects and factory workshops.

Canada Summer Games Park named after Walker Family

Brock celebrated an investment made by the Walker family in support of the Canada Summer Games (CSG) that saw the Games facility on campus named in their honour. CSG Park was named the Walker Sports and Abilities Centre in recognition of the Walker's $3-million investment.

The Walker Sports and Abilities Centre will include a sport performance centre, the Brock-Niagara Centre for Health and Well-being, a twin-pad arena, a 200-metre indoor track, a cycling and storage pavilion, sport offices and a multipurpose fieldhouse with a parasport gymnasium and combative sport centre. Additionally, six competition beach volleyball courts and a 400-metre track-and-field outdoor facility will be located at the site.

PRIORITY:

Enhance the life and vitality of our local region and beyond

Brock is committed to working with the communities in Niagara, Ontario, Canada and the world. Through local and global connections, we increase opportunities for the residents of Niagara. By responding to the needs of society and supporting its growth and development, we strengthen community vitality and vibrancy.

GOAL:

Increase and enhance enriching opportunities for our students, alumni, faculty and staff to engage with the community.

Actions:

- Establish a mechanism to create and sustain long-term, mutually beneficial community partnerships that will:
  - Expand knowledge mobilization and application through collaborations, both on and off campus.
  - Develop Brock-Niagara community-based accessible programming and resources.
  - Support celebration events that acknowledge our community connections.
  - Encourage active participation in student life, ranging from volunteer and employment opportunities to clubs, intramurals and Brock Sports.
- Encourage and enhance community use of University services and facilities by:
  - Continuing to make Brock resources more accessible to the community.
  - Creating purposeful opportunities for the community to visit Brock.
  - Supporting the development and maintenance of facilities where people learn and live.
  - Ensuring communications and marketing efforts are reaching and understood by the wider community.

GOAL:

Support regional economic, social and cultural vitality.

Actions:

- Support entrepreneurship, commercialization and innovation by:
  - Encouraging entrepreneurially-minded students, faculty and community members to start businesses by providing knowledge, resources and space through Brock LINC programming;
  - Fostering creativity and curiosity through engagement with technology and new digital methods through Brock's Makerspace and Digital Scholarship Lab; and
  - Increasing the volume, diversity and impact of commercialized IP and innovation.
- Increase access to programs that are in high demand by students and by society that will increase the employability of graduates.
- In partnership with our communities, anticipate and respond to societal needs through the co-creation of knowledge of local and global opportunities and challenges.

GOAL:

Enhance engagement with Indigenous communities in the spirit of reconciliation.

Actions:

- Continue to build a welcoming and respectful environment on and off campus.
- Promote two-way dialogue between Indigenous and non-Indigenous people.
- Enhance programming, courses, research and creative activities that promote the understanding of Indigenous pedagogies, systems of knowledge, cultures and histories.

GOAL:

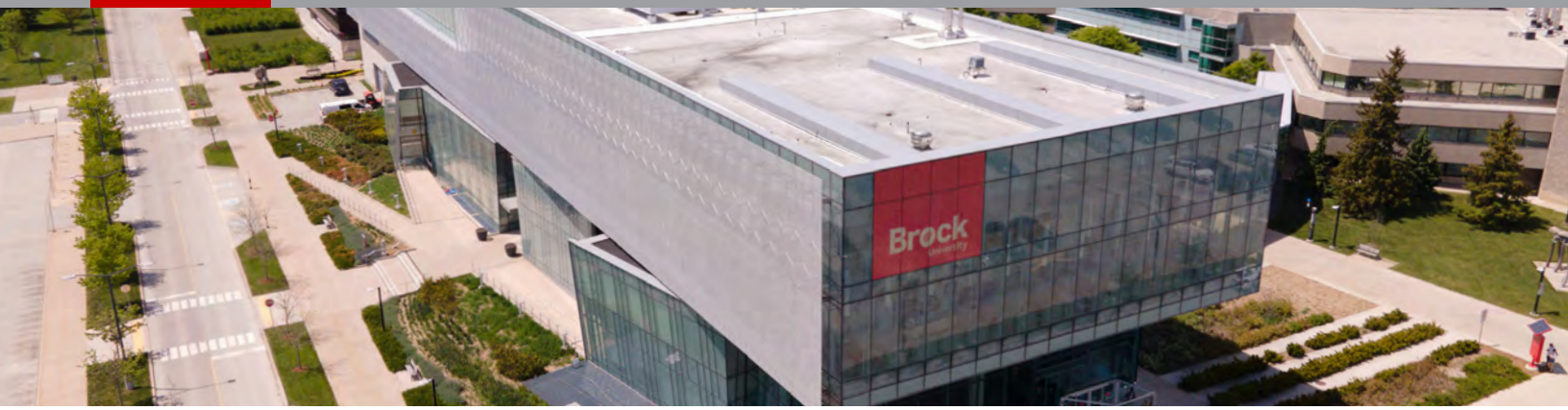
Cultivate outstanding relationships with our alumni starting with their earliest interactions with the University.

Actions:

- Enable graduating students to transition to active alumni status through new initiatives and communication strategies.
- Enhance outreach to alumni and develop additional ways to be involved and recognized in campus life.
- Celebrate the accomplishments and significance of our graduates.
- Build experiential learning, research and community engagement partnerships with alumni.

Priority	Outcomes	Indicator	Included in SMA	FY 18/19 Actual	FY 19/20 Actual	FY 20/21 Actual	FY 21/22
Enhance the life and vitality of our local region and beyond	Economic impact*	Economic impact in Ontario	Yes	$640.000M	$652.566M	$2.405B	$2.380B
	Local engagement	Institutional enrolment as share of the Niagara population	Yes	20.66%	21.41%	20.99%	21.01%
		Strategic university partnerships (MOUs)	No	N/A	9	16	18
		Percentage of Brock students from the Niagara region	No	N/A	N/A	N/A	N/A
	Global engagement	Number of international agent agreements	No	N/A	234	272	177
		Number of international partnerships	No	N/A	28	130	157
	Engagement with alumni	Number of contactable alumni vs. aggregate alumni population	No	63.3%	74.4%	74.0%	74.0%

* Institutional Performance Indicator



PRIORITY:

Foster a culture of inclusivity, accessibility, reconciliation and decolonization

University marks National Day for Truth and Reconciliation

The National Day for Truth and Reconciliation provides an opportunity to recognize and reflect on the multigenerational legacy of the residential school system in Canada. While Orange Shirt Day has existed for decades, 2021 was the first year in which the Day was marked as a federal statutory holiday. For the occasion, Aboriginal Student Services partnered with various offices on campus to distribute orange shirts and organize recognition events.

Brock signs Scarborough Charter

In November, Brock joined nearly 50 other universities and colleges from across Canada in signing the Scarborough Charter, a plan to address anti-Black racism on campus. The charter identifies key barriers to Black inclusion and approaches to identifying and responding to them. It also contains concrete actions and accountability mechanisms for institutions to deliver on their promise to make structural and systemic change. Signatories will discuss next steps and implementation in the coming months.

Brock pilots and refines work-from-home policy

With the return to campus in the Fall, Brock launched a pilot project to determine the viability of work-from-home arrangements in a number of positions across campus. Employees in non-student-facing roles could negotiate term-specific agreements with their managers that would allow them to work off-site a fixed number of days per week. Manager and employee feedback was generally positive throughout the first year. Refinements are being made towards a longer-term policy that will position Brock well for the future of work in the post-pandemic world.

New bursary launched for Black and Indigenous Brock student-athletes

Brock University introduced a new bursary award to provide additional financial support to student-athletes who self-identify as either Black or Indigenous.

The Black or Indigenous Heritage Student-Athlete (BIHS) bursary aims to support student-athletes who demonstrate financial need and is not centred around athletic achievement. The current amount of the BIHS bursary will allow for 25 awards of up to $2,000.

Brock takes steps to strengthen its safe work and learning environment

In March, Brock announced a series of policy review designed to modernize the University's framework and to ensure that we continue to promote effective practices related to inclusivity, accessibility, reconciliation and decolonization.

These steps include:

- Completing a scheduled review of the University's Sexual Assault and Harassment Policy, with numerous engagement opportunities for students, staff, faculty members and librarians to provide their feedback on the policy;
- A scheduled review of the University's Workplace Violence Prevention Policy;
- A scheduled review of the University's Employment Equity Policy; and
- A scheduled review of the University's Respectful Work and Learning Environment Policy in Fall 2022.

An internal review of Brock's Human Rights and Equity Office (HRE) was also launched to consider HRE's mandate, operational effectiveness, organizational structure and resourcing. The review will provide recommendations to the President by the end of the calendar year.

PRIORITY:

Foster a culture of inclusivity, accessibility, reconciliation and decolonization

At Brock, we believe that a diverse and welcoming learning community is built upon the foundation of exceptional students, faculty, staff and alumni. This requires that Brock be attractive and welcoming to people of all identities, and accepting of the unique histories and experiences of Indigenous people within the Canadian state.

GOAL:

Strengthen relationships of trust with Indigenous communities and partners across all sectors and activities of the University.

Actions:

- Enhance and improve recruitment, retention, and learning, as well as other supports for Indigenous, international and first-generation students, including the creation of a dedicated web portal for students from under-represented groups outlining the services and resources available to them.
- Improve data capabilities to track and assess institutional success in recruiting and retaining students from under-represented groups, including Indigenous students.
- Actively recruit outstanding students from Niagara, as well as from diverse regions and backgrounds from around the world.
- Enhance programming for under-represented or marginalized groups that introduces them to the University.
- Increase the visibility of Indigenous culture on campus, such as Indigenous art, and create a dedicated space for Indigenous students on campus.
- Raise awareness of equity-oriented research conducted on campus, including research involving Indigenous groups.
- Expand advancement strategies to increase philanthropic funding for Indigenous and other equity-oriented initiatives

GOAL:

Promote effective human resource practices and philosophies that improve inclusivity, accessibility, reconciliation and decolonization.

Actions:

- Ensure that university-wide structures best serve the values and strategic priorities of the University.
- Provide training and support for search committees on the principles of equity, diversity, inclusion and cultural competency.
- Broaden the scope of training programs for new and continuing Chairs and Directors.
- Continue to implement the recommendations from the report of the Brock University Human Rights Task Force, including a workplace climate survey and equity census.
- Communicate the efforts and impacts of the President's Advisory Committee on Human Rights, Equity and Decolonization across the campus on a regular basis.
- Foster internationalization across the campus so that students from all parts of the world feel welcomed and supported in achieving their academic goals.
- Recruit and retain a diverse group of outstanding staff by providing rewarding and fulfilling careers.
- Develop ongoing training and expand programs for professional development.
- Continue to provide competitive offers of employment, compensation and benefits to ensure a quality work life.

GOAL:

Further celebrate the success of our faculty, staff, students and alumni.

Actions:

- Provide better communication, as well as career and recognition opportunities for faculty, staff, students, alumni and sessional instructors.
- Increase scholarship and award opportunities for exceptional students who have demonstrated excellence academically, socially, culturally and/or athletically.
- Ensure that reporting mechanisms and communication with external university ranking organizations reflect the strengths of the University as a post-secondary institution and the accomplishments of faculty, staff, students and alumni.

Priority	Outcomes	Indicator	Included in SMA	FY 18/19 Actual	FY 19/20 Actual	FY 20/21 Actual	FY 21/22
Foster a culture of inclusivity, accessibility, reconciliation and decolonization	University admissions include under-represented groups	Number of self-identified Indigenous students*	No	326	303	321	322
		Number of self-identified first-generation students	No	N/A	N/A	N/A	N/A
		Number of self-identified racialized students	No	N/A	N/A	N/A	N/A
		Number of self-identified students with disabilities	No	N/A	N/A	N/A	N/A
		Number of self-identified 2SLGBTQ+ students	No	N/A	N/A	N/A	N/A
		Number of students receiving OSAP support	No	10,157 FT	9,491 FT	9,678 FT, 558 PT	9,678 FT, 526 PT
		Number of self-identified scholars from under-represented categories	No	N/A	N/A	N/A	N/A
	Course delivery and curriculum	Indigenous major courses developed and delivered	No	N/A	N/A	N/A	N/A
		Self-identified Indigenous instructors and staff	No	N/A	N/A	N/A	N/A
		% of programs that include Indigenous context, culture, history and/or thought	No	N/A	N/A	N/A	N/A
		% of programs that include content related to equity, diversity and/or inclusion	No	N/A	N/A	N/A	N/A

* Institutional Performance Indicator

PRIORITY:

Institutional ranking and financial sustainability

The 'Institutional ranking' metric reports on Brock's performance in externally motivated and administered assessments. These include the annual Macleans ranking of Canadian universities, as well as several accountability assessments required by Ontario's Ministry of Colleges and Universities.

Brock has a mandate to maintain balanced budgets while pursuing and protecting the academic mission of the University. Its ability to do so is assessed in the 'Financial sustainability' metric.

Brock receives gift of 2,500 historically significant wines

Renowned wine expert Michael Vaughan gifted Brock's Cool Climate Oenology and Viticulture Institute (CCOVI) with his collection of 2,500 award-winning Canadian wines. The collection will be added to CCOVI's wine library, enhancing the University's range of historically significant items.

Brock rises in the ranks of annual Maclean's rankings

For the fourth-straight year, Brock earned the top rank among all comprehensive universities in Canada for mental health supports, while making improvements in other important areas in the 2022 Maclean's University Rankings. Brock continues to be a leader for student services, ranking first in Ontario and third for comprehensive universities in Canada for student satisfaction thanks to its top national ranking for mental health supports, second ranking for academic advising, extracurricular activities and administrative staff, and third for residence living and student life staff.

For the second year Brock improved one spot in the overall rankings to 12th among comprehensive universities. Compared to all Canadian universities, Brock moves up three spots to 29th in the nation, an improvement of nine spots in the past two years.

Brock maintains A High credit rating, trends upward

Despite another challenging year for the post-secondary sector, Brock University has improved its trends rating and retained its A High credit rating from the Dominion Bond Rating Service (DBRS) Morningstar. This improvement in trend ratings reflects DBRS's view that Brock's continued sound fiscal management combined with a modest increase in enrolment forecast will lead to better financial risk metrics than previously expected.

Department of Engineering receives transformative gift from former faculty member

Brock received a $5M philanthropic gift from Yousef Haj-Ahmad, founder of Norgen Biotek Corp and a former Professor of Biological Sciences, to support its development of academic programming in the area of engineering. Senate voted shortly thereafter to rename the Department of Engineering in Haj-Ahmad's honour.

An important part of the Haj-Ahmad Family Foundation's gift to the University is the establishment of the Haj-Ahmad Engineering Scholarship for Women, which will support female students pursuing STEM (science, technology, engineering and math) education each year, paving the way for generations of skilled female engineers.

Brock's undergraduate program in integrated engineering is expected to begin accepting students in September 2024.

Brock makes mark in global Impact Rankings

Brock's work to better the world has earned the University its inaugural spot in a global ranking of post-secondary institutions working towards the United Nations Sustainable Development Goals (SDGs). The Times Higher Education Impact Rankings placed Brock in the top 300 of more than 1,400 universities from 106 countries around the globe. Based on efforts to meet SDGs set by the UN to achieve a better and more sustainable world by 2030, the rankings explore the impact that a university can have, specifically looking at themes of poverty, inequality, climate change, environmental degradation, peace and justice.

Brock passes balanced budget that increases Indigenous supports and expands research

The Brock University Board of Trustees approved a 2022-23 budget that includes strategic new investments in several priority areas and continues to advance emerging academic programs such as engineering and continuing studies. There is more money to support Indigenous students, new funds to further expand research and significant additional spending in student health and financial aid. The budget also includes the next phase of funding for Brock's Yousef Haj-Ahmad Department of Engineering, money for the Professional and Continuing Studies program and funds to support the expanded Department of Nursing.

The budget includes:

- a 3 per cent increase in the Research Support Fund allocation
- new research funding to support Post-Doctoral Fellows
- new money to hire more student-serving health and wellness practitioners
- increased scholarship funding for Indigenous students
- resources to grow Indigenous content in curricula and a commitment to continue investments to aid reconciliation and decolonization.
- more money to support library acquisitions
- additional funds to help keep University data secure

Financial Sustainability

Institutional Indicators	Outcomes	Indicator	Included in SMA	FY 18/19 Actual	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Actual
	Students have a positive experience	Maclean's student experience ranking*	No	3/15	4/15	2/15	3/15
		Maclean's overall ranking*	No	13/15	14/15	13/15	12/15
		Graduate employment earnings (two years after graduation)	Yes	$38,951	$40,494	$43,084	$45,776
		Graduate employment rate in a related field	Yes	88.5%	89.6%	89.8%	
		National Survey of Student Satisfaction (NSSE) [Overall experience as "Excellent" or "Good"; 1st year and 4th year student populations]	No	N/A	N/A	1st: 80% 4th: 81%	N/A

* Institutional Performance Indicator

Financial sustainability	Outcomes	Indicator	Included in SMA	FY 18/19 Actual	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Actual
	Foster financial sustainability and prominence of the University	Total revenues*	No	$344.094M	$346.977M	$328.996M	$351.389
		Total expenditures*	No	$337.590M	$339.319M	$316.102M	$347.492
		Deficit/surplus	No	$6.504M	$7.658M	$12.894M	$3.897M
		University endowment	No	$107.026M	$103.896M	$123.810M	$119.025M
		Dominion bond rating*	No	A (high)	A (high)	A (high)	A (high)
		Donations – Cash received*	No	$4.952M	$3.773M	$4.397M	$2.901M
		Donations – Revenue recognized audited financial statements	No	$3.896M	$4.224M	$3.987M	$4.938M

* Institutional Performance Indicator

Brock University

Niagara Region
1812 Sir Isaac Brock Way
St. Catharines, ON
L2S 3A1

brocku.ca

Board of Trustees

Report to the Governance/Nominating Committee

INFORMATION ITEM

TOPIC: Designation of Trustee Emeritus

September 28, 2022
Chabriol Colebatch, General Legal Counsel and University Secretary
Margaret Thompson, Associate Secretary to the University

MOTION

THAT the Governance/Nominating Committee recommend to the Board of Trustees that Gary Comerford be granted the designation of Trustee Emeritus upon acceptance.

EXECUTIVE SUMMARY

1. Rationale

- The main purpose of the recommendation is for the Board to honour and acknowledge the distinguished and meritorious service to the University of former members of the Board of Trustees and to provide a mechanism so that the Board may benefit from their continued involvement in specific activities and initiatives.
- Gary Comerford's term on the Board of Trustees expired on June 30, 2022. He has contributed to the Board and the University greatly through dedicated and exceptional service and is eligible to receive the designation pursuant to the Honorary Title of Trustee Emeritus Procedures approved by the Board.

2. Key Background

- The Board established the honorary title of Trustee Emeritus in 2017 to honour and acknowledge the distinguished and meritorious service to the University of former members of the Board of Trustees.
- Approval of the designation of Trustee Emeritus is by a majority vote of the Board on the recommendation of the Governance/Nominating Committee.
- In accordance with the Honorary Title of Trustee Emeritus Procedures, the following trustees shall be eligible for nomination as a Trustee Emeritus/a:
    1. Any former trustee who served as Chair, Vice Chair or Chair of a Committee and served at least six years on the Board;
    2. Any former trustee who has demonstrated a strong affinity to Brock

through donations and/or other commitments and who has served at least six years on the Board;

3. Any former trustee who has served on special assignment(s) on behalf of the Board beyond his or her full board term; or
4. Any former trustee who, due to exceptional circumstances, did not complete his or her full Board term but who, in the unanimous opinion of the Board Chair, Immediate Past-Chair and President, had demonstrated a strong commitment to Brock during the time served on the Board.

- Former trustee, Gary Comerford, whose term expired on June 30, 2022, is being presented to the Committee for consideration. Gary is eligible for nomination as he served at least six years on the Board and served in leadership roles on the Board. Details regarding Gary's service on the Board includes the following:
    - Gary served on the Board for 8 years, including serving as Chair of the Board for four years (2017-2021), Chair-Elect/Vice Chair of the Board (2016-17) and as Immediate Past Chair (2021-22);
    - Gary served on the Audit Committee (Vice-Chair 2015-16), Capital Infrastructure Committee, Executive Committee (Chair 2017-2021), Governance/Nominating Committee, Financial Planning and Investment Committee, Human Resources Committee, Pension Committee, University and Community Experience Committee (Chair 2015-16);
    - Gary also served on the Advisory Committee on the Presidency (Chair), and as the Board representative on Senate.
- Currently, there are 24 Trustees Emeriti: George Barkwell, Ian Beddis, Michele-Elise Burnett, Allan Cole, Mario De Divitiis, Nick DiPietro, David Edwards (recused from business items while appointed judge), John Fisher, Val Fleming, Kristine Freudenthaler, Willy Heidbuechel, Dennis Hewko, Valerie Jaeger, Rudi Kroeker, Robert Neill, Andy Panko, Tom Rankin, Carol Reid, Bill Rickers, Leanne Standryk (recused from business items while appointed judge), John Suk, Norris Walker, Robin Williams, Elisabeth Zimmerman.
- The newly appointed Trustees Emeriti are recognized at the Annual Board dinner in June.

3. Implications

- If approved, the Board and the University will benefit from the continuing involvement, counsel and advice from the former trustee for specific activities and initiatives.
- If the honorary title is not approved, the relationship with the former trustee may diminish.

4. Next Steps

- If approved by the Board of Trustees, the Chair of the Board will offer the title of Trustee Emeritus to the former trustee.
- If accepted, the former trustee will be invited to attend and be involved in those activities of Brock's Trustees Emeriti as outlined in the Honorary Title of Trustee Emeritus Procedures and will remain as a Trustee Emeritus at the pleasure of the Board of Trustees.

5. **Background Materials -** N/A

Board of Trustees

Report to the Governance/Nominating Committee

RECOMMENDATION ITEM

TOPIC: Appointment of Board Secretary

September 28, 2022
Ken Chan
Vice-President, Administration

MOTION

THAT the Governance/Nominating Committee recommend to the Board of Trustees that Simon Burke be appointed as Secretary to the Board of Trustees, effective September 30, 2022.

EXECUTIVE SUMMARY

1. Rationale

- Under the Board Bylaw, the Board appoints the Secretary to the Board.
- In 2021/22, the position of University Secretary and General Legal Counsel was separated to create the standalone position of University Secretary and Associate Vice-President, Governance and Policy.
- Following an extensive search, Simon Burke has been appointed to the role, commencing September 26, 2022. The responsibilities of University Secretary include serving as Secretary to the Board and Secretary to Senate.

2. Key Background

- Section 5.2 of the Board Bylaw provides:

  5.2 Secretary

  5.2.1 Appointment of Secretary

  The Board shall appoint a Secretary who shall serve at its pleasure.

- Following the decision to establish the role of University Secretary and Associate Vice-President, Governance and Policy, an extensive search process was undertaken with the support of executive search firm, KBR, as a result of which the University has appointed Simon Burke to the role, commencing September 26th, 2022.

- Simon has almost three decades of government experience. His recent leadership positions included Chief Operating Officer and Corporate Secretary at the Canadian Race Relations Foundation, Director of the Ontario Pay Equity Commission, Project

Lead for Policy & Program Institutional Governance Review in the Office of the Executive Chair at the Ontario Safety, Licensing Appeals and Standards Tribunals. He has considerable experience in the justice system having been the Executive Lead for Program Renewal in the Victims and Vulnerable Persons Division at the Ontario Ministry of the Attorney General, Senior Executive Officer and Chief Administrative Officer at the Ontario Criminal Injuries Compensation Board, and a Special Projects Manager for the Office of the Deputy Attorney General of Ontario in development of an Indigenous Justice Strategy. Simon has also worked directly with Cabinet Ministers including as Director of Policy in the Office of the Minister of Foreign Affairs for Canada and as Chief of Staff in the Office of the Minister of Citizenship for Ontario. Earlier in his career, he served as a Legislative Assistant in the Senate of Canada.

- Simon holds an Honours Bachelor of Arts from Western University, a Postgraduate Diploma in Business Administration from the University of Durham and a Master of Law from the University of Dundee. He is a Life Member of the Association of Canadian Studies.

3. Implications

- The appointment of the Board Secretary will ensure the Board is appropriately supported from a governance perspective and will mean that both governing bodies, Board and Senate, receive consistent and coordinated support.

4. Next Steps

- The current University Secretary will provide support to the incoming incumbent to ensure an orderly and effective transition.

5. Background Materials

N/A

(Circulated prior to approval)

Brock University
Niagara Region
1812 Sir Isaac Brock Way
St. Catharines, ON
L2S 3A1 Canada

Board of Trustees

* 58th ANNUAL MEETING *

MINUTES OF MEETING #6 (2021-22) – CYCLE 5

BOARD OF TRUSTEES

THURSDAY, JUNE 23, 2022, 2:00 PM

IN-PERSON AND BY REMOTE PARTICIPATION VIA MICROSOFT TEAMS

MEMBERS PRESENT:	*Chair*	Mark Arthur
	Vice-Chair	Mary De Sousa
	Immediate Past-Chair	Gary Comerford
	Interim President and Vice-Chancellor	Lynn Wells
	Chancellor	Hilary Pearson
	Trustees	Greg Berti
		Don Cyr
		Faten Darbaj
		Arti Freeman
		Kristian Knibutat
		Brian Lang
		Erin Mathany
		Bill Maurin
		Anne McCourt
		Trecia McLennon
		Haley Myatt
		Miriam Richards
		JoAnna Roberto
		Stephanie Thompson
		Rob Welch
		Debbie Zimmerman
RESOURCE:	*Vice-President, Administration*	Ken Chan
	Vice-President, Research	Tim Kenyon
	Secretary and General Legal Counsel	Chabriol Colebatch
	Associate Secretary	Margaret Thompson
REGRETS:	Marylee O'Neill	
ALSO PRESENT:	Other members of the Brock University community	

1. CALL TO ORDER

The Chair welcomed Trustees, staff and guests to the 58th Annual Meeting of the Board of Trustees and provided a land acknowledgement.

Brock University Board Dashboard

The Board Dashboard had been posted for the information of Trustees.

Meeting Roadmap

The Meeting Roadmap had been posted with the agenda materials for information.

2. DECLARATION OF CONFLICT OF INTEREST

Dr. Wells noted that she will recuse herself from the meeting during confidential Agenda Item 10.4 Presidential Performance Review Process.

3. APPROVAL OF THE AGENDA

The Chair referred members to the Agenda, including consent items, and confirmed that there were no items to be lifted. The Chair proposed a minor sequence change, specifically that item 10.5 be considered prior to 10.4.

On a motion by Trustee McCourt, seconded by Trustee Maurin and carried, it was

RESOLVED that the Agenda, including consent items, be approved as amended.

The Chair further noted that with the Board's approval of the Agenda and consent item 14.0, the Board ratified all decisions made since the date of the last Annual Meeting.

4. BUSINESS ARISING FROM THE MINUTES - None

5. REPORT OF THE CHAIR OF THE BOARD
[The Report of the Chair of the Board dated June 23, 2022 had been posted with the meeting materials.]

The Chair referred members to his Report and highlighted several items for the information of Trustees.

The Chair recognized that this is the final meeting of the Board that Trustee Comerford will be attending as a member of the Board.

On a motion by Trustee Arthur, seconded by Trustee Richards and carried, it was

RESOLVED that the Board of Trustees express its heartfelt gratitude to Gary M. Comerford for his stellar service to this Board and to the University particularly in his capacities as Immediate Past-Chair, former Board Chair, and Chair of the Advisory Committee on the Presidency.

The Chair then extended his sincere thanks to those Trustees who will be retiring, or who have recently retired, from the Board this year.

On a motion by Trustee McLennon, seconded by Trustee McCourt and carried, it was

RESOLVED **that gratitude and appreciation be extended to the following Trustees who are retiring, or have recently retired, from the Board for their commitment, service, and dedication to Brock University and to our community:**

- **Gary Comerford**
- **Erin Mathany**
- **Bill Maurin**
- **Marylee O'Neill**
- **Miriam Richards**
- **Brad Clarke**
- **Rafay Rehan**
- **Christopher Yendt**

Further recognition of the retiring Trustees will be made during the Board Dinner following today's meeting.

6. REPORT OF THE PRESIDENT AND VICE-CHANCELLOR

[The Report of the Interim President and Vice-Chancellor / Provost and Vice-President Academic dated June 23, 2022 had been posted with the meeting materials.]

Dr. Wells expanded on items detailed in the Report regarding senior academic searches and meetings regarding the Scarborough Charter. Trustees were encouraged to read the Scarborough Charter on anti-Black racism and Black Inclusion in Canadian higher education: Principles, Actions, and Accountabilities.

7. REPORT OF THE PROVOST AND VICE-PRESIDENT, ACADEMIC

[A Decision Item *TOPIC: Academic Program Changes – New Programs 2021-22* and an Information Item *TOPIC: Academic Program Changes 2021-22* dated June 23, 2022 had been posted with the meeting materials.]

Dr. Wells provided an overview of the Reports regarding the new 2021-22 academic programs and program changes.

On a motion by Trustee Wells, seconded by Trustee Welch and carried, it was

RESOLVED **that the Board of Trustees concurs with the establishment of the new academic programs approved by Senate during the 2021-2022 academic year and certifies that the programs can be financed by institutional resources.**

8. REPORT OF THE VICE-PRESIDENT, RESEARCH

[The Report of the Vice-President, Research dated June 23, 2022 had been posted with the meeting materials.]

The Vice-President, Research referred Trustees to his Report and expanded on several items for the information of Trustees which included an update on the 2022 recipients of the Indigenous Research Grants.

9.0 REPORTS OF STANDING COMMITTEES

9.1 Audit Committee

Trustee Maurin presented the Report of the Audit Committee from the meeting held on June 22, 2022.

9.1 2021-22 University Financial Statements and Annual Report
[A Recommendation Item *TOPIC: 2021-22 University Financial Statements and Annual Report* dated June 22 & 23, 2022 had been posted with the meeting materials together with the following Appendices: 1 – Brock University Draft Audited Financial Statements; 2 – Explanatory Comments on the Financial Statements; 3 – Reconciliation of Funding Results to Audited Financial Statements; 4 – Explanatory Comments on Internally Restricted Net Assets; 5 – 2021-22 Annual Report; 6 – Presentation of 2021-22 Financial Performance.]

Trustee Maurin referred members to the Report. He noted that the Audit Committee had undertaken a comprehensive review of the 2021-22 audited University Financial Statements and had reviewed KPMG's Audit Findings Report with the external auditor. The Audit Committee is recommending the approval of the audited Financial Statements to the Board.

There were no issues raised by the Board during its review of the 2021-22 audited Financial Statements and internally restricted net assets.

On a motion by Trustee Maurin, seconded by Trustee Knibutat and carried, it was

RESOLVED that the audited Financial Statements of Brock University for the year ended April 30, 2022 be approved.

RESOLVED that the internally restricted net assets in Appendix 4 of the Report be approved.

9.1.2 Reports Reviewed by the Audit Committee

Trustee Maurin highlighted several of the Reports that had been reviewed by the Audit Committee for the information of the Board.

9.2 Capital Infrastructure Committee

Trustee Welch presented the Report of the Capital Infrastructure Committee from the meeting held on June 22, 2022. He noted that a confidential oral update on property matters will be provided later in the meeting during closed session.

9.2.1 Reports Reviewed by the Capital Infrastructure Committee

Trustee Welch highlighted several of the Reports that had been reviewed by the Capital Infrastructure Committee and are available to Trustees in the Committee's SharePoint folder.

9.3 Financial Planning and Investment Committee

Trustee Lang presented the Report of the Financial Planning and Investment Committee from the meeting held earlier in the day, noting that there are two key decision items to

present to the Board for consideration of approval.

9.3.1 2023-24 Brock Scholars Program Change

[A Recommendation Item *TOPIC: 2023-24 Brock Scholars Program Change* dated June 23, 2022 had been posted with the meeting materials together with Appendix 1 – Presentation to Senate.]

The Board reviewed the rationale for the proposed changes to the 2023-24 undergraduate entrance and entrance renewal awards (Brock Scholars program) as detailed in the Report.

On a motion by Trustee Lang, seconded by Trustee McCourt and carried, it was

RESOLVED that the changes to the undergraduate Brock Scholars Program as outlined in the Report be approved.

9.3.2 Policy Review Travel, Meals & Hospitality Expense

[A Recommendation Item *TOPIC: Policy Review Travel, Meals & Hospitality Expense* dated June 23, 2022 had been posted with the meeting materials together with Appendix 1 – Travel, Meals & Hospitality Expense Policy.]

The Board reviewed the proposed changes to the Policy as outlined in the Report.

On a motion by Trustee Lang, seconded by Trustee Maurin and carried, it was

RESOLVED that the amendments to the Travel, Meals & Hospitality Expense Policy as set out in the Report be approved.

9.3.4 Reports Reviewed by the Financial Planning and Investment Committee

Trustee Lang highlighted several Reports that were reviewed by the Committee and are available to Trustees in the Committee's SharePoint folder and/or were included in the consent portion of the Board Agenda.

9.4 Human Resources Committee

Trustee McCourt presented the Report of the Human Resources Committee from the meeting held earlier in the day, noting that there were no decision items to present to the Board.

9.4.1 Reports Reviewed by the Human Resources Committee

Trustee McCourt highlighted several Reports that had been reviewed by the Human Resources Committee and are available to all Trustees in the Committee's SharePoint folder and/or were posted in the consent portion of the Board Agenda. She noted that a full report on succession planning will be considered during the 2022-23. In response to a question raised regarding the involvement of the Human Resources Committee in monitoring the implementation of the Scarborough Charter and other diversity issues, the Board Chair noted that he and the Board Vice-Chair will follow-up with senior administration.

9.5 University and Community Experience Committee

Trustee Freeman presented the Report of the University and Community Experience

Committee from the meeting held on June 22, 2022, noting that there is one confidential information item which will be considered later in the meeting during closed session.

9.5.1 Reports Reviewed by the University and Community Experience Committee

Trustee Freeman expanded on several Reports that had been reviewed by the Committee and are available to Trustees in the Committee's SharePoint folder.

9.6 Governance/Nominating Committee

Trustee De Sousa presented the Report of the Governance/Nominating Committee from the meeting held on June 23, 2022, noting that there are several decision items to present for the consideration of the Board.

9.6.1 Nominating Report

[A Recommendation Item *TOPIC: Nominating Report* dated June 22, 2022 had been posted with the meeting materials together with the following appendices:
1 – Brief Bios of Proposed New Community Trustees
2 – 2022-23 Board Committee Membership Slate
3 – Quick View of Trustee Assignments.]

The Chair referred Trustees to the Nominating Report that contained the rationale for the proposed motions.

Re: Re-election of Community Trustee

On a motion by Trustee De Sousa, seconded by Trustee Arthur* and carried, it was

RESOLVED that Rob Welch be re-elected as a community member of the Board of Trustees for a three-year term, effective July 1, 2022 to June 30, 2025.

Re: Election of Community Trustees

On a motion by Trustee De Sousa, seconded by Trustee McCourt and carried, it was

RESOLVED that Réjeanne Aimey be elected as a community member of the Board of Trustees for a three-year term, effective July 1, 2022 to June 30, 2025.

On a motion by Trustee De Susa, seconded by Trustee McLennon and carried, it was

RESOLVED that Jonathan Davey be elected as a community member of the Board of Trustees for a three-year term, effective July 1, 2022 to June 30, 2025.

On a motion by Trustee De Sousa, seconded by Trustee Mathany and carried, it was

RESOLVED that Nyarayi Kapisavanhu be elected as a community member of the Board of Trustees for a three-year term, effective July 1, 2022 to June 30, 2025.

On a motion by Trustee De Sousa, seconded by Trustee Knibutat and carried, it was

RESOLVED that Kevin Magee be elected as a community member of the Board of Trustees for a three-year term, effective July 1, 2022 to June 30, 2025.

On a motion by Trustee De Sousa, seconded by Trustee McLennon and carried, it was

RESOLVED that Christine Sawchuk be elected as a community member of the Board of Trustees for a three-year term, effective July 1, 2022 to June 30, 2025.

Re: Election of BUAA representative/Community Trustee

On a motion by Trustee De Sousa, seconded by Trustee McLennon and carried, it was

RESOLVED that Greg Plata, Past-President of the Brock University Alumni Association, be appointed as a community member of the Board of Trustees effective July 1, 2022 to coincide with the constituency's prescribed position term.

Re: Proposed Committee Memberships for 2022-23

Members were referred to the proposed Committee Memberships for 2022-23. The Board Chair expanded on the intricacies involved in developing the slate and noted that members may contact him should there be a concern with an assignment.

On a motion by Trustee De Sousa, seconded by Trustee Richards and carried, it was

RESOLVED that the Board Committee Memberships for 2022-23 be approved as outlined in Appendix 2 of the Nominating Report.

Re: Board Representatives on Senate

On a motion by Trustee De Sousa, seconded by Trustee Knibutat and carried, it was

RESOLVED that Joanna Roberto and Christine Sawchuk each be elected to serve as a Board member representative on Senate for a one-year term effective July 1, 2022 to June 30, 2023.

9.6.2 Committee Charter Updates

[A Recommendation Item *TOPIC: Committee Charter Updates* dated June 22, 2022 had been posted with the meeting materials together with the following appendices:
1 – Amended Governance/Nominating Committee Charter
2 – Amended Financial Planning and Investment Committee Charter
3 – Amended Audit Committee Charter.]

The Board reviewed the Report regarding the proposed housekeeping amendments to certain Committee Charters.

On a motion by Trustee De Sousa, seconded by Trustee McLennon and carried, it was

RESOLVED that the Governance/Nominating Committee Charter, Financial Planning and Investment Committee Charter, and Audit Committee Charter be amended as outlined in Appendices 1, 2, and 3 of the Report.

9.6.3 Policy on Board Concurrence with the Establishment of an Academic Unit
[A Recommendation Item *TOPIC: Policy on Board Concurrence with the Establishment of an Academic Unit* dated June 22, 2022 had been posted with the meeting materials together with Appendix 1 – Draft Policy on Board Concurrence with the Establishment of Academic Units.]

The Committee reviewed the Report that contained detailed information regarding the proposed Policy that will formalize the Board's role in the establishment of academic units. During a brief discussion, comments were received regarding the need to develop a similar process for the establishment of capital projects.

On a motion by Trustee De Sousa, seconded by Trustee McLennon and carried, it was

RESOLVED that the Policy on Board Concurrence with the Establishment of an Academic Unit as outlined in Appendix 1 of the Report be approved.

9.6.4 Reports Reviewed by the Governance/Nominating Committee

Trustee De Sousa highlighted several Reports that had been reviewed by the Governance/Nominating Committee and are available to all Trustees in the Committee's SharePoint folder and/or were posted in the consent portion of the Board agenda.

9.7 Direct Reports to the Board

9.7.1 Enrolment & Admissions Update
[An Information Item *TOPIC: Enrolment & Admissions Update* dated June 22, 2022 had been posted with the meeting materials.]

The University Registrar and Associate Vice-President, Enrolment Services provided an overview of the update on graduate and undergraduate degree-seeking admission for the 2022-23 academic year, and responded to a question raised regarding student support services.

9.7.2 Update on Engineering at Brock
[An Information Item *TOPIC: Update on Engineering at Brock* dated June 23, 2022 had been posted with the meeting materials.

The Board reviewed the Report during which the Interim President and Vice-Chancellor / Provost & Vice-President, Academic and the Special Advisor to the Provost expanded on the developments and next steps regarding programming within the Department of Engineering.

9.7.3 Canada Summer Games
[A Memorandum to Dr. Lynn Wells from Dr. Julie Stevens re Brock - Canada Games with a presentation "Brock – Canada Games Academic Update and an Information Item *TOPIC: Canada Games Update: Operational Impact Overview* dated June 23, 2022 together with Appendix 1 – Canada Games Update: Operational Impact Overview had been posted with the meeting materials.]

The Vice-President, Research provided introductory remarks. By way of an overhead presentation, Dr. Julie Stevens, Special Advisor to the President – Canada Games, expanded on Brock's Canada Games academic initiatives.

Following, Ed Wall, Associate Vice-President, Ancillary Services provided a Canada Games operational update and a summary of events that will occur on campus between August 1 – 24, 2022.

10. *IN CAMERA* SESSION TO CONSIDER CONFIDENTIAL REPORTS

The Chair noted that a motion was required to move *in camera* to consider the following confidential items.

10.1 External Audit Services – *In camera*
10.2 Property Matters – Oral Update - *In camera*
10.3 Government Relations Update – *In camera*
10.4 Presidential Performance Review Process – *In camera*
10.5 Reappointment of the Vice-President, Research – *In camera*

Prior to moving *in camera*, the Chair suggested, and members concurred, that item 10.4 be presented following item 10.5. On a motion by Trustee Maurin, seconded by Trustee Knibutat and carried, the Board moved *in camera* at 3:54 p.m. Only Trustees and invited staff remained for the closed session.

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During the *in camera* session, the Board reviewed confidential Reports and passed confidential motions. By way of a resolution, the Board approved that the following motion approved during the *in camera* session be made public:

RESOLVED that KPMG LLP be reappointed as the auditors for the University audit engagements with fiscal year ending in 2023.

The Board resumed open session at 4:19 p.m.

11. OTHER BUSINESS

The Chair thanked Trustees, once again, for their contributions and support and wished everyone a restful summer.

12. ADJOURNMENT

The meeting adjourned at 4:20 p.m.

CONSENT ITEMS

13. APPROVAL OF THE MINUTES OF PREVIOUS MEETING AND CONFIDENTIAL RECORD OF IN CAMERA SESSIONS

13.1 Minutes of Previous Meeting
[The Minutes of the previous had been posted with the meeting materials]

The Minutes of the meeting held on May 5, 2022 were approved by the Board of Trustees by consent.

13.2 Confidential Record of Proceedings of the *In camera* Session of the Previous Meeting
[The confidential Record of Proceedings of the *In camera* session of the meeting had been posted with the meeting materials.]

The confidential Record of Proceedings of the *In camera* session of the meeting held on May 5, 2022 was approved by the Board of Trustees by consent.

14. RATIFICATION OF BOARD DECISIONS
[A Decision Item *TOPIC: Ratification of Board Decisions* dated June 23, 2022 had been posted with the meeting materials.]

By way of approval of the consent agenda, the following motion was approved by the Board of Trustees:

RESOLVED that all acts, contracts, bylaws, proceedings, and payments enacted, done and taken by officers and members of the Board of Trustees since the date of the last Annual Meeting, as the same are set out or referred to in the minutes of the meetings of the Board of Trustees and its Committees, are hereby approved, ratified, and confirmed.

15. REPORT OF THE ACTIONS OF THE UNIVERSITY SENATE
[The Report of the Actions of the University Senate from the 701st meeting held on May 27, 2022 had been posted with the meeting materials for information.]

16. REPORTS OF STANDING COMMITTEES

16.1 Audit Committee

16.1.1 Minutes of Previous Meeting
[The Minutes of the previous meeting of the Audit Committee held on March 2, 2022 had been posted with the meeting materials for information.]

16.2 Capital Infrastructure Committee

16.2.1 Minutes of Previous Meeting
[The Minutes of the previous meeting of the Capital Infrastructure Committee held on March 2, 2022 had been posted with the meeting materials for information.]

16.3 Financial Planning and Investment Committee

16.3.1 RFP – Investment Consultant - *In camera*
[A confidential Decision Item to the Financial Planning and Investment Committee *TOPIC: Request for Proposal – Investment Consultant* dated June 23, 2022 had been posted with the meeting materials for information.]

16.3.2 Brock University Pension Plan – Frequency of Funding Tests – *In camera*
[A confidential Decision Item to the Financial Planning and Investment Committee *TOPIC: Brock University Pension Plan – Frequency of Funding Tests* dated June 23, 2022 had been posted with the meeting materials for information.]

16.3.3 Minutes of Previous Meeting
[The Minutes of the previous meeting of the Financial Planning and Investment Committee

held on May 5, 2022 had been posted with the meeting materials for information.]

16.4 Human Resources Committee

16.4.1 Human Rights and Equity
[An Information Item *TOPIC: Human Rights and Equity Dashboards and Annual Report* dated June 23, 2022 had been posted with the meeting materials.]

16.4.2 Disconnecting from Work Policy
[An Information Item *TOPIC: Disconnecting from Work Policy* dated June 23, 2022 had been posted with the meeting materials.]

16.4.3 Minutes of Previous Meeting
[The Minutes of the previous meeting of the Human Resources Committee held on March 3, 2022 had been posted with the meeting materials for information.]

16.5 University and Community Experience Committee

16.5.1 Minutes of Previous Meeting
[The Minutes of the previous meeting of the University and Community Experience Committee held on March 2, 2022 had been posted with the meeting materials for information.]

16.6 Governance/Nominating Committee

16.6.1 Equity, Diversity, and Inclusion Framework
[An Information Item *TOPIC: Equity, Diversity, and Inclusion Framework* dated June 22, 2022 had been posted with the meeting materials.]

16.6.2 Board Development Action Plan
[A presentation "Governance Big 3" had been posted with the meeting materials for information.]

16.6.3 Results of the 2022 Board Survey
[A confidential Information Item *TOPIC: Results of the 2022 Board Survey* dated June 22, 2022 had been posted with the meeting materials.]

16.6.4 Policy Approvals Update
[An Information Item *TOPIC: Policy Approvals Update* dated June 22, 2022 had been posted with the meeting materials.]

16.6.5 Minutes of Previous Meeting
[The Minutes of the previous meetings of the Governance/Nominating Committee held on May 5, 2022 had been posted with the meeting materials for information.]

Mark L. Arthur, Board Chair

Chabriol Colebatch, University Secretary & General Legal Counsel

(Circulated prior to approval)

Brock University
Niagara Region
1812 Sir Isaac Brock Way
St. Catharines, ON
L2S 3A1 Canada

Board of Trustees

MINUTES OF MEETING #1 (SPECIAL) 2022-23

BOARD OF TRUSTEES

THURSDAY, AUGUST 11, 2022, 4:00 PM

REMOTE PARTICPATION VIA MICROSOFT TEAMS

MEMBERS PRESENT:	*Chair*	Mark Arthur
	Vice-Chair	Mary De Sousa
	Interim President and Vice-Chancellor	Lynn Wells
	Chancellor	Hilary Pearson
	Trustees	Réjeanne Aimey
		Anteneh Ayanso
		Greg Berti
		Jonathan Davey
		Faten Darbaj
		Don Cyr
		Arti Freeman
		Nyarayi Kapisavanhu
		Kristian Knibutat
		Brian Lang
		Kevin Magee
		Dan Malleck
		Anne McCourt
		Trecia McLennon
		Matthew Melnyk
		Haley Myatt
		JoAnna Roberto
		Christine Sawchuk
		Rob Welch
RESOURCE:	*Secretary and General Legal Counsel*	Chabriol Colebatch
	Associate Secretary	Margaret Thompson
BY INVITATION:	Gord Arbeau	
REGRETS:	Greg Plata, Stephanie Thompson, Debbie Zimmerman	

1. CALL TO ORDER

The Chair called the meeting to order and provided a land acknowledgement.

2. DECLARATION OF CONFLICT OF INTEREST

There were no conflicts of interest declared to any matter on the Agenda.

3. APPROVAL OF THE AGENDA

On a motion by Trustee McLennon, seconded by Trustee Welch and carried, it was

RESOLVED that the Agenda be approved.

The Chair noted that a motion was required to move *in camera* to consider the following confidential item:

4. REPORT OF THE ADVISORY COMMITTEE ON THE PRESIDENCY – *In camera*

On a motion by Trustee Malleck, seconded by Trustee Welch and carried, the Board moved *in camera* at 4:03 p.m.

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[During closed session, the Board reviewed a confidential Report and passed a confidential resolution regarding the appointment of the next President and Vice-Chancellor of Brock University.]

The Board resumed open session at 4:25 p.m.

5. OTHER BUSINESS

The Chair expressed his sincere appreciation to the Chair of the Advisory Committee on the Presidency and to the Committee members for their work.

On a motion by Trustee Malleck, seconded by Trustee Knibutat and carried, it was

RESOLVED that the Board of Trustees express its sincere appreciation to Gary Comerford, Chair of the Advisory Committee on the Presidency and to all members of the Advisory Committee for their dedicated and outstanding work.

6. ADJOURNMENT

The meeting adjourned at 4:27 p.m.

Mark L. Arthur
Chair of the Board

Chabriol Colebatch
University Secretary & General Legal Counsel

Senate

REPORT OF THE ACTIONS OF THE UNIVERSITY SENATE

The 702nd meeting of Senate was held on September 14, 2022. The Faculty Handbook has been updated to reflect any approved policy changes. During the meeting, Senate undertook the following actions:

- received the Report of the Senate Chair
- received the Report of the President and Vice-Chancellor
- received the Report of the Vice-President, Research
- received the proposed schedule of academic dates for 2023-24

SENATE ACTIONS TAKEN VIA CONSENT AGENDA:

- approved the Minutes of the meetings of Senate-Elect held on June 1, 2022, the 701st Senate meeting held on May 25, 2022, and the special Senate meetings held on August 9 and August 16, 2022
- received a Report from the University Secretary informing Senate of the decisions made over the summer by the Chair and Vice-Chair of Senate
- received a Report from the Academic Colleague
- received the Report of the Actions of the Board of Trustees
- received the Report of the Academic Review Committee

THIS REPORT CONSTITUTES A SUMMARY OF ACTIONS TAKEN DURING THE OPEN SESSION OF THE MEETING. ADDTIONAL INFORMATION REGARDING SENATE AND SENATE COMMITTEES IS AVAILABLE AT https://brocku.ca/university-secretariat/senate/meetings/.

Margaret A. Thompson, Associate Secretary to the University September 16, 2022

Board of Trustees

Report to the Audit Committee

DECISION ITEM

TOPIC: 2022-23 Audit Committee Work Plan

September 28, 2022
Robert Cargnelli, Internal Auditor and Chief Risk Officer

MOTION

THAT the Audit Committee approve the 2022-23 Committee Work Plan as outlined in Appendix 1.

EXECUTIVE SUMMARY

1. Rationale

- The Board Bylaw (section 7.3.3) requires that each Committee of the Board have an annual work plan which must be reported to the Board at its inaugural meeting each year.
- The attached work plan was developed by the Committee Chair, the President and Vice-Chancellor and Vice-Presidents along with the University Secretary.
- The work plan reflects the Committee's responsibilities in its Charter (attached as appendix 2), the strategic priorities of the University, the feedback provided from the annual board assessment and ongoing actions from the previous year.

2. Key background

- Some of the key items included on the work plan are:
  - 2022-23 Internal Audit Work Plan
  - External Auditor's Audit Work Plan
  - Information Security Updates (at each meeting)
  - University Risk Management Updates and Annual Report
  - Internal Audit Issues Monitoring Report
  - Annual Legislative Compliance Management Program Report
  - Annual Litigation Report
  - Annual Insurance Renewals & Claims Update
  - 2022-23 University Financial Statements and Annual Report
  - Various Internal Audit engagement reports
- Each Committee Chair has recently been requested by the Chair of the Board to develop key objectives for their Committee for the 2022-23 year. The Chair of the Audit Committee has set the following key objectives:
  1. Enhance the risk oversight of the University through continued evolution of the URM framework including:
     a. At least semi-annual enterprise risk assessment updates.
     b. Identification and discussion of new and/or possible emerging risks including changing competitive environment and implications of return to in person on campus.

c. Incorporation of sector, demographic and COVID-19 related trends in identifying and assessing risks.

2. Ensure sufficiency and adequacy of operational contingency plans to deal with future waves of a pandemic/climate risks, along with related internal controls.
3. Ensure a sufficient and appropriate information security function with a specific focus on additional cyber security threats including careful consideration of systems not managed by the University directly.

3. Implications

- Approval of the Committee work plan will provide administration with a guide regarding what reports to bring forward to the Committee and when; however, the work plan is flexible and amendable. Items may be added or deleted by the Committee Chair as required.

4. Next steps

- Following approval by the Committee, the work plan will be presented to the Board at the September 29, 2022 meeting for its information.

5. Background material

Appendix 1 – 2022-23 Audit Committee Work Plan (4 pages)
Appendix 2 – Audit Committee Charter (5 pages)

2022-23 AUDIT COMMITTEE WORK PLAN									Academic & student experience	Research	Community engagement	Inclusivity, accessibility, reconciliation and decolonization	General institutional advancement	Financial sustainability
TITLE	**LEAD**	**CYCLE**	**ACTION** (Info, Rec or Dec)	**TYPE** (Key, Consent)	**ATTENDING**	**BRIEF SUMMARY**	**OUTCOME SOUGHT**	**NOTES**						
FORESIGHT														
External Auditor's Audit Work Plan	B.J. White	1	Info	Key IC	L. Price	External Auditor's Work Plan for the upcoming fiscal year audit including audit risks, testing, areas of focus, materiality and any new accounting standards. Relates to Audit Committee Charter 3.4 External Auditors.	To provide the Committee with information regarding the Audit Work Plan in advance of the external auditor commencing their interim audit work.							x
2022-23 Internal Audit Work Plan	R. Cargnelli L. Norio	1	Dec	Key IC		AC approval of 2022-22 IA Work Plan, as per AC Charter.	Approval of 22-23 Work Plan.						x	
2022-23 Internal Audit Work Plan Update	R. Cargnelli L. Norio	3	Dec	Key IC		Mid-year update of 22- 23 Work Plan. Adjust and reflect changes as	Update only; provide AC clarity around IA activities.						x	
Cyber Insurance Update	K. Chan R. Cargnelli F. Marcella	2	Info	Key IC		Update on state of cyber insurance environment with the University's plans for moving forward.	Information only	Will support annual Insurance report in Cycle 5						
Emerging Risk Issues	K. Chan R. Cargnelli F. Marcella	1,2,3,5	Info	Key IC		Throughout the 22-23 Board Cycle, Emerging Risk reports will be presented as required.	Fulfillment of the Audit Committee's ERM oversight responsibilities							
Joint Report with Risk Officer re: People Risk	J. Guarasci R. Cargnelli	2	Info	Key IC		Outline of the people (primarily recruitment & retention) risks at Brock through the institutional risk lens.	Education, information, feedback.	Also to HRC						
OVERSIGHT														
External Audit Services	K. Chan J. Tonnos	5	Rec	Key IC	L. Price	To provide a summary on the external audit services received in the year with a recommendation of an external auditor for the next fiscal year. Relates to Audit Committee Charter 3.4 External Auditors.	To recommend to the Board the appointment (or reappointment) of the external auditor for the next fiscal year.							x
2022-23 Audit Committee Work Plan	R. Cargnelli	1	Dec	Key		Outline key AC tasks for 21-22 Board cycle.	AC confirms general direction and approach for 21-22.						x	
2022-23 Updated Audit Committee Work Plan	R. Cargnelli	2	Info	Consent		Work Plan updated to inlcude Committee Chair's objectives								
Internal Audit Charter Review	R. Cargnelli L. Norio	1	Info	Key		Performed annually; review to ensure alignment and coordination with AC Charter and current operations.	AC confirms their support with IA mandate.						x	
Audit Committee Goal Progress Scorecard	K. Chan R. Cargnelli	2, 3, 5	Info	Key		Standard Board Committee document.	Tracking of priorities and key tasks.							x

Auditor's Report on the Pension Financial Statements	B.J. White	1	Info	Key	L. Price	The External Auditor will provide a summary of the Pension Plan audit, any control deficiencies or misstatements identified and any significant changes from the prior year. Relates to Audit Committee Charter 3.1	To provide the Committee with a summary of the Pension Plan financial statement audit.							x
DBRS Credit Rating Update	K. Chan J. Tonnos	3	Info	Key	C. Dawson S. Hicks	Presentation and discussions of the University's credit rating review with the University's bond rating agency (DBRS Morningstar). Note: depending on the timing of the review the updated credit rating may not be available at this meeting. Relates to Audit Committee Charter 3.1 Financial Reporting &	To provide an update on the University's credit rating review.						x	x
Brock University Audit Findings Report	B.J. White	5	Info	Key IC	L. Price	The External Auditor will provide a summary of the University financial statement audit which will include any control deficiencies or misstatements identified, any changes from the audit plan, audit testing results and any other issues identified. Relates to Audit Committee Charter 3.4 External Auditors.	To provide the Committee with a summary of the University financial statement audit.							x
2022-23 Board Chair, Board Member and President Expenses	K. Chan J. Tonnos C. Colebatch	5	Info	Key		In accordance with the Audit Committee Charter section 3.7 a, the committee is responsible in reviewing annually the expenses of the Chair of the Board, Board members and the President and Vice-Chancellor for the purpsoe of gaining reasonable assurance as to the reasonableness of such	Seeks to disclose the expenses of the Board Chair, Board members and President & Vice-Chancellor.						x	x
Audit and Review Reports for Fiscal 2022-23	K. Chan J. Tonnos	3	Info	Key	L. Price	A summary of all audit and review engagements (excluding the Pension Plan and University audit) that were completed during fiscal 2021-22 including cost and any audit issues or misstatements identified. Relates to Audit Committee Charter 3.1 Financial Reporting &	For the Committee to be informed of the results of the various audit and review engagements completed during the year.						x	
ITS Security and Cyber Security Update •Information Security Update •NIST GAP Analysis •Cyber Security Awareness Program •Multi-Factor Authentication (MFA) •Managed Detection and Response (MDR) •Cyber Security Awareness Program •Future Projects/Next Steps •Federated Technology Services	K. Chan L. Hall-Hoffarth	1, 2, 3, 5	Info	Key IC	D. Garcia	Updates on key issues and activities addressing information security risks.	Increased awareness of the risks and concerns posed by information security.	also to CIC	x					x
Review of Audit Committee Charter	K. Chan C. Colebatch	2	Info	Key		Bylaw provides that each Committee reviews its Charter at least every 2 years.	Advice will be provided to Governance Committee for its review in conjunction with the full governance review.	also to GN						
HINDSIGHT														

2021-22 BUPP Audited Financial Statements	K. Chan J. Tonnos	1	Rec	Key	L. Price	Presentation of the Brock University Pension Plan (BUPP) audited financial statements and analytical comments of variances year over year. Relates to Audit Committee Charter 3.1 Financial Reporting & Disclosure.	For the Committee to recommend to the Board that the Pension Plan financial statements be approved.	also to FPI							x
2022-23 University Financial Statements and Annual Report	K. Chan J. Tonnos	5	Rec	Key	L. Price	Presentation of the University financial statements and performance with explanations of variances year over year. This report also includes a reconciliation of Funding Results to Audited Financial Statements, comments on Internally Restricted Net Assets and	For the Committee to recommend to the Board that the Audited Financial Statements and Internally Restricted Net Assets be approved.	also to FPI	x	x	x	x	x	x
Sector Financials	K. Chan J. Tonnos	3	Info	Key IC	C. Dawson S. Hicks	Review of financial results of other Universities in the sector. Relates to Audit Committee Charter 3.7 Other Responsibilities.	Provides comparative financial information and metrics.	also to FPI					x	x
Internal Audit Status Update	R. Cargnelli L. Norio	1, 2, 3, 5	Info	Consent IC		Provide AC update on IA activites during preceding period.	For information only.						x	
University Risk Management Update	K. Chan R. Cargnelli F. Marcella	1, 2, 3, 5	Info	Key		Provide AC update on URM activites during preceding period.	For information only.						x	x
University Risk Management Annual Report	K. Chan R. Cargnelli F. Marcella	5	Info	Key		Annual report on URM activites, accomplishments, and future plans.	For information and feedback.						x	x
Internal Audit Issues Monitoring Report	R. Cargnelli L. Norio	5	Info	Key IC		IA tracks all issues & recommendations identified in Audits and follows up with units to ensure completion; status reported annually to the	For information and assurance.						x	
Annual Legislative Compliance Management Program Report	K. Chan C. Colebatch L. Norio	5	Info	Key IC		To provide the Committee with 2022 Legislative Compliance Management Program annual report and to inform on the University's compliance with legislation in fulfilling the Committee's oversight	For information only.				x		x	
Annual Insurance Renewals & Claims Update	K. Chan R. Cargnelli F. Marcella	5	Info	Key IC		Update on the Insurance portfolio (trends, risks, key items for consideration) and the renewals process.	Information and feedback.	Main to FPI; info to AC					x	
Safe Disclosure Report	K. Chan R. Cargnelli L. Norio	5	Info	Consent		Annual report on performance of Brock's Safe Disclosure process (Whistleblower)	For information only.						x	
2022-23 Internal Audit Work Plan Reports	R. Cargnelli L. Norio	1,2,3,5	Info	Key IC		Reports and presentation of 2022- 2023 Internal Audit engagements	For information only.	2022-23 Internal Audit schedule of work to be completed after Work Plan approval in Cycle 1					x	
Annual Litigation Report	C. Colebatch	3	Info	Key IC		Annual status report.	For information only.							
Compliance framework update	K. Chan C. Colebatch	5	Info	Key			For information only.							
Policy Management Review	R. Cargnelli L. Norio	2	Info	Key IC		Report on results of review	Information and tracking							
Payroll Audit - Phase 2	R. Cargnelli L. Norio	2	Info	Key IC		Phase 1 report presented Cycle 5 (2021-22)	Information and tracking							
Animal Care Review	R. Cargnelli L. Norio	1	Info	Key IC		Report on results of review	Information and tracking							
Return to campus and the student experience	L. Wells B. Clarke	1	Info	Key					x		x	x	x	

The shifting competitive landscape	L. Wells G. Jones S. Curtin	3	Info	Key IC (Confirm)					x				x	

Board of Trustees

Board Committee Charter	**AUDIT COMMITTEE**
Approved by the Board of Trustees	April 28, 2011
Amendments approved by the Board of Trustees	February 13, 2014; October 1, 2015; June 23, 2016; June 21, 2018; June 27, 2019, June 25, 2020; October 1, 2020, June 23, 2022

1.	Mandate
	The mandate of the Audit Committee ("Committee") is to assist the Board in its monitoring of the University's: a. financial reporting and disclosure; b. risk management; c. compliance with applicable laws and regulations; and d. external and internal audit functions.
2.	Composition
	The Committee is appointed annually and consists of the following: a. The Chair-Elect (or, when there is no Chair-Elect, the Vice- Chair); b. A minimum of 4 additional community Trustees, one of whom shall serve as Chair; c. Officers of the University may not serve as members of the Committee, however, the President and Chair of the Board shall be invited guests to Committee meetings. d. A member of the Committee other than the Chair-Elect or Vice-Chair is prohibited from being a member of the Financial Planning and Investment Committee. e. At least one member of the Committee shall have a Chartered Professional Accountant (CPA) designation f. All members of the Committee shall have the ability to read and understand financial statements that present a breadth and level of complexity comparable to those of the University sector, though nothing in this Charter is intended or may be construed to impose on any member of the Committee a standard of care or diligence that is in any way more onerous or extensive than the standard to which all board members are subject.
3.	Responsibilities
	In fulfilling its mandate, the Audit Committee shall have the following responsibilities:

3.1	*Financial Reporting and Disclosure* *A. Financial statements* a. review the University's annual financial statements with management and the external auditors to gain reasonable assurance that the financial statements present fairly, in all material respects, the financial position of the University, in accordance with Canadian accounting standards for not-for-profit organizations; b. make recommendations to the Board regarding the approval of the audited financial statements; c. review fund financial statements of the University's Pension Plan and make recommendations to the Board regarding the approval of the Pension Plan financial statements; d. review with management and the external auditors the financial statements of the University's related organizations, where applicable; e. review audit reports from external auditors; f. review the representation letter provided to the external auditors and any additional representations required by the Committee; *B. Financial disclosure* g. review all public disclosure documents containing audited financial information; h. review the procedures for the review of the University's disclosure of financial information extracted or derived from the University's financial statements in order to satisfy itself that such information is fairly presented; i. review with management and the external auditors significant estimates and reserves; *C. Accounting Policies* j. review with management and the external auditors the appropriateness of the University's significant accounting policies and financial reporting disclosures to ensure they are in accordance with Canadian accounting standards for not-for-profit organizations, and report thereon to the Board; and k. review any change in significant accounting policies, financial reporting disclosures and significant estimates and assumptions and recommend either independently to the Board for approval or by way of recommending the audited financial statements to the Board for approval.

3.2	*Risk Management* *A. University risk management* The Committee shall gain reasonable assurance that risks of the University under the purview of the Board of Trustees are being effectively managed and mitigated by: a. Ensuring an adequate and effective risk management program is in place, which is appropriate for the university environment and the academic mission of the University; b. Monitoring and reviewing the effectiveness of the risk management program; c. Reviewing on an annual basis the insurance coverages maintained by the University, as approved by the Financial Planning and Investment Committee. *B. Risks related to Committee mandate* The Committee shall gain reasonable assurance that risks related to its mandate are being effectively managed and mitigated by reviewing the University's strategies, policies and plans for addressing such risks. *C. Financial Controls and Control Deviations* a. regularly assess the University's system of internal financial controls and the University's control environment to gain reasonable assurance that such controls are effective and efficient and assist the Board in assessingwhether management has created a culture of integrity and an effective control environment throughout the organization; b. review the plans of the internal and external auditors to gain reasonable assurance that the combined evaluation and testing of internal financial controls is comprehensive, coordinated and cost-effective; and c. receive reports from management, the external auditors, the Internal Auditor and the University's legal advisors on all significant deviations or indications/detection of fraud and the corrective activity undertaken in respect of such matters.
3.3	Compliance with Laws and Regulations a. review reports from management and others (e.g. internal and external auditors, legal counsel, chief risk officer) with respect to the University's compliance with laws and regulations and gain reasonable assurance that the University's compliance-related policies, procedures and programs are effective, sufficient and appropriate and that appropriate coordination among external audit, internal audit and legal counsel exists; b. review with management, external auditors, chief risk officer, and with University legal counsel any significant legal, compliance or regulatory matters that may have a material effect on the financial statements or the business and affairs of the University, or on the compliance policies of the University, and the manner in which these matters have been disclosed in the financial statements; c. review reporting from the Safe Disclosure program, including an annual report summarizing the number, nature and disposition of disclosures.

3.4	*External Auditors* a. recommend to the Board the appointment of the external auditors, the remuneration and the terms of engagement of the external auditors; b. if necessary, recommend to the Board the removal of the current external auditors and replacement with new external auditors; c. review the performance of the external auditors annually or more frequently as required; d. receive a report annually from the external auditors with respect to their independence, such report to include a disclosure of all engagements (and fees related thereto) for non-audit services by the University; e. approve all requests for non-audit services above the threshold of $50,000 to be performed by the external auditors for the University and its related organizations before such work is engaged. Management may engage the external auditors for non-audit services below the threshold of $50,000, upon assessment of independence, provided that it is reported to the Audit Committee; f. review with management and the external auditors the timing and the process for implementing any rotation of the lead audit partner, the concurring partner and any other active audit engagement team partner; g. review with the external auditors the scope of the audit, the areas of special emphasis to be addressed in the audit, the extent to which the external audit can be coordinated with internal audit activities and the materiality levels which the external auditors propose to employ; h. meet regularly with the external auditors in the absence of management to determine, *inter alia*, that no management restrictions have been placed on the scope and extent of the audit examinations by the external auditors or the reporting of their findings to the Committee; i. establish effective communication processes with management and the University's internal and external auditors to assist the Committee to monitor objectively the quality and effectiveness of the relationship among the external auditors, management and the Committee; and j. oversee the work of the external auditors and the resolution of disagreements between management and the external auditors with respect to financial reporting.
3.5	*Internal Audit* a. approve the Internal Audit Charter; b. approve the annual work plan of Internal Audit; c. review the reports of Internal Audit on engagements in the annual Internal Audit work plan; d. review and approve the reporting relationship of the Internal Auditor to ensure that an appropriate segregation of duties is maintained and that the Internal Auditor has an obligation to report directly to the Committee on matters set out in the annual work plan, irrespective of their other reporting relationships; and approve the appointment, replacement, reassignment or dismissal of the Internal Auditor.

3.6	*Policies* The Committee shall review and make recommendations to the Board regarding the approval, amendment or repeal of any University policy relating to its mandate.
3.7	*Other Responsibilities* a. review annually the expenses of the Chair of the Board, Board members and the President and Vice-Chancellor for the purpose of gaining reasonable assurance as to the reasonableness of such expenses; b. review in advance the appointment of the Vice President, Administration; c. request reports from management on any matters that, in the Committee's discretion, fall within the Committee's duties;
4.	Meetings
	Meetings of the Audit Committee are closed to members of the public. The Committee shall normally meet four times a year, at the call of the Chair, or at the request of the external auditors. At each meeting of the Committee, the members of the Committee shall meet in private session with the external auditors, as required; with management; and with the Committee members only. The Committee shall meet in private session with the Internal Auditor and Chief Risk Officer as often as it deems necessary, but in any event, no less than twice per year. Meetings are held in accordance with the Board and Board Committee Meeting Procedures.

(Circulated Prior to Approval)

Brock University
Niagara Region
1812 Sir Isaac Brock Way
St. Catharines, ON
L2S 3A1 Canada

Board of Trustees

MINUTES OF MEETING #4 (2021-22) – CYCLE 5

AUDIT COMMITTEE

WEDNESDAY, JUNE 22, 2022, 8:00 AM

REMOTE PARTICIPATION VIA MICROSOFT TEAMS

MEMBERS PRESENT:	Bill Maurin (Chair), Kristian Knibutat (Vice-Chair), Mary De Sousa, Anne McCourt, Rob Welch
REGRETS:	Marylee O'Neill
BY INVITATION:	Mark Arthur, Lynn Wells
RESOURCE:	Rob Cargnelli, Ken Chan, Chabriol Colebatch, Tim Kenyon, Margaret Thompson, Bobbi-Jean White (KPMG)
ALSO:	Other invited staff members

1. Call to Order

The Chair welcomed members and staff and called the meeting to order. Members were introduced to Leo Hall-Hoffarth, Interim Chief Information Officer and Associate-Vice-President, Information Technology Services.

2. Declaration of Conflict of Interest

There were no conflicts of interest declared to any item on the Agenda.

3. Approval of Agenda

The Chair confirmed with members that there were no items to be lifted from the consent portion of the meeting Agenda.

On a motion by Trustee Knibutat, seconded by Trustee Welch and carried, it was

RESOLVED that the Agenda, including consent items, be approved.

4. Business Arising from the Minutes

Follow-up Action Item List

The list of follow-up action items had been distributed for the information of members.

5. 2021-22 University Financial Statements and Annual Report

[A Recommendation Item *TOPIC: 2021-22 University Financial Statements and Annual Report* dated June 22 & 23, 2022 had been posted with the meeting materials, together with the following Appendices:
1 – Brock University Draft Audited Financial Statements
2 – Explanatory comments on the Financial Statements
3 – Reconciliation of Funding Results to Audited Financial Statements
4 – Explanatory Comments on Internally Restricted Net Assets
5 – 2021-22 Annual Report
6 – Presentation of 2021-22 financial performance.]

By way of a presentation, the Chief Financial Officer and Associate Vice-President, Financial Services reviewed with members the draft audited financial statements for the year ended April 30, 2022 and the internally restricted net assets. Areas highlighted included, but were not limited to: historical financial position, internally restricted net assets, statement of operations revenue and expense, external research expenses, reconciliation of surplus, statement of financial position, Canada Games Park, major 2021-22 actual to 2020021 actual variances, and revenue and expense model.

During the Committee's review, members of the senior administration and the external auditor responded to questions raised and received feedback from members regarding the future undertaking of a collective audit of the Canada Games Park Consortium partners, and the need to ensure controls are currently in place to protect the University.

With respect to the note 7 to the financial statements, it was suggested that, in future, the identification of the Series A and Series B debentures be more clearly identified.

On behalf of the Committee, the Chair recognized the CFO and AVP, Financial Services and the finance team for their efforts in the preparation of the comprehensive report.

Prior to considering the motions regarding the financial statements and the internally restricted assets, the Chair suggested that the Committee move *in camera* to consider the following Agenda Item which included KPMG's Audit Findings Report:

6. External Auditor Update – *In camera*

On a motion by Trustee Knibutat, seconded by Trustee Welch and carried, the Committee moved *in camera* at 8:40 a.m.

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[During closed session the Committee reviewed KPMG's Audit Findings Report for the year ended April 30, 2022.]

The Committee resumed open session at 8:52 a.m.

The Chair referred members to the proposed recommendations in the Report.

On a motion by Trustee Welch, seconded by Trustee McCourt and carried, it was

RESOLVED that the Audit Committee recommend to the Board of Trustees that the audited financial statements of Brock University for the year ended April 30, 2022 be approved.

RESOLVED that the Audit Committee recommend to the Board of Trustees that the internally restricted net assets in Appendix 4 of the Report be approved.

The Chair noted that a motion was required to move *in camera* to consider the following confidential agenda items:

7. External Audit Services – *In camera*
8. Information and Cyber Security Update – *In camera*
9. Annual Insurance Renewals & Claims Update – *In camera*
10. Emerging Risk Reports – *In camera*
11. Enterprise Risk Management Annual Report – *In camera*
12. Annual Legislative Compliance Management Program Report – *In camera*
13. Internal Audit Issues Monitoring Report – *In camera*
14. Internal Audit Status Update – *In camera*
15. Payroll Audit – *In camera*
16. HRE Administration Review – *In camera*

On a motion by Trustee Welch, seconded by Trustee McCourt and carried, the Committee moved *in camera* at 8:56 a.m. Only members of the Committee, and those invited, remained for the closed session.

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[During closed session, the Committee reviewed confidential Reports and passed a confidential motion for the consideration of the Board of Trustees.]

The Committee resumed open session 10:39 a.m.

17. *In Camera* Record of Proceedings of the Previous Meeting

The confidential Record of Proceedings from the meeting held on March 2, 2022 had been approved by consent.

18. Safe Disclosure Report – *In camera*

The confidential Report had been received by consent.

19. Minutes of Previous Meeting

[The Minutes of the previous meeting had been posted with the meeting materials.]

The Minutes of the previous meeting held on March 2, 2022 had been approved by consent.

20. 2021-22 Board Chair, Board Member and President Expenses

[An Information Item TOPIC: *2021-22 Board Chair, Board Members, and President Expenses* dated June 22, 2022 had been posted with the meeting materials together with the following appendices: 1 – Board Chair's Expenses Fiscal 2021-22; 2 – Board Members' Expenses Fiscal 2021-22; and, 3 – President's Expenses Fiscal 2021-22.]

The Report had been received by consent.

21. Other Business

Noting this was his final meeting as Committee Chair, Trustee Maurin thanked the Committee and senior administrators for their efforts and support.

22. *In camera* Consultations

Separate *in camera* consultations were held with the External Auditor, Internal Auditor, and Management starting at 10:40 a.m.

23. Adjournment

The meeting adjourned following the *in camera* consultations.

Board of Trustees

Report to the Capital Infrastructure Committee

DECISION ITEM

TOPIC: 2022-23 Capital Infrastructure Committee Work Plan

September 28, 2022
Ken Chan, Vice-President, Administration
Scott Johnstone, Associate Vice-President, Infrastructure and Operations

MOTION
THAT the Capital Infrastructure Committee approve the 2022-23 Committee Work Plan as outlined in Appendix 1.

EXECUTIVE SUMMARY

1. Rationale

- The Board Bylaw (section 7.3.3) requires that each Committee of the Board have an annual work plan which must be reported to the Board at its inaugural meeting each year.
- The attached work plan was developed by the Committee Chair, the President and Vice-Chancellor and Vice-Presidents along with the University Secretary.
- The work plan reflects the Committee's responsibilities in its Charter (attached as appendix 2), the strategic priorities of the University, the feedback provided from the annual board assessment and ongoing actions from the previous year.

2. Key Background

- Some of the key items included on the work plan are:
  - Reviewing the Five-Year Long-Term Capital Plan Outlook (Cycle 1)
  - Reviewing Major Capital Projects – FM (Cycle 1, 2, 3, 5)
  - Reviewing the development and planning of East Lands (Cycle 2)
  - Reviewing the Deferred Maintenance Update (Cycle 5)
  - Reviewing the University Utilities portfolio, including Carbon (Cycle 2).
  - Reviewing our Energy Conservation and Demand Management progress as well as a general Sustainability update.
- Each Committee Chair has recently been requested by the Chair of the Board to develop key objectives for their committee for the 2022-23 year. The Chair of the Capital Infrastructure Committee has set the following key objectives:

1. Ensure that the Vision, Mission, Guiding Values and Strategic Priorities as stated in the Brock University Institutional Plan 2018-25 are reflected in our capital and maintenance spending, and decision-making.
2. Provide oversight to the completion, on-time and on-budget, of major capital projects presently in progress.
3. Provide necessary allocation of resources for IT services to provide leading edge technology and IT security and cyber-security to the Brock community.
4. Monitor progress towards the relocation of the Brock's Hamilton campus to Burlington.
5. Monitor the status of deferred maintenance and unfunded liabilities surrounding Brock's capital and infrastructure assets.
6. Monitor Brock's sustainability efforts and initiatives in the construction, maintenance and stewardship of Brock's capital and infrastructure assets.

3. Implications

- Approval of the Committee work plan will provide administration with a guide regarding what reports to bring forward to the Committee and when; however, the work plan is flexible and amendable. Items may be added or deleted by the Committee Chair as required.

4. Next Steps

- Following approval by the Committee, the work plan will be presented to the Board of Trustees at the September 29, 2022 meeting for its information.

5. Background Materials

Appendix 1 – 2022-23 Capital Infrastructure Committee Work Plan (2 pages)
Appendix 2 – Capital Infrastructure Committee Charter (3 pages)

2022-23 CAPITAL INFRASTRUCTURE COMMITTEE WORK PLAN									Academic & student experience	Research	Community engagement	Inclusivity, accessibility, reconciliation and decolonization	General institutional advancement	Financial sustainability
TITLE	**LEAD**	**CYCLE**	**ACTION** (Info, Rec or Dec)	**TYPE** (Key, Consent)	**ATTENDING**	**BRIEF SUMMARY**	**OUTCOME SOUGHT**	**NOTES**						
FORESIGHT														
Five Year Long-Term Capital Plan Outlook - FY2022-2023 to 2026-2027	K. Chan S. Johnstone J. Tonnos	1	Info	Key	Leo H E. Wall R. Poland S. Strban	To provide Committee members with an overview of the Five-Year Long-Term Capital Plan (LTCP) for the period. These projects facilitate the University's mission of leadership, innovation and excellence in learning, teachingm research, scholarship, and creativity across disciplines. A snapshot of 5 year long-term capital plan by area: ITS, Campus, Ancillary Services.	For information and feedback.								
Utilities Portfolio Update	K. Chan S. Johnstone M. Quintana	2	Info	Consent		Provide an update on the performance and strategies for natural gas, electricity, water and carbon.	Report on results, present strategies to contain operational costs, identify upcoming risks and opportunities.							
Brock East Lands Future Options	K. Chan S. Johnstone	2	Info	Key IC		Currently working on the stage 3 Archaeology study.	Stage 3 study required by the Ministry as a result of the findings in the first 2 studies.							
Campus Space Plan Update	K. Chan S. Johnstone	3	Info	Key		To provide the Committee with updates on the University's plan for land usage, consistent with the Committee Charter and reporting requirements.	For information and feedback.	also to FPI						
OVERSIGHT														
2022-23 Capital Infrastructure Committee Work Plan	K. Chan S. Johnstone	1	Dec	Key		Inventory of reports to brought to the Committee over the next cycle.	To assist CIC in meeting their Charter obligations.							
Metrics	K. Chan S. Johnstone	1, 2, 3, 5	Info	Consent		An update on the activities in FM and ITS.	Provide the Committee with information on the summary of activities in FM and ITS.							

T1/T2/T3 Financial Update on Capital and Related Projects	K. Chan S. Johnstone J. Tonnos E. Wall L. Hall-Hoffarth	1, 3, 5	Info	Key	S. Strban R. Poland	To provide the Committee with updates of the active Capital and Related Projects, consistent with the Committee Charter and reporting requirements. The number of projects, area and the remaining dollars to spend.	For information and feedback.		x		x			x
Major Capital Projects Update - FM	K. Chan S. Johnstone R. Poland	1, 2, 3, 5	Info	Key		General reporting on schedule and budget for all current major capital projects.	Update provided for information only.							
Burlington Updates	K. Chan S. Johnstone J. Tonnos	1, 2, 3, 5	Rec	Key IC	M.Rusnell	General reporting on schedule and budget.								
ITS Security Update • Information Security Update • Cyber Security Awareness Program • Future Projects/Next Steps	K. Chan L. Hall-Hoffarth	1, 2, 3, 5	Info	Key IC		Updates on key issues and activities addressing information security risks.	Increased awareness of the risks and concerns posed by information security.	also to Audit	x					x
Datacenter Refresh asnd Cloud Strategy	K. Chan L. Hall-Hoffarth	3,4,5	Update and Info	Key IC		Updates on key issues and activities addressing information security risks.	Increased awareness of the risks and concerns posed by information security.	Critical information related to data center refresh activities and a renewed cloud strategy will have a significant impact on the infrastructure budget in the coming years.						
ITS Major Projects (MP) Updates: • Brock University Cybersecurity Awareness program (Mandatory) • Project Management Office (PMO) Development • Managed Risk (All Assets) & Asset Management • Telecommunications (Telephony) Update & Replacement • Identity Access Management & O365 License Procurement • Infrastructure Refresh and Critical Updates • Student Information System (SIS) replacement - one student, one record • Brock University Cloud Strategy	K. Chan L. Hall-Hoffarth	2,3,4,5	Update and Info	Key IC		Updates on key projects across ITS that have a direct impact on Brock University	Inform the committee on the progress of key projects and initiatives across Brock.							
HINDSIGHT														
Energy Conservation and Demand Management - Annual Update & Scorecard	K. Chan S. Johnstone D. McArthur M. Quintana	3	Info	Consent		Update on KPIs related to energy and carbon, including regulatory changes (e.g., program changes, reporting requirements)	Inform about progress on institutional plans, targets and mandatory requirements related to energy and carbon.							
FCI & Deferred Maintenance Update	K. Chan S. Johnstone D. McArthur M. Quintana	5	Info	Key		Present current and past status of Brock's assets and their condition.	Identify needs and provide situational awareness of facilities' condition and deferred maintenance.							
Sustainability Update	K. Chan S. Johnstone M. Quintana	5	Info	Consent		Update on current initiatives and results achieved on sustainability and environmental topics.	Increase awareness of sustainability and climate change as an opportunity for Brock to differentiate and attract/retain talent.							

Board of Trustees

Board Committee Charter	**CAPITAL INFRASTRUCTURE COMMITTEE**
Approved by the Board of Trustees	December 12, 2013
Amendments approved by the Board of Trustees	April 10, 2014; June 23, 2016; June 21, 2018; June 27, 2019; October 1, 2020

1.	Mandate
	The mandate of the Capital Infrastructure Committee ("Committee") is to assist the Board in supporting the responsible stewardship, development and management of the University's lands, buildings and physical and information technology (IT) infrastructure and the alignment of capital infrastructure with the University's strategic priorities. In fulfilling this mandate, the Committee shall provide oversight and guidance regarding: a. institutional plans, budgets and strategies related to the capital assets and information technology infrastructure of the University; and b. major capital and information technology projects.
2.	Composition
	The Capital Infrastructure Committee is appointed annually and consists of the following: a. the Chair of the Board, the Chair-Elect (or, when there is no Chair-Elect, the Vice-Chair), and the President, ex officio; b. a minimum of five additional community Trustees one of whom shall serve as Chair; c. one faculty Trustee; d. one student Trustee; e. one staff Trustee.
3.	Responsibilities
	In fulfilling its mandate, the Capital Infrastructure Committee shall have the following responsibilities:

3.1.	*Planning and Development* a. review and make recommendations to the Board regarding the University's land use, development and capital planning documents, including but not limited to the Campus Master Plan; b. review major development initiatives on University owned properties; c. review advice received from Senate as to what buildings and other facilities are required to meet the needs of the University in accordance with subsection 13 (l) of the Brock University Act; d. review reports and information regarding space utilization and management to support and inform efficient use of University space; e. review funding for planning and development to satisfy itself that adequate ongoing operational funding is captured in initial building costs, debt financing and ongoing operational budgets and provide input to the Financial Planning and Investment Committee as appropriate;
3.2.	*Contracts for lands, buildings and infrastructure* a. review and make recommendations to the Board regarding any agreements or documents, including memorandums of understanding or agreement and letters of intent, that commit the University to spending more than $1,000,000 in relation to the University's lands, buildings and infrastructure; b. review and make recommendations to the Board regarding any leases and licenses that are above the thresholds for approval of the President and Vice-Presidents in the Delegation of Authority Policy; c. review and make recommendations to the Board regarding the acquisition or disposal of land or buildings;
3.3.	*Major Capital Projects* a. review proposals and make recommendations to the Board regarding individual Major Capital Projects (those projects having a total project budget exceeding $1,000,000 in value); b. review and make recommendations to the Board on the award of tenders and contracts for the supply of capital goods and services that are valued at $1,000,000 or greater; c. reviewing funding for Major Capital Projects to satisfy itself that the initial and on-going operating costs associated with Major Capital Projects have been identified and provided for by management and provide input to the Financial Planning and Investment Committee as appropriate; d. review project management and delivery to satisfy itself that project-related risks (including any delays, financial claims and legal risks) are appropriately mitigated and addressed;
3.4.	*Information Technology* a. review the University's information technology infrastructure and make recommendations to the Board as appropriate.
3.5.	*Deferred Maintenance* a. review reports and information related to facilities condition audits and capital renewal needs; b. reviewing funding for deferred maintenance projects to satisfy itself that management has a multi-year funding plan to allow for appropriate levels of

	funding within the University's operating budget and capital budgets to reduce the University's deferred maintenance backlog and provide input to the Financial Planning and Investment Committee as appropriate.
3.6.	*Accessibility* a. review reports and information related to maintaining and enhancing the accessibility of the University's physical and information technology infrastructure and its compliance with accessibility legislation and regulations, including the Accessibility for Ontarians with Disabilities Act;
3.7.	*Sustainability and Sustainable Facility Operations* a. review sustainability-related policies, plans and activities of the University to satisfy itself that the University has appropriate measures in place to support sustainability;
3.8.	*Policies* The Committee shall review and make recommendations to the Board regarding the approval, amendment or repeal of any University policy relating to its mandate.
3.9.	*Risk Management* The Committee shall gain reasonable assurance that risks related to its mandate are being effectively managed and controlled by reviewing the University's strategies, policies and plans for addressing such risks.
3.10.	*Performance Indicators and Measurement* a. regularly receive and review key performance indicators related to its mandate.
3.11.	*Other Responsibilities* a. request reports from management on any matters that, in the Committee's discretion, fall within the Committee's duties. b. consider and provide guidance regarding any other matter referred to the Committee by the Board, Executive Committee or President.
4.	Meetings
	a. Meetings of the Capital Infrastructure Committee are open to members of the public, with the exception of *in camera* sessions. Admission will be on a first-come, first-admitted basis subject to the limitations of available space. Refer to the Framework for Open Meetings. b. Committee meetings shall normally be held four times a year, at the call of the Chair. c. Meetings are held in accordance with the Board and Board Committee Meeting Procedures.

Board of Trustees

(Circulated prior to approval)

Brock University
Niagara Region
1812 Sir Isaac Brock Way
St. Catharines, ON
L2S 3A1 Canada

MINUTES OF MEETING #4 – CYCLE 5 (2021-2022)

CAPITAL INFRASTRUCTURE COMMITTEE

WEDNESDAY, JUNE 22, 2022, 11:30 AM

REMOTE PARTICIPATION VIA MICROSOFT TEAMS

MEMBERS PRESENT:	Rob Welch (Committee Chair), Mary De Sousa (Committee Vice-Chair), Mark Arthur, Greg Berti, Kristian Knibutat, Brian Lang, Haley Myatt, Miriam Richards, Lynn Wells
REGRETS:	Stephanie Thompson
RESOURCE PERSONNEL:	Ken Chan, Chabriol Colebatch, Stacey Duncan, Leo Hall-Hoffarth, Scott Johnstone, Tim Kenyon, Margaret Thompson, Josh Tonnos
ALSO PRESENT:	Invited staff members during specific agenda items and other members of the Brock community

1. Call to Order

The Committee Chair welcomed members and staff and called the meeting to order.

2. Declaration of Conflict of Interest

There were no conflicts of interest declared.

3. Approval of the Agenda

The Committee Chair referred members to the Agenda and confirmed that there were no items to be lifted from the consent portion.

On a motion by Trustee Arthur, seconded by Trustee Knibutat, and carried, it was

RESOLVED that the Agenda, including consent items, be approved.

4. Business Arising from the Minutes – None.

5. T3 Financial Update on Capital and Related Projects

[An Information Item *TOPIC: T3 Financial Update on Capital and Related Project Plan* dated June 22, 2022 had been posted with the meeting materials together with Appendix 1 – T3 Financial Update on Capital and Related Project Plan.]

The Committee reviewed the Report which provided the Trimester Three update of the Capital and Related Projects, consistent with the Committee Charter and reporting requirements. During discussion, the Associate Vice-President, Infrastructure and Operations responded to questions raised regarding the status of the projects.

6. Major Capital Projects Update - FM

[An Information Item *TOPIC: Major Capital Projects Update – FM* dated June 22, 2022 had been posted with the meeting materials together with the following appendices: 1 – Niagara Validating, Prototyping, & Manufacturing Institute; and 2 – Goodman School of Business, MCA Renovation.]

The Committee reviewed the Report that provided an overview of the key Facilities Management and Ancillary Services projects aligned with the University's strategic priority of offering a transformational and accessible academic and university experience. During the review, the Director, Capital Planning and Project Management provided highlights of several projects outlined in the Report for the information of the Committee.

7. ITS Major Projects

[An Information Item *TOPIC: ITS Major Projects Update* dated June 22, 2022 had been posted with the meeting materials.]

The Chair introduced Leo Hall-Hoffarth who was recently appointed as Interim Chief Information Officer and Associate Vice-President, Information Technology Services.

The Committee reviewed the Report that provided an overview of key IT major projects aligned with the University's strategic priority of offering a transformational and accessible academic and university experience.

8. FCI & Deferred Maintenance Update

[An Information Item *TOPIC: Facilities Management FCI / Deferred Maintenance Update* dated June 22, 2022 had been posted with the meeting materials together with Appendix 1 – Facility Condition Index Scorecard.]

The Committee reviewed the Report that provided an annual update on Brock's Facility Condition Index (FCI) & Deferred Maintenance (DM) data. A discussion ensued regarding the information contained in the appended Facility Condition Index Scorecard during which the Associate Vice-President, Infrastructure & Operations received feedback from members and responded to questions raised. Of note, it was suggested that it would be beneficial to provide the Committee with sector-wide comparisons.

9. Sustainability Update

[An Information Item *TOPIC: Sustainability Update* had been posted with the meeting materials together with the following appendices: 1 – Energy Conservation and Demand Management Annual Scorecard; and 2 – Memo – Low Carbon Economy Challenge.]

The Committee reviewed the Report that provided an annual update on sustainability activities and accomplishments across campus. The Director, Asset Management &

Utilities highlighted several positive initiatives and outcomes for the information of the Committee. During discussion, a member remarked that the University has also aided in the reduction of carbon emissions as result of holding online meetings and suggested that this information be shared, along with other relevant sustainability efforts by the University. The AVP, Infrastructure & Operations noted that the tracking of accurate data on environmentally impactful activities on campus is ongoing. Discussion further proceeded regarding the balance between government expectations, those set by Brock as a potential leader in sustainability, and maintaining fiscal responsibility.

The Committee Chair noted that a motion was required to move *in camera* for consideration of the following confidential items:

10. Property Update – *In camera*
11. Information and Cyber Security Update – *In camera*

On a motion by Trustee Lang, seconded by Trustee Knibutat and carried, the Committee moved *in camera* at 12:23 p.m. Only members of the Committee and those invited staff remained for the closed session.

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[During closed session, the Committee reviewed confidential Reports.]

The Committee resumed open session at 12:48 p.m.

12. In Camera Record of Proceedings – Meeting #3 (2021-22) held on March 2, 2022 – *In camera*
[The *in camera* Record of Proceedings of the previous meeting had been posted with the meeting materials.]

The confidential Record of Proceedings from the previous meeting held on March 2, 2022 had been approved by consent.

13. Minutes of Previous Meeting – Meeting #3 (2021-22) held on March 2, 2022
[The minutes of Meeting #3 (2021-22) held on March 2, 2022 had been posted with the meeting materials.]

The minutes of the previous meeting held on March 2, 2022 were approved by consent.

14. Metrics – Facilities Management, ITS
[An Information Item *TOPIC: Metrics – Facilities Management, Information Security Management* dated June 22, 2022 had been posted with the meeting materials.]

The Report was received by consent.

15. Other Business

The Chair thanked Committee members, senior administrators and staff for their efforts and contributions throughout the 2021-22 Board cycle of meetings.

16. Adjournment

The meeting adjourned at 12:50 p.m.

Board of Trustees

Report to the Financial Planning and Investment Committee

DECISION ITEM

TOPIC: 2022-23 Financial Planning and Investment Committee Work Plan

September 29, 2022
Josh Tonnos, Chief Financial Officer & Associate Vice-President, Financial Services

MOTION

THAT the Financial Planning and Investment Committee approve the 2022-23 Committee Work Plan as outlined in Appendix 1.

EXECUTIVE SUMMARY

1. Rationale

- The Board Bylaw (section 7.3.3) requires that each Committee of the Board have an annual work plan which must be reported to the Board at its inaugural meeting each year.
- The attached work plan was developed by the Committee Chair, the President and Vice-Chancellor and Vice-Presidents along with the University Secretary.
- The work plan reflects the Committee's responsibilities in its Charter (attached as appendix 2), the strategic priorities of the University, the feedback provided from the annual board assessment and ongoing actions from the previous year.

2. Key background

- Some of the key items included on the work plan are:
  - Monitoring the fiscal health of the university through regular trimester updates at Cycles 1, 3 and 5 and assessing the results to identify short to long-term risks. Ensure action plans are being developed to ensure the sustainability of Brock and its ability to achieve the Institutional strategic priorities.
  - Reviewing and approving the Pension Plan valuation (cycle 2)
  - Reviewing & recommending to the Board the capital budget, scholarships budget & tuition rates (cycle 2)
  - Reviewing & recommending to the Board the 2022-23 annual budget (cycle 4)
  - Review the fiscal risks of the University and recommending strategies to mitigate these risks (i.e., debt, pension plan liability, deferred maintenance, core revenue streams ie. Enrolment).

    - Ensure appropriate actions are taken to maintain or improve the University's credit rating as outlined as a target in the Board approved 2022-23 Fiscal Framework Update.
- Each Committee Chair has recently been requested by the Chair of the Board to develop key objectives for their committee for the 2022-23 year. The Chair of the Financial Investment and Planning Committee has set the following key objectives:
    1. Provide oversight for the 2022-23 financial plan to ensure a balanced budget and that any risks are mitigated (i.e, enrolment shortfall).
    2. Build a sustainable balanced budget plan for 2023-24+ balancing institutional priorities.
        - Review and approve the Pension Plan valuation, capital budget, scholarship budget and tuition rates.
        - Review the short/mid/long term fiscal risks of the University and recommend strategies to mitigate these risks (i.e., debt, pension plan liability, deferred maintenance, core revenue streams).
    3. Maintain or improve the University's credit rating as outlined in the Fiscal Framework.

3. Implications

- Approval of the Committee work plan will provide administration with a guide regarding what reports to bring forward to the Committee and when; however, the work plan is flexible and amendable. Items may be added or deleted by the Committee Chair as required.

4. Next steps

- Following approval by the Committee, the work plan will be presented to the Board at the September 29, 2022 meeting for its information.

5. Background material

Appendix 1 – 2022-23 Financial Planning and Investment Committee Work Plan (5 pages)
Appendix 2 – Financial Planning and Investment Committee Charter (3 pages)

2022-23 FINANCIAL PLANNING AND INVESTMENT COMMITTEE WORK PLAN									Academic & student experience	Research	Community engagement	Inclusivity, accessibility, reconciliation and decolonization	General institutional advancement	Financial sustainability
TITLE	**LEAD**	**CYCLE**	**ACTION** (Info, Rec or Dec)	**TYPE** (Key, Consent)	**ATTENDING**	**BRIEF SUMMARY**	**OUTCOME SOUGHT**	**NOTES**						
FORESIGHT														
2023-24 Budget Approval	L. Wells K. Chan J. Tonnos	4	Rec	Key	C. Dawson S. Hicks	Presentation and discussion of the proposed 2023-24 Budget. Relates to FPI Committee Charter 3.1 Budgets and Forecasts.	Recommendation to the Board for approval of the 2023-24 Budget.		x	x	x	x	x	x
Trimester One 2021-22 Year-End Forecast	K. Chan J. Tonnos	1	Info	Key	C. Dawson S. Hicks	Presentation and discussion of the 2022-23 Forecast as of Trimester One (T1). The T1 forecast focusses on updating the revenue assumptions, given T1 actual results. Relates to FPI Committee Charter 3.1 Budgets and Forecasts.	Provides information to assist decisions, if required, to consider strategic allocations of projected revenue surplus or mitigate costs for the remaining 8 months of the year should revenue targets fall short of budget.							x
2023-24 Endowment Spending Rate Decision	K. Chan J. Tonnos	2	Dec	Key	L. Price	Provides a summary of the analysis performed to determine the appropriate Endowment spending rate for fiscal 2023-24. Relates to FPI Committee Charter 3.2 Endowment Funds, Trusts and Excess Cash Balances.	For the Committee to approve an Endowment spending rate for fiscal 2023-24 and use of the Endowment Reserve to top-up accounts if needed.		x	x	x	x	x	x
2023-24 Capital and Related Project Budget	K. Chan J. Tonnos S. Johnstone	2	Rec	Key		Funding approval for the project plan that is approved through CIC	approval of budget to fund capital and related project plan for upcoming fiscal year.		x	x	x	x	x	x
2023-24 Scholarships, Fellowships, Bursaries and Awards Budget	L. Wells K. Chan J. Tonnos	2	Rec	Key	C. Dawson S. Hicks	Presentation and discussion of the proposed 2023-24 Scholarships, Fellowships, Bursaries and Awards Budget. Relates to FPI Committee Charter 3.1 Budgets and Forecasts.	Recommendation to the Board for approval of the 2023-24 Scholarship, Fellowship, Bursaries and Award budget, which supports the development of communication and recruitment material for the upcoming academic year.		x	x	x	x	x	x
2023-24 Tuition Rates	L. Wells K. Chan J. Tonnos	2	Rec	Key	C. Dawson S. Hicks	Presentation and discussion of the proposed 2023-24 tuition rates. Relates to FPI Committee Charter 3.6 Tuition Fees.	Recommendation to the Board for approval of the 2023-24 tuition rates.		x	x	x	x	x	x

Trimester Two 2022-23 Year-End Forecast	K. Chan J. Tonnos	3	Info	Key	C. Dawson S. Hicks	Presentation and discussion of the 2022-23 Forecast as of Trimester Two (T2). The T2 forecast focusses on both revenue and expense projections. Relates to FPI Committee Charter 3.1 Budgets and Forecasts.	Provides an update on the forecasted year-end results.		x	x	x	x	x	x
Senate's Advice on the 2023-24 Budget	L. Wells J. Tonnos	4	Info	Key	C. Dawson S. Hicks	Summary of the conversation with Senate about the annual budget. Senate is asked to confirm that the proposed budget aligns with the academic mission of the University. Provides the result of the Senate's motion that the 2023-2024 Budget is consistent with the academic policy of the University. Relates to FPI Committee Charter 3.1 Budgets and Forecasts.	Concordance between Senate and Board on the approval of the annual budget. Provide advice to the Board in respect of the operating budget's consistency with academic policy.		x	x	x	x	x	x
Pension Plan Funding Test	K. Chan J. Guarasci J. Tonnos W. Fast	2, 5	Info	Key IC	Mercer	Ontario pension regulator (FSRA) has communicated a need for Plan Administrators of Single Employer Pension Plans in the University sector to ensure that committee members with fiduciary oversight of the pension plan receive regular updates on the Plan's funding status inbetween the legally required actuarial valuations. This report will address that requirement for both Pension Committee and FPIC. Note that the test results are for information purposes and do not change the University's pension payments which were established by the January 1, 2020 actuarial valuation.	FPIC members, in their fiduciary oversight role, will be informed of the Plan's funding status as at the latest Plan year end (June 30, 2021).							
Pension Plan Funding Full Valuation	K. Chan J. Guarasci J. Tonnos W. Fast	2	Recommendation	Key IC	Mercer	Brock requires a full pension plan valuation every 3 years. The next valuation is due for the period ending December 31, 2022.	Approval of the valuation and update to budget for changes in any deficit funding obligation							
Brock University Pension Plan – Early Valuation	J. Guarasci J. Tonnos W. Fast	1	Info	Consent IC										
Pension-Plan Sponsor Item	J. Guarasci J. Tonnos W. Fast	2 5 (tbc)	Info	Key IC	Mercer, Hicks Morley	Update provided on Pension Sustainability project; including stress testing analysis and JSPP analysis/comparison report.	Educate new Committee members on the project and confirm understanding of JSPP options and employee engagement plan.	Main to HRC; NOTE: Union member needs to be excused from FPI meeting before this item is presented						X
OVERSIGHT														

2022-23 Financial Planning and Investment Committee Work Plan	K. Chan J. Tonnos	1	Dec	Key		Inventory of reports to brought to the Committee over the next cycle.	To assist FPI in meeting their Charter obligations.							
First Quarter 2022 Investment Performance Report	K. Chan J. Tonnos	5	Info	Consent	L. Price	Summary of investment performance and treasury activities for the Endowment and Pension Plan Fund for Q1. Includes an Investment Performance Report from Brock's consultant, Aon. Relates to FPI Committee Charter 3.2 Endowment Funds, Trusts and Excess Cash Balances.	To provide an update on Treasury activities.							x
Third Quarter 2021 Investment Performance Report	K. Chan J. Tonnos	2	Info	Consent	L. Price	Summary of investment performance and treasury activities for the Endowment and Pension Plan Fund for Q3. Includes an Investment Performance Report from Brock's consultant, Aon. Relates to FPI Committee Charter 3.2 Endowment Funds, Trusts and Excess Cash Balances.	To provide an update on Treasury activities.						x	x
Semi-Annual Detailed Investment Performance Report	K. Chan J. Tonnos	1	Info	Consent	L. Price	Summary of investment performance and treasury activities for the Endowment and Pension Plan Fund as of June 30th. Includes a detailed Investment Performance Report from Brock's consultant, Aon. Relates to FPI Committee Charter 3.2 Endowment Funds, Trusts and Excess Cash Balances.	To provide an update on Treasury activities.							x
Year End Investment Performance Report	K. Chan J. Tonnos	4	Info	Consent	L. Price	Summary of investment performance and treasury activities for the Endowment and Pension Plan Fund for the calendar year. Includes a detailed Investment Performance Report from Brock's consultant, Aon. Relates to FPI Committee Charter 3.2 Endowment Funds, Trusts and Excess Cash Balances.	To provide an update on Treasury activities.		x	x	x	x	x	x
Annual Review of Statement of Investment Policy & Procedures (Pension Plan) including Environment, Social & Governance consideration	J.Guarasci J.Tonnos W. Fast	3	Dec	Key	LifeWorks	Pension Cmte engages investment consultant to conduct annual review of SIPP; this review will also include consideration of Environment, Social & Governance for pension investment policy	Approval of changes to SIPP							

Annual Insurance Renewals & Claims Update	K. Chan R. Cargnelli F. Marcella	5	Info	Key IC		Update on the Insurance portfolio (trends, risks, key items for consideration) and the renewals process.	Information and feedback.	copy to Audit					x	
Ancillary Services Update	E. Wall	2	Info	Consent		To provide an update on Residences, Dining Services, Parking, Campus store and other Ancillary Services operations.			X				X	
HINDSIGHT														
2021-22 BUPP Audited Financial Statements	K. Chan J. Tonnos	1	Info	Key	L. Price	Presentation of the Brock University Pension Plan (BUPP) audited financial statements and analytical comments of variances year over year. Relates to FPI Committee Charter 3.3 Brock University Pension Plan.	To provide an update on the Pension Plan financial performance for the year.	main to Audit					x	x
DBRS Morning Star Credit Rating Update	K. Chan J. Tonnos	3	Info	Key	C. Dawson S. Hicks	Presentation and discussions of the University's credit rating review with the University's bond rating agency (DBRS Morningstar). Note: depending on the timing of the review the updated credit rating may not be available at this meeting. Relates to FPI Committee Charter 3.4 Capital Structure.	To provide an update on the University's credit rating review.							x
Pension Committee Update	K. Chan J. Guarasci	1, 2, 3, 5	Info	Consent IC	W. Fast	Per the FPIC Charter the FPIC is responsible for oversight of the Pension Plan. This report forms part of the regular reporting process in place to keep the FPIC apprised of Pension Committee activity and to provide an overview of substantive items covered by the Pension Committee. This supports the FPIC with its due diligence in respect of their oversight responsibility.	FPIC members, in their fiduciary oversight role, will be informed of the Pension Committee activities since the last update was provided.							x
Annual Pension Report	K. Chan J. Tonnos J. Guarasci	4	Info	Consent	W. Fast	In accordance with the Pension Governance Manual and FPI Committee Charter, the annual report for the Brock University Pension Plan is prepared for Pension Committee and FPIC member's information.	To receive any feedback from FPIC prior to distribution							x

2022-23 University Financial Statements and Annual Report	L. Wells K. Chan J. Tonnos	5	Info	Key	L. Price	Presentation of the University financial statements and performance with explanations of variances year over year. This report also includes a reconciliation of Funding Results to Audited Financial Statements, comments on Internally Restricted Net Assets and the Annual Report. Relates to FPI Committee Charter 3.1 Budgets and Forecasts.	To provide an update on the University's financial performance including the Annual Report and Internally Restricted Net Assets.	also to Audit					x	x
Sector Financials	K. Chan J. Tonnos	5	Info	Key IC	C. Dawson S. Hicks	Review of financial results of other Universities in the sector. Relates to FPI Committee Charter 3.10 Other Responsibilities.	Provides comparative financial information and metrics.								x
Financial Policies (Procurement Policy, DOA Policy)	J. Tonnos	2	Rec	Key		Update to 3 outstanding policies	approval of changes if any	Not urgent							
Financial Policies - Investment Policy	J. Tonnos	1	Rec	Key											
Brock University Pension Plan – Early Valuation	J. Guarasci J. Tonnos W. Fast	1	Info	Consent IC											

Board of Trustees

Board Committee Charter	**FINANCIAL PLANNING AND INVESTMENT COMMITTEE**
Approved by the Board of Trustees	April 18, 2013
Amendments approved by the Board of Trustees	February 13, 2014; December 3, 2015; June 23, 2016; June 27, 2019; October 1, 2020, June 23, 2022

1.	Mandate
	The mandate of the Financial Planning and Investment Committee ("Committee") is to assist the Board in evaluating the University's financial health and ensuring that the University is on a financially sustainable path. In fulfilling this mandate, the Committee shall provide oversight and guidance regarding: a. the University's operating budget (including the scholarship, bursaries and awards budget) and capital budget; b. investment strategies and performance; c. capital structure and financing; d. tuition and other fees; and e. the University's pension plan.
2.	Composition
	The Financial Planning and Investment Committee is appointed annually and consists of the following: a. the Chair of the Board, the Chair-Elect (or, when there is no Chair-Elect, the Vice-Chair), and the President, ex officio; b. a minimum of five additional community Trustees, one of whom shall serve as Chair; and c. one faculty, staff or student Trustee as recommended by the Governance/Nominating Committee. No member of the Committee, other than the Chair-Elect or Vice-Chair, may serve on the Audit Committee.
3.	Responsibilities
	In fulfilling its mandate, the Financial Planning and Investment Committee shall have the following responsibilities:
3.1	*Budgets and Forecasts* a. Review and make recommendations to the Board regarding the annual operating budget (including the scholarships, bursaries and awards budget) and capital budgets, taking into consideration any advice received from Senate in

	respect of the budget's consistency with academic policy in accordance with subsection 13(k) of the *Brock University Act*. b. Review the University's financial reporting and forecasts, including the current year financial forecasts and long-term forecasts and the audited financial statements.
3.2	*Endowment Funds, Trusts and Excess Cash Balances* a. Review the performance of the University's investments. b. Review and approve investment strategies, policies and objectives including asset allocation and funds rebalancing. c. Review the performance of investment managers, custodians and consultants and approve their engagement and mandates, and removal where necessary. d. Review and approve the endowment fund annual general spending rate.
3.3	*Brock University Pension Plan* a. Oversee the Pension Subcommittee, which is a subcommittee of the Financial Planning and Investment Committee. b. Review and monitor the investment performance of the Plan. c. Review the annual audited financial statements. d. Review the annual pension report. e. Review, evaluate and approve the recommendations made by the Pension Subcommittee with respect to the appointment and removal of investment consultants and managers, custodian and actuary. f. Review, evaluate and approve the recommendations made by the Pension Subcommittee with respect to investment and funding policies and objectives, asset allocation and any other investment and funding related matters. g. Review, evaluate and approve the actuarial valuation. h. Review, evaluate and approve changes to the Brock University Pension Plan Governance Manual. i. Review, evaluate and approve the recommendations made by the Pension Subcommittee with respect to changes of the Plan. j. Review, evaluate and approve the recommendations made by the Pension Subcommittee, for any matters not specified in b. through i. above, in accordance with the Brock University Pension Plan Governance Manual. k. Along with the Human Resources Committee, participate in a Joint Committee to review, evaluate and approve the recommendations made by the University related to changes to the benefit formula and contribution rates. l. Along with the Human Resources Committee, participate in a Joint Committee to review, evaluate and recommend to the Board of Trustees, recommendation made by the University related to termination of the Plan or adoption of a new pension plan. m. Consider any other matters that may be required by the Brock University Pension Plan Governance Manual.
3.4	*Capital Structure* a. Review the University's debt levels and structure and make recommendations to the Board as appropriate. b. Review all capital financing plans and proposed borrowings and make recommendations to the Board as appropriate. c. Review the annual credit rating agency report.

3.5	*Insurance* a. Review the University's insurance coverage at least annually and approve changes as may be appropriate.
3.6	*Tuition Fees* a. Review and make recommendations to the Board regarding the tuition fees charged to students.
3.7	*Policies* The Committee shall review and make recommendations to the Board regarding the approval, amendment or repeal of any University policy relating to its mandate.
3.8	*Risk Management* The Committee shall gain reasonable assurance that risks related to its mandate are being effectively mitigated and addressed by reviewing the University's strategies, policies and plans for addressing such risks.
3.9	*Performance Indicators and Measurement* a. regularly receive and review key performance indicators related to its mandate.
3.10	*Other Responsibilities* a. request reports from management on any matters that, in the Committee's discretion, fall within the Committee's duties. b. Consider and provide guidance regarding any other matter referred to the Committee by the Board, Executive Committee or President.
4.	Meetings
	a. Meetings of the Financial Planning and Investment Committee are closed to members of the public. b. Committee meetings shall normally be held five times a year at the call of the Chair. Meetings are held in accordance with the Board and Board Committee Meeting Procedures.

Board of Trustees

(Circulated prior to approval)

Brock University
Niagara Region
1812 Sir Isaac Brock Way
St. Catharines, ON
L2S 3A1 Canada

MINUTES OF MEETING #5 – CYCLE 5 (2021-2022)

FINANCIAL PLANNING AND INVESTMENT COMMITTEE

THURSDAY, JUNE 23, 2021, 8:30 A.M.

IN PERSON (RANKIN FAMILY PAVILION 214 & 215) AND/OR
BY REMOTE PARTICIPATION (MICROSOFT TEAMS)

MEMBERS PRESENT:	Brian Lang (Committee Chair), Mark Arthur, Greg Berti, Don Cyr, Lynn Wells
REGRETS:	Mary De Sousa, Stephanie Thompson, Debbie Zimmerman
RESOURCE PERSONNEL:	Ken Chan, Chabriol Colebatch, Stacey Duncan, Tim Kenyon, Margaret Thompson, Josh Tonnos
ALSO PRESENT:	Invited staff members during specific agenda items

1. Call to Order

The Committee Chair welcomed members and staff and called the meeting to order.

2. Declaration of Conflict of Interest

There were no declarations of a conflict of interest.

3. Approval of the Agenda

The Committee Chair referred members to the Agenda and confirmed that there were no items to be lifted from the consent portion.

On a motion by Trustee Berti, seconded by Trustee Arthur and carried, it was

RESOLVED that the Agenda, including consent items, be approved.

4. Business Arising from the Minutes – None.

5. 2023-24 Brock Scholars Program Change

[A Recommendation Item *TOPIC: 2023-24 Brock Scholars Program Change* dated June 23, 2022 had been posted with the meeting materials together with Appendix 1 – Presentation to Senate.]

The Committee reviewed the proposed changes to the undergraduate Brock Scholars Program for 2023-24 as outlined in the Report.

On a motion by Trustee Wells, seconded by Trustee Berti and carried, it was

RESOLVED **that the Financial Planning and Investment Committee recommend to the Board of Trustees the changes to the undergraduate Brock Scholars Program as outlined in this report be approved.**

6. Policy Review – Travel, Meals & Hospitality Expense

[A Recommendation Item *TOPIC: Policy Review – Travel, Meals & Hospitality Expense* dated June 23, 2022 had been posted with the meeting materials together with Appendix 1 – Travel, Meals & Hospitality Expense Policy.]

The Committee reviewed the proposed amendments to the Travel, Meals and Hospitality Expense Policy as outlined in the Report.

On a motion by Trustee Arthur, seconded by Trustee Berti and carried, it was

RESOLVED **that the Financial Planning and Investment Committee recommend to the Board of Trustees that the amendments to the Travel, Meals and Hospitality Expense Policy set out in this report be approved.**

7. 2021-22 University Financial Statements and Annual Report

[A Joint Report to the Audit Committee (Recommendation Item) and the Financial Planning and Investment Committee (Information Item) *TOPIC: 2021-22 University Financial Statements and Annual Report* dated June 22 & 23, 2022 had been posted with the meeting materials together with the following appendices: 1 – Brock University Draft Audited Financial Statements; 2 – Explanatory Comments on the Financial Statements; 3 – Reconciliation of Funding Results to Audited Financial Statements; 4 – Explanatory Comments on Internally Restricted Net Assets; 5 – 2021-22 Annual Report; and 6 – Presentation of 2021-22 Financial Performance.]

The Committee reviewed the audited financial statements for the year ended April 30, 2022 as outlined in the Report during which the Chief Financial Officer and Associate Vice-President, Financial Services, provided highlights for the information of the Committee and clarified matters raised. It was noted that the Audit Committee will be recommending the approval of the financial statements to the Board at its meeting later in the day.

The Committee Chair noted that a motion was required to move *in camera* for consideration of the following confidential items:

8. Request for Proposal – Investment Consultant – *In camera*
9. Brock University Pension Plan – Frequency of Funding Tests – *In camera*
10. Sector Financial Overview – *In camera*
11. Annual Insurance Renewals & Claims Update – *In camera*
12. Property Update – *In camera*

On a motion by Trustee Berti, seconded by Trustee Arthur and carried, the Committee moved *in camera* at 9:10 a.m. Only members of the Committee and those invited staff remained for the closed session.

*****

[During closed session, the Committee reviewed confidential Reports and approved confidential motions on matters under the purview of the Committee.]

The Committee resumed open session at 9:47 a.m.

13. *In Camera* Record of Proceedings – *In camera*

[The confidential Record of the *In camera* Session of Meeting #4 held on May 5, 2022 had been posted with the meeting materials.]

The confidential Record of the *In camera* Session of Meeting #4 held on May 5, 2022 had been approved by consent.

14. Pension Committee Update – *In camera*

[A confidential Information Item *TOPIC: Pension Committee Update* dated June 23, 2022 had been posted with the meeting materials.]

The confidential Report had been received by consent.

15. AON First Quarter Investment Performance Report

[An Information Item *TOPIC: AON First Quarter Investment Performance Report* had been posted with the meeting materials together with Appendix 1 – AON Streamlined Investment Report for the period ending March 31, 2022.]

The Report had been received by consent.

16. Minutes of the Previous Meeting

[The Minutes of the previous meeting of the Financial Planning and Investment Committee were posted with the meeting materials.]

The Minutes of Meeting #4 of the Financial Planning and Investment Committee held on May 5, 2022 had been approved by consent.

17. Other Business – None

18. Adjournment

The meeting adjourned at 9:47 a.m.

Report to the Human Resources Committee

DECISION ITEM

TOPIC: 2022-23 Human Resources Committee Work Plan

September 29, 2022
Jennifer Guarasci, Associate Vice-President, Human Resources

MOTION

THAT the Human Resources Committee approve the 2022-23 Committee Work Plan outlined in Appendix 1.

EXECUTIVE SUMMARY

1. Rationale

- The Board Bylaw (section 7.3.3) requires that each Committee of the Board have an annual work plan which must be reported to the Board at its inaugural meeting each year.
- The attached work plan was developed by the Committee Chair, the President and Vice-Chancellor and Vice-Presidents along with the University Secretary.
- The work plan reflects the Committee's responsibilities in its Charter (attached as Appendix 2), the strategic priorities of the University, the feedback provided from the annual board assessment and ongoing actions from the previous year.

2. Key background

- The key items on the work plan are:
  - People Strategy Update
  - HR Equity, Diversity & Inclusion Plan Update
  - Annual Total Rewards & Recommendation for SAC
  - Annual Total Rewards & Recommendation for AP&E Staff
  - Collective Bargaining Updates and Mandates
  - Compensation Review for AP&E Staff
  - BUPP-Plan Sponsor Item
  - People Risk
  - Approval of Contract for Long Term Disability Provider
  - Exit Interview Requirements for Presidents & Vice-Presidents
  - Workplace Wellness Framework Update
  - Human Rights & Equity Annual Report

- Student Health & Wellness Report

- Each Committee Chair has recently been requested by the Chair of the Board to develop key objectives for their Committee for the 2022-23 year. The Chair of the Human Resources Committee has set the following key objectives:
  1. Monitor the continued development and implementation of the Human Resource Strategy that incorporates and advances the goals within the Brock University Strategic Plan. Ensure that the strategy promotes effective human resource practices and philosophies that improve inclusivity, accessibility, reconciliation and decolonization, facilitates talent and professional development, ensures timely and effective student support services, builds a respectful learning environment for employees and students and ultimately builds the culture required to achieve the strategic objectives. Ensure the plan includes measurable outcomes and accomplishments.
  2. Ensure that appropriate plans and initiatives are in place to mitigate risks associated with the University pension plan from an HR perspective.
  3. Conduct a fulsome discussion with the President concerning her performance as well as receiving a report from the President concerning the performance review and succession/professional development plans of the Vice Presidents.
  4. Monitor the collective bargaining process including strategy and mandate development and ongoing progress.
  5. Monitor the development and implementation of the Equity census as well as the action plans which will result from that initiative as well as the broader Equity, Diversity and Inclusion plan.

3. Implications

- The Committee's work plan will guide administration in what reports to bring forward to the Committee and when but is flexible and amendable. Items may be added or deleted by the Committee Chair as required.

4. Next steps

- Following approval by the Committee, the work plan will be presented to the Board at the September 29, 2022 meeting for its information.

5. Background material

Appendix 1 – 2022-23 Human Resources Committee Work Plan (5 pages)
Appendix 2 – Human Resources Committee Charter (4 pages)

Human Resources Committee
TOPIC: 2022-23 HR Committee Work Plan
DATE: September 29, 2022
Appendix 1

2022-23 HUMAN RESOURCES COMMITTEE WORK PLAN

TITLE	LEAD (names on report)	CYCLE (S)	ACTION (Info, Rec or Dec)	TYPE (Key, Consent) and if In Camera	ATTENDING (other Brock staff or External guests)	BRIEF SUMMARY	OUTCOME SOUGHT	NOTES (i.e. also to xxxx Committee)	Academic & student experience	Research	Community engagement	Inclusivity, accessibility, reconciliation and decolonization	General institutional advancement	Financial sustainability
FORESIGHT (based on people strategy (i.e. where are we headed, what is on the horizon)														
People Strategy Update	J. Guarasci	2, 3	Info	Key	TBD	The institutional Strategic Plan includes four strategic priorities, which have implications for the people resources of the University. To support the achievment of those priorities, a formal People Strategy has been in development since 2019 that will formalize the university's vision and how we think about and set into motion ways to attract, develop, retain, engage and inspire our workforce. After pausing the work between 2020-early 2022 to focus on pandemic response and recovery efforts, the work has been restarted and reimagined. This work is in keeping with the requirements of the HRC Charter.	To solicit feedback and ultimately to gain the support of the HRC of the People Strategy, consistent with the HRC Charter.							X	X
Human Resources Equity, Diversity & Inclusion Plan Update	J. Guarasci T. McLennon	1, 2, 3, 5	Info	Key		This report will provide the HRC with information, and opportunities to influence, the university's faculty and staff EDI Plan.	This report will provide the HRC with information, and opportunities to influence, the university's faculty and staff EDI Plan.				X	X	X	
AP&E Compensation Progam Review Update	J. Guarasci W. Fast L. Redmond	1,2,3	Info	Key, IC	Korn Ferry (external consultants)	Consistent with the University's efforts to mitigate recruitment & retention risk, as reported in the last board cycle, a review of the compensation program for AP&E staff is being undertaken.	Input from the HRC throughout the process, including establishing a compensation philosophy and market position.						X	X

Workplace Wellness Framework Update	J. Guarasci L. Harold K. Walker	5	Info	Key		To set the strategy that establishes a work environment that promotes holistic well-being for employees by creating an organizational health culture. This helps to manage chronic disease in the workforce, boost employee morale and productivity, reduce absenteeism and high turnover rates, increase job satisfaction and engagement, and reduce employee medical costs.	To demonstrate how employee wellness mitigates recruitment, retention and financial risk.		X			X	X	
Pension-Plan Sponsor Item	J. Guarasci J. Tonnos W. Fast	2,5	Info	Key IC	Mercer Hicks Morley	Update provided on Pension Sustainability project; including stress testing analysis and JSPP analysis/comparison report	Educate new Committee members on the project and confirm understanding of JSPP options and employee engagement plan	Also to FPI					X	X
People Risk	J. Guarasci R. Cargnelli	2	Info	Key IC		Outline of the people (primarily recruitment & retention) risks at Brock through the institutional risk lens.	Education, information, feedback.	Also to Audit						
OVERSIGHT (current topic; reviewing topic to make things look good)														
2022-23 Human Resources Committee Work Plan	J. Guarasci	1	Dec/Info	Key		Key inventory of reports to brought to the Committee in 2022-23 Board cycles.	To assist the HRC in meeting their Charter obligations.	Also to full board as an Information Item	X			X	X	X
Revision of Respectful Work and Learning Environment Policy	President N. Dion (TBC)	1	Rec / Dec	Key	A. Villella	For HRC to review and recommend the revisions made to the RWLEP. The proposed revisions have been shared with our union partners, including the student unions, for consultation.	For the Policy to be approved with revisions sought	Also to full board; HRC to recommend to Board for approval	X			X	X	
Collective Bargaining Mandates - IATSE, CUPE 4207-3, BUFA	J. Guarasci A. Villella	3	Rec / Dec	Key, IC	L. Redmond	Bargaining mandates are required prior to the commencement of collective agreement negotiations so that negotiating teams understand their bargaining paramaters.	As per the HRC Charter 3.3, the HRC reccomends approval of mandates to the Executive Commitee, who provides the approval.	Also to Executive Committee; HRC to Recommend to Executive for approval	X				X	X
Approval of Contract for Long Term Disability Provider	J. Guarasci L. Harold K. Walker	2	Rec/Dec	Key		Commenced RFP process for LTD provider as current provider contract expires on April 30, 2023. Topic sheet provides information on successful proponent.	Seeking approval of successful proponent from RFP process.	Also to full board; HRC to recommend to Board for approval as contract will be over $1M					X	X
Senior Administration Recruitment Update	J. Guarasci	1, 2, 3, 5	Info	Consent		To provide the HRC with an update on the recruitment activities for senior administrators.	To keep HRC apprised of senior recruitment activities.						X	

Exit Interview Requirements for President & Vice-Presidents	C. Colebatch J. Guarasci	2	Info	Key, IC		In March 2022 (Cyle 3) HRC & Gov/Nom was asked to gather feedback on the proposed exit interview requirements for President & VPs and to keep the Gov/Nom Committee informed of this initiative.	Subject to feedback from the HRC and Gov/Nom Committees, the requirements and process will be finalized and brought back for approval, either as part of the policy review process or Committee Charters update process.	Also to Gov/Nom					X	
Collective Bargaining Strategy and Approach	J. Guarasci A. Villella	2	Info	Key, IC		At the Committee Chair's request, to discuss collective bargaining strategies and plans for upcoming rounds of collective bargaining planned for 2022/23 and beyond.	To engage the HRC in discussions regarding strategies and approach of future rounds of collective bargaining for 2022/23.					X	X	X
Collective Bargaining Update NOTE: These may be verbal updates to provide HRC with the most up-to-date information	J. Guarasci A. Villella	1, 2, 3, 5	Info	Key IC		To provide the HRC on the current updates regarding any active collective bargaining discussions/negotiations at the time of the Board cyles.	To update the HRC on the progress being made in negotiations; early identification of concerns/potential barriers to achieving an agreement; to seek feedback on bargaining strategy.					X	X	X
Annual Total Rewards Recommendation for Adminstrative/Professional & Exempt (AP&E) Staff (2023)	J. Guarasci W. Fast	3	Rec/Dec	Key IC	L. Redmond	Each year in Cycle 3, a recommendation is presented to the HRC with respect to compensation increases for AP & E staff. This is required as per 3.1 of the HRC Charter: "The Committee shall review the University's compensation philosophy and plans, taking into account best practices in human resources and the post-secondary education sector, which shall include the responsibility to: a. review and make recommendations to the Executive Committee regarding compensation negotiations and annual increases with union and non-union groups on campus."	HRC makes a reccomendation to the Executive Commitee for approval. Typically, AP&E increases are applied annually on May 1.	Also to Executive Committee; HRC to Recommend to Executive for approval					X	X	X

Annual Senior Administrative Council (SAC) Compensation Adjustments for Academic and Non-Academic Administrators (2023)	President	3	Rec/Dec	Key IC	J. Guarasci W. Fast L. Redmond	Each year in Cycle 3, the President presents a recommendation to the HRC with respect to compensation increases for SAC members (SAC Academic and Non-Academic Administrators, excluding Designated Executives). This is required as per 3.1 of the HRC Charter: "The Committee shall review the University's compensation philosophy and plans, taking into account best practices in human resources and the post-secondary education sector, which shall include the responsibility to: a. review and make recommendations to the Executive Committee regarding compensation negotiations and annual increases with union and non-union groups on campus."	HRC makes a recommendation to the Executive Commitee for approval. Typically, SAC increases are applied annually on May 1.	HR to write on behalf of the President; Also to Executive. HRC to Recommend to Executive					X	X
Student Health, Wellness, and Safety Report	L. Wells S. Pennisi	5	Info	Key										
HINDSIGHT (historical reporting)														
Health, Safety & Wellness Report	J. Guarasci L. Harold	1,2,3,5	Info	Consent		The Occupational Health & Safety Act (OHSA) assigns duties and responsibilities to Senior Executives to ensure the organization complies with this Act and Regulations. This report ensures that the Board meets these obligations, by providing them with information regarding workplace hazards and incident/injury statistics and trending, as well as mitigation strategies.	Committee members are asked to review the notable health & safety activities and incidents at each board cycle, consistent with the HRC Charter 3.7 & 3.9.		X	X				
Annual Pension Report	J.Guarasci W. Fast	4	Info	Consent		In accordance with the Pension Governance Manual and FPI Committee Charter, the annual report for the Brock University Pension Plan is prepared for Pension Committee and FPIC member's information.	Info for HRC	Main to FPI			X	X		
Conflict of Interest Annual Reporting	J. Guarasci	5	Info	Consent		On an annual basis, as per the Conflict of Interest Policy (Compliance and Reporting) the AVP-HR reports all confirmed conflicts of interests (COIs) by members of the University community.	For HRC to be aware and informed of any confirmed conflicts per the Policy.							

Metrics	J. Guarasci	1, 2, 3, 5	Info	Consent		To provide metrics pertaining to resignation rates, new hire retention, personnel costs, avg time to hire & grievance rates.	To highlight performance indicators and measurement.						X	
Human Rights and Equity Annual Report	C. Takalo	3	Info	Key								X	X	

Board Committee Charter	**HUMAN RESOURCES COMMITTEE**
Approved by the Board of Trustees	May 7, 2015
Amendments approved by the Board of Trustees	December 3, 2015; June 23, 2016; June 21, 2018; June 27, 2019, June 25, 2020; October 1, 2020

1.	Mandate
	The mandate of the Human Resources Committee ("Committee") is to assist the Board in providing oversight and guidance regarding the University's human resources frameworks, strategies and policies, including: a. employee salary, benefits and compensation arrangements; b. human resources strategies and policies; c. employee and student health, safety and wellness; d. human rights and equity, diversity and inclusivity; e. compliance with human resource related laws and regulations; f. any other matters referred to it by the Board, the Executive Committee or the President.
2.	Composition
	The Human Resources Committee is appointed annually and consists of the following: a. the Chair of the Board, the Chair-Elect (or, when there is no Chair-Elect, the Vice-Chair), and the President, ex officio; b. a minimum of four additional community Trustees, one of whom shall serve as Chair.
3.	Responsibilities
	In fulfilling its mandate, the Human Resources Committee shall have the following responsibilities:
3.1	*Human Resources Strategy* a. review the University's human resources strategy in support of the University's vision and strategic plan, including strategies related to employee engagement, recruitment, retention, development, well-being, compensation and organizational design.

3.2	*Compensation* The Committee shall review the University's compensation philosophy and plans, taking into account best practices in human resources and the post-secondary education sector, which shall include the responsibility to: a. review and make recommendations to the Executive Committee regarding compensation negotiations and annual increases with union and non-union groups on campus; b. approve, upon the recommendation of human resources and independent professional advice where desired, the compensation payable to the President and Vice-Chancellor; c. approve, upon the recommendation of the President, the compensation payable to the Vice-Presidents.
3.3	*Labour Relations* a. review and make recommendations to the Executive Committee regarding collective bargaining negotiating mandates, and negotiated collective bargaining agreements which fall outside the scope of approved mandates; b. counsel and support to the President on labour relations matters that have significant internal and/or external implications for the University; and c. make recommendations to the Executive Committee regarding the settlement of any labour relations matter where the severance costs exceed the limits in the Delegation of Authority Policy.
3.4	*Brock University Pension Plan* The Committee shall remain informed regarding the status and administration of the University's Pension Plan, in conjunction with the Financial Planning and Investment Committee which shall have primary responsibility for financial oversight of the Plan. As part of this responsibility, the Committee shall: a. review the annual pension report; b. review the annual audited financial statements and actuarial valuation reports; c. review changes to the Brock University Pension Plan Governance Manual; d. review all Plan changes recommended by the Pension Committee; e. along with the Financial Planning and Investment Committee, participate in a Joint Committee to review, evaluate and approve the recommendations made by the University related to changes to the benefit formula and contribution rates. f. along with the Financial Planning and Investment Committee, participate in a Joint Committee to review, evaluate and recommend to the Board of Trustees, recommendations made by the University related to termination of the Plan or adoption of a new pension plan.
3.5	*President and Vice-President Employment agreements* a. Subject to the approval by the Board of Trustees of the appointments, review and approve the employment contract of the President and Vice-Presidents and any amendments to the employment contracts for the President and Vice-

	Presidents, and report to the Board for information a summary of the contractual terms; and b. in the event of the approval by the Board of Trustees of an early termination of the President or a Vice-President, approve the termination agreement pertaining to such early termination.
3.6	*Presidential performance reviews* a. oversee the annual performance review process for the President, which shall include: i. annual objectives set by the President, which are linked to the Institutional Strategic Plan, approved by the Board chair, and reported to the Board of Trustees at its first meeting of the year; ii. a written report from the President on the achievement of their objectives and any other initiatives, which shall be submitted to the Board Chair by the middle of May each year; iii. a meeting of the President and the Board Chair, Vice-Chair and, in the final year of the Chair's term, the Chair-Elect, to review the report of the President, which shall be held by early June each year; iv. a written report by the Board chair summarizing the review, which is to be placed it the confidential human resources file of the President; and v. a report to the Board by the Board Chair at its annual meeting providing a high level summary of the review process and any implications for the Board; b. approve any changes with respect to the process for evaluating the President.
3.7	*Health, Safety & Wellness* a. review the University's health, safety and wellness policies, strategies and outcomes with respect to employees and students.
3.8	*Human Rights and Equity* a. review the University's human rights and equity policies, strategies and outcomes.
3.9	*Legislative Compliance* a. review the University's compliance with all legislation related to human resources, including occupational health and safety, human rights and equity and accessibility legislation and standards.
3.10	*Succession Planning* a. review the President's professional development and succession planning strategies for the University's senior executive team, with regards to the review and appointment processes set out in the Policy on the Appointment and Reappointment of the President and Vice-Presidents.

3.11	*Policies* The Committee shall review and make recommendations to the Board regarding the approval, amendment or repeal of any University policy relating to its mandate.
3.12	*Risk Management* The Committee shall gain reasonable assurance that risks related to its mandate are being effectively managed and mitigated by reviewing the University's strategies, policies and plans for addressing such risks.
3.13	*Performance Indicators and Measurement* The Committee shall regularly receive and review the key performance indicators related to its mandate.
3.14	*Other Responsibilities* a. request reports from management on any matters that, in the Committee's discretion, fall within the Committee's duties; b. make recommendations to the Board, Executive Committee, President and/or his/her delegate on any other related matter referred to the Committee.
4.	Meetings
	a. Meetings of the Human Resources Committee are closed to members of the public. b. Committee meetings shall normally be held four times a year, at the call of the Committee Chair. c. Meetings are held in accordance with the Board and Board Committee Meeting Procedures.

(Circulated Prior to Approval)

Board of Trustees

Brock University
Niagara Region
1812 Sir Isaac Brock Way
St. Catharines, ON
L2S 3A1 Canada

MINUTES OF MEETING #4 (2021-22) - CYCLE 5

HUMAN RESOURCES COMMITTEE

THURSDAY, JUNE 23, 2022, 11:00 AM

IN-PERSON RANKIN 214/215 & REMOTE PARTICPATION VIA MICROSOFT TEAMS

MEMBERS PRESENT:	Anne McCourt (Committee Chair), Bill Maurin (Committee Vice-Chair), Mark Arthur, Arti Freeman, JoAnna Roberto, Lynn Wells
REGRETS:	Mary De Sousa
RESOURCE PERSONNEL:	Ken Chan, Chabriol Colebatch, Jennifer Guarasci, Tim Kenyon, Margaret Thompson
ALSO:	Invited staff members

1. Call to Order

The Committee Chair welcomed members and staff and called the meeting to order.

2. Declaration of Conflict of Interest

Dr. Wells noted a conflict and advised that she would recuse herself from the meeting during agenda item 13 – Confidential Employment Agreement President and Vice-Chancellor and agenda item 15 – Presidential Performance Review. Dr. Kenyon noted that he would recuse himself from the meeting during agenda item 12 – Confidential Employment Agreement.

3. Approval of the Agenda

The Committee Chair referred members to the Agenda and confirmed that there were no items to be lifted from the consent portion of the Agenda. It was suggested that agenda item 14 be considered following agenda item 11.

On a motion by Trustee Arthur, seconded by Trustee Maurin and carried, it was

RESOLVED that the Agenda, including consent items, be approved as amended.

4. Business Arising from the Minutes – None

5. Human Rights and Equity Dashboards and Annual Report

[An Information Item *TOPIC: Human Rights and Equity Dashboards and Annual Report* dated June 23, 2022 had been posted with the meeting materials together with the following appendices:
1 – RWLEP Complaints Dashboard
2 – SAHP Disclosure Dashboard
3 – Human Rights & Equity Office Annual Report.]

The Committee reviewed the Report that provided an update on the Human Rights and Equity office, including operational data, to meet the responsibility within the Committee's Charter that states it shall oversee the University's human rights and equity policies, strategies, and outcomes. It was reported to the Committee that the Director of HR&E, Michelle Poirier, will soon be departing the University and Chelsea Takalo has been appointed Interim Director.

During the Committee's consideration of the Report, it was suggested to administration that future reports focus less on data and include more subject information.

6. Student Health, Wellness, and Safety Report

[An Information Item *TOPIC: Student Health, Wellness, and Safety Report* dated June 23, 2022 had been posted with the meeting materials together with the following appendices:
1 – Student Health and Wellness
2 – Camus Assessment, Response and Education (CARE) Case Team
3 – Death of a Student Protocol
4 – Campus Security Services.]

During the Committee's review of the Student Health, Wellness, and Safety Report, staff members provided highlights of the operational metrics related to student health, wellness, and safety and responded to all questions raised from members.

7. Workplace Wellness Framework Update

[An Information Item *TOPIC: Workplace Wellness Framework Update* dated June 23, 2022 had been posted with the meeting materials together with Appendix 1 – Workplace Wellness Framework.]

The Committee reviewed the Report that provided an annual update of the Workplace Wellness Framework which considers employee well-being through a holistic approach.

The Committee Chair noted a motion was required to move *in camera* to consider the following confidential Agenda items:

8. Recruitment & Retention: Priorities & Opportunities - *In camera*
9. Equity Census – Oral Update – *In camera*
10. Succession Planning – Oral Update – *In camera*
11. Collective Bargaining Update – *In camera*
12. Confidential Employment Agreement – Vice-President, Research - *In camera*

13. Confidential Employment Agreement – President & Vice-Chancellor – *In camera*
14. Collective Bargaining Mandate – CUPE 4207-1 – *In camera*
15. Presidential Performance Review - Oral Update – *In camera*

On a motion by Trustee Arthur, seconded by Trustee Maurin and carried, the Committee moved *in camera* at 11:33 a.m.

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[During closed session, the Committee reviewed confidential Reports. The Committee approved confidential motions and passed confidential recommendations for the consideration of the Executive Committee.]

The Committee resumed open session at 12:56 p.m.

16. *In camera* Record of Proceedings of Previous Meeting

The confidential Record of the *in camera* proceedings of the previous meeting held on March 3, 3022 had been approved by consent.

17. Minutes of Previous Meeting
[The Minutes of the previous meeting had been posted with the meeting materials.]

The Minutes of the previous meeting held on March 3, 2022 had been approved by consent.

18. Disconnecting from Work Policy
[An Information Item *TOPIC: Disconnecting from Work Policy* dated June 23, 2022 had been posted with the meeting materials together with Appendix 1 – Disconnecting from Work Policy.]

The Report was received for information by consent.

19. Conflict of Interest Annual Reporting
[An Information Item *TOPIC: Conflict of Interest Annual Reporting* dated June 23, 2022 had been posted with the meeting materials.]

The Committee received the Report for information by consent.

20. Health, Safety & Wellness Report
[An Information Item *TOPIC: Health, Safety & Wellness Report* dated June 23, 2022 had been posted with the meeting materials together with Appendix 1 Health, Safety & Wellness Summary Report for the period January – April 2022.]

The Committee received the Report for information by consent.

21. Metrics
[The Human Resources Metrics had been posted with the meeting materials.]

The Metrics were received by consent.

22. Other Business - None

23. Adjournment

The meeting adjourned at 12:57 p.m.

(Circulated Prior to Approval)

Board of Trustees

Brock University
Niagara Region
1812 Sir Isaac Brock Way
St. Catharines, ON
L2S 3A1 Canada

MINUTES OF MEETING #1 (SPECIAL) - 2022-23

HUMAN RESOURCES COMMITTEE

TUESDAY, AUGUST 16, 2022, 8:00 AM

REMOTE PARTICPATION VIA MICROSOFT TEAMS

MEMBERS PRESENT:	Anne McCourt (Committee Chair), Mark Arthur, Mary De Sousa, Nyarayi Kapisavanhu, Lynn Wells
REGRETS:	Arti Freeman, JoAnna Roberto
RESOURCE PERSONNEL:	Ken Chan, Chabriol Colebatch, Jennifer Guarasci, Margaret Thompson
ALSO:	Invited staff members: Josh Tonnos, Amanda Villella

1. Call to Order

The Committee Chair welcomed members and staff and called the meeting to order.

2. Declaration of Conflict of Interest

There were no conflicts of interest declared to any matter on the Agenda.

3. Approval of the Agenda

The Committee Chair referred members to the Agenda.

On a motion by Trustee Arthur, seconded by Trustee DeSousa and carried, it was

RESOLVED that the Agenda be approved.

The Committee Chair noted a motion was required to move *in camera* to consider the following confidential Agenda item:

4. Confidential Labour Relations Matter – *In camera*

On a motion by Trustee Arthur, seconded by Trustee DeSousa and carried, the Committee moved *in camera* at 8:02 a.m.

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[During closed session, the Committee reviewed a confidential Report and passed a confidential recommendation, as amended, for the consideration of the Executive Committee.]

The Committee resumed open session at 8:31 a.m.

5. Other Business - None

6. Adjournment

The meeting adjourned at 8:31 a.m.

Board of Trustees

Report to the University Community and Experience Committee

DECISION ITEM

TOPIC: 2022-23 University Community and Experience Committee Work Plan

September 28, 2022
Lynn Wells, Interim President and Vice-Chancellor
Provost & Vice-President, Academic
Gord Arbeau, Associate Vice-President, Advancement & External Relations

MOTION

THAT the University Community and Experience Committee approve the 2022-2023 Committee Work Plan as outlined in Appendix 1.

EXECUTIVE SUMMARY

1. Rationale

- The Board Bylaw (section 7.3.3) requires that each Committee of the Board have an annual work plan which must be reported to the Board at its inaugural meeting each year.
- The attached work plan was developed by the Committee Chair, the President and Vice-Chancellor and Vice-Presidents along with the University Secretary.
- The work plan reflects the Committee's responsibilities in its Charter (attached as appendix 2), the strategic priorities of the University, the feedback provided from the annual board assessment and ongoing actions from the previous year.

2. Key background

- Some of the key items included on the work plan are:
  - Reviewing the University advancement and external relations updates
  - Regular updates on government relations, community engagement, and Indigenous engagement initiatives
  - Regular updates on the development of an academic plan for Brock
- Each Committee Chair has recently been requested by the Chair of the Board to develop key objectives for their Committee for the 2022-23 year. The Chair of the University Community and Experience Committee has set the following key objectives:
  1. Focus on the efforts of the University to ensure safety and wellbeing of the University community.
  2. Support the strengthening of Brock's community and Indigenous engagement initiatives.
  3. Champion Brock's renewed brand and support implementation of this, as well as overall strategy related to development and stewardship, alumni relations, marketing and communications.
  4. Provide input on and support the review of the UCEC Charter.

5. Engage in and support the development of generative discussions to foster innovative thinking and explore future possibilities.

3. Implications

- Approval of the Committee work plan will provide administration with a guide regarding what reports to bring forward to the Committee and when; however, the work plan is flexible and amendable. Items may be added or deleted by the Committee Chair as required.

4. Next steps

- Following approval by the Committee, the work plan will be presented to the Board at the September 29, 2022 meeting for its information.

5. Background material

Appendix 1 – 2022-23 University Community and Experience Committee Work Plan (3 pages)
Appendix 2 – University Community and Experience Committee Charter (3 pages)

2022-23 UNIVERSITY AND COMMUNITY EXPERIENCE COMMITTEE WORK PLAN									Academic & student experience	Research	Community engagement	Inclusivity, accessibility, reconciliation and decolonization	General institutional advancement	Financial sustainability
TITLE	**LEAD**	**CYCLE**	**ACTION** (Info, Rec or Dec)	**TYPE** (Key, Consent)	**ATTENDING**	**BRIEF SUMMARY**	**OUTCOME SOUGHT**	**NOTES**						
FORESIGHT														
Generative Discussion	L. Wells K. Chan	2	Info	Key					x				x	
Update on the Academic Plan	Provost	2	Info	Key	VPT&L				x					
Government Relations Update	M. Rusnell	2, 5	Info	Key		An update on activities with respect to the local, provincial and federal governments, with a focus on lobbying priorities.	For information only.				x			
Indigenous Engagement Update	L. Wells R. Bourgeois	1, 5	Info	Key		An update on the University's Indigenous Engagement activities and priorities.	For information only.		x			x		
Community Engagement Update	M. Rusnell	3	Info	Key		An update on community engagement activites at the University, in line with priority 3 of the strategic plan.	For information only.				x			
Enrolment Update	L. Wells G. Jones S. Curtin	1, 2, 3, 5	Info	Consent				also to BoT; UCEC has enrolment mentioned in its mandate, thereofre reports will be added in consent for each cycle.						
OVERSIGHT														
2022-23 University Community and Experience Committee Work Plan	L. Wells K. Chan	1	Dec	Key		Review and approval of the workplan by committee members.	Coordination with Committee members of work for the upcoming year.							
2022-23 Updated University Community and Experience Committee Work	L. Wells K. Chan	2	Info	Consent		Work Plan updated to inlcude Committee Chair's objectives								
Quarterly Advancement and External Relations Reports	K. Chan G. Arbeau	1, 2, 3	Info	Consent		Update on Fundraising, Alumni Engagement and Marketing Communications activities.	Update board members.						x	
University Advancement and External Relations Year End Report	K. Chan G. Arbeau	5	Info	Key		End of year update on Fundraising, Alumni Engagement and Marketing Communications activities.	Update board members.						x	

Ancillary Services Update	E. Wall	2	Info	Consent		To provide an update on Residences, Dining Services, Parking, Campus store and other Ancillary Services operations.			X				X	
Metrics	G. Arbeau S. Johnstone D. Moody	1, 2, 3, 5	Info	Consent		Included with the Updates - Marcomm, Fundraising and Alumni engagement scorecards.	Provide information to board members.	Information included in dashboard for BoT						
Maclean's Rankings Update	L. Wells	2	Info	Consent		An update on the University's performance in the annual Maclean's rankings, which are typically released in mid-October.	For information only.						x	
Performance and Overview Indicators Report	L. Wells	1	Info	Key		Presentation of the year's performance indicators related to the strategic plan.	For information only, prior to public release.						x	
University Advancement and External Relations Quarterly Update	K. Chan G. Arbeau	1, 3	Info	Consent		Update on Fundraising, Alumni Engagement and Marketing Communications activities.	Update board members.						x	
University Advancement and External Relations Mid Year Report	K. Chan G. Arbeau	2	Info	Key		Update on Fundraising, Alumni Engagement and Mrketing Communications activities.	Update board members.						x	
University Advancement and External Relations Year End Report	K. Chan G. Arbeau	5	Info	Key		End of year update on Fundraising, Alumni Engagement and Marketing Communications activities.	Update board members.						x	
Review of University and Community Experience Committee Charter	K. Chan C. Colebatch	2	Info	Key		Bylaw provides that each Committee reviews its Charter at least every 2 years.	Advice will be provided to Governance Committee for its review in conjunction with the full governance review.	also to GN						
HINDSIGHT														
Campus Security Services Annual Report	K. Chan S. Johnstone D. Moody G. Bench	1	Info	Key		To provide the Committee with the annual report. An MOU with the NRPS, states that Brock Campus Security Services must report quarterly and annually on the statistics involving criminal activity on Brock properties, and meet the requirements of the Special Constable status. EDI initiatives, org chart changes, annual update, and community involvement	Information only. To describe the developments on campus as well as the effort undertaken to enhance the safety and well-being of the University community.		x		x		x	

Emergency Management Plan and Preparedness Annual Report	K. Chan S. Johnstone D. Moody G. Bench	5	Info	Key		To provide the Committee with information in relation to the Emergency Management program and its application over the year's reporting period. EOC activations, EMG system updates, Emergency Exercise review	Information only.		x		x		x	
Campus Security Services - Oral Update	K. Chan S. Johnstone D. Moody	1, 2, 3, 5	Info	Key		To provide the Committee with an update on the safety and well-being of the University community both on and off campus. Emerging issues.	Information only.		x		x		x	

Board of Trustees

Board Committee Charter	**UNIVERSITY AND COMMUNITY EXPERIENCE COMMITTEE**
Approved by the Board of Trustees	October 3, 2013
Amendments approved by the Board of Trustees	February 13, 2014; April 10, 2014; June 23, 2016; September 27, 2018; June 27, 2019; October 1, 2020

1.	Mandate
	The mandate of the University and Community Experience Committee ("Committee") is to assist the Board in reviewing and providing guidance regarding: a. the implementation and metrics of the University's strategic plans; b. the University's enrolment and retention strategy; c. the development and maintenance of sound internal and external relationships within the University community, with government and with community engagement at large; d. the university experience; e. fund raising and donor relations; f. alumni affairs; and g. brand and marketing strategy.
2.	Composition
	The Committee is appointed annually and consists of the following: a. the Chair of the Board, the Chair Elect (or, when there is no Chair-Elect, the Vice-Chair), and the President, ex officio; b. a minimum of four additional community Trustees one of whom shall serve as Chair; c. one faculty Trustee; d. one student Trustee; e. one staff Trustee.
3.	Responsibilities
	In fulfilling its mandate, the Committee shall have the following responsibilities:

3.1	*Strategic Plan* The Committee shall support the University in fulfilling its strategic plan by: a. reviewing the implementation of the University's strategic plan; b. ensuring that the University has established and is monitoring a set of key performance indicators (KPIs) that pertain to the achievement of its strategic goals; and c. assigning the strategic plan KPIs to the appropriate Board committee for monitoring, and monitoring those KPIs which do not have an appropriate Board committee.
3.2	*Internal and External Relations* The Committee shall review the University's communication and engagement with internal and external stakeholders to support its academic and operational objectives and to ensure that its reputation is maintained and enhanced, including government relations, community relations, media relations and student relations.
3.3	*University Experience* The Committee shall review the University experience as it impacts the communities it serves and the University population, including the services and supports provided by the University on campus, such as campus security services, residence life and food services.
3.4	*Fund Raising* The Committee shall review the University's fund raising and advancement activities to ensure that the institution optimizes opportunities to fund, through donations and grants, its endowment as well as its operating and capital requirements.
3.5	*Alumni Relations* The Committee shall review the University's communication and engagement with alumni in order to ensure that alumni feel connected and are encouraged to support the institution's ongoing academic, operational, financial and reputational objectives.
3.6	*Policies* The Committee shall review and make recommendations to the Board regarding the approval, amendment or repeal of any University policy relating to its mandate.
3.7	*Risk Management* The Committee shall gain reasonable assurance that risks related to its mandate are being effectively managed and controlled by reviewing the University's strategies, policies and plans for addressing such risks.

3.8	*Performance Indicators and Measurement* The Committee shall regularly receive and review the key performance indicators related to its mandate.
3.9	*Other Responsibilities* The Committee may: a. Request reports from management on any matters that, in the Committee's discretion, fall within the Committee's duties; and b. Make recommendations to the Board, Executive Committee, President and/or his/her delegate on any other related matter referred to the Committee.
4.	Meetings
	a. Meetings of the Committee are open to members of the public, with the exception of *in camera* sessions. Admission will be on a first-come, first-admitted basis subject to the limitations of available space as set out in the Framework for Open Meetings. b. Committee meetings shall normally be held four times a year at the call of the Chair. c. Meetings are held in accordance with the Board and Board Committee Meeting Procedures.

Board of Trustees

(Circulated prior to approval)

Brock University
Niagara Region
1812 Sir Isaac Brock Way
St. Catharines, ON
L2S 3A1 Canada

MINUTES OF MEETING #4 (2021-22) – CYCLE 5

UNIVERSITY AND COMMUNITY EXPERIENCE COMMITTEE

WEDNESDAY, JUNE 22, 2022, 2:00 PM

REMOTE PARTICIPATION VIA MICROSOFT TEAMS

MEMBERS PRESENT:	Arti Freeman (Committee Chair), Mark Arthur, Faten Darbaj, Mary De Sousa, Trecia McLennon, Erin Mathany, JoAnna Roberto, Lynn Wells
INVITED TRUSTEE:	Hilary Pearson
RESOURCE PERSONNEL:	Gord Arbeau, Ken Chan, Chabriol Colebatch, Stacey Duncan, Tim Kenyon, Margaret Thompson
ALSO PRESENT:	Invited staff members during specific agenda items and other members of the Brock community

1. Call to Order

The Committee Chair welcomed members, staff and guests, called the meeting to order, and provided a land acknowledgement.

2. Declaration of Conflict of Interest

There were no conflicts of interest declared to any matter on the agenda.

3. Approval of the Agenda

The Committee Chair referred members to the Agenda and confirmed that there were no items to be lifted from the consent portion.

On a motion by Trustee Arthur, seconded by Trustee De Sousa and carried, it was

RESOLVED that the Agenda, including consent items, be approved.

4. Business Arising from the Minutes – None

5. Campus Security Services

[An Information Item *TOPIC: Campus Security Services Update* dated June 22, 2022 had been posted with the meeting materials.]

The Director of Campus Security Services reviewed the Report that provided an update on campus safety and security initiatives for the information of the Committee.

The Vice-President, Administration acknowledged the dedication and efforts of the Campus Security team and thanked them for their service over the past year and their ongoing commitment to campus safety.

6. Emergency Management Plan and Preparedness Annual Report

[An Information Item *TOPIC: Brock University Emergency Management Plan and Preparedness Annual Report* dated June 22, 2022 had been posted with the meeting materials.]

The Committee reviewed the Report that provided information regarding the Emergency Management program and its application over this reporting period. During the review, the Manager, Emergency Management & Life Safety provided highlights of the Report.

7. Indigenous Engagement Update

[An Information Item *TOPIC: Indigenous Engagement Update* dated June 22, 2022 had been posted with the meeting materials.]

The Committee reviewed the Report that provided an update on efforts related to decolonization, indigenization, and indigenous engagement in support of the strategic priority of fostering a culture of inclusivity, accessibility, reconciliation, and decolonization. During the review, the Acting Vice-Provost, Indigenous Engagement provided highlights and responded to questions raised during the discussion.

8. Sustainability

[A Joint Information Item to the Capital Infrastructure Committee/University Community and Experience Committee *TOPIC: Sustainability Update* dated June 22, 2022 had been posted with the meeting materials together with the following appendices: 1 – Energy Conservation and Demand Management Annual Scorecard; and 2 – Memo – Low Carbon Economy Challenge.]

The Committee reviewed the Report that provided an annual update on sustainability activities and accomplishments across campus. During the review, the Director, Asset Management & Utilities highlighted several positive initiatives and outcomes for the information of the Committee. During the ensuing discussion, the Associate Vice-President responded to questions raised.

9. University Advancement and External Relations Year-End Report

[An Information Item *TOPIC: University Advancement and External Relations Year-End Report* dated June 22, 2022 had been posted with the meeting materials.]

The Committee reviewed the Report that provided a year-end overview of the activities and results of the Advancement and External Relations team for the period

May 1, 2021 – April 30, 2022. By way of a presentation, the Associate Vice-President, Advancement & External Relations provided highlights of the Report.

10. Brand Renewal Update

[An Information Item *TOPIC: Brand Renewal Update* had been posted with the meeting materials together with Appendix 1 – Evolving the Brock Brand – Brand Renewal Update Presentation Document.]

The Committee reviewed the Report that provided an update on the progress achieved by the team leading the renewal of the Brock brand. By way of a presentation, the Associate Vice-President, Advancement & External Relations and the Executive Director, Marketing, Brand and Communications expanded on the brand renewal update.

11. Update on the Academic Plan

[An Information Item *TOPIC: Update on the Academic Plan* had been posted with the meeting materials together with Appendix 1 – Academic Plan (draft for consultation).]

The Committee reviewed the Report that provided an update on the work to develop an academic plan which will complement the contents of the Institutional Strategic Plan.

12. Generative Discussion: Scarborough Charter

[An Information Item *TOPIC: Generative Discussion – Scarborough Charter* had been posted with the meeting materials together with Appendix 1 – Scarborough Charter.]

The Chair referred members to the Report provided to introduce the topic for generative discussion.

The Committee engaged in a generative discussion regarding Brock's strengths and areas for improvement in relation to the issues and principles outlined in the Scarborough Charter which included, but was not limited to, the following:

- Black Cluster Hire in the Canadian context
- Addressing inequities in support and outcomes for different marginalized groups in post-secondary education
- Providing space on campus for Black flourishing
- Education, including self-education and Board education, on Black issues
- Intersection with the Board's work on equity, diversity and inclusion (EDI) and a decision-making framework
- Distribution of the Scarborough Charter to the entire Board
- Benchmarks and measurement of outcomes in development in cooperation with human resources, other institutions, and Statistics Canada
- The benefit of continuing the discussion at a subsequent meeting

The Committee Chair noted that a motion was required to move *in camera* for consideration of the following confidential items:

13. Government Relations Update – *In camera*

14. Property Update – *In camera*

On a motion by Trustee McLennon, seconded by Trustee Roberto and carried, the Committee moved *in camera* at 3:50 p.m. Only members of the Committee and those invited staff remained for the closed session.

*****

[During closed session, the Committee reviewed confidential Reports.]

The Committee resumed open session at 4:04 p.m.

15. Minutes of Previous Meeting

[The Minutes of the previous meeting had been posted with the meeting materials.]

The Minutes of Meeting #3 (2021-22) of the University and Community Experience Committee held on March 2, 2022 had been approved by consent.

16. Enrolment and Admissions Update

[An Information Item *TOPIC: Enrolment & Admissions Update* dated June 22, 2022 had been posted with the meeting materials.]

The Committee received the Report by consent.

17. Campus Security Metrics

[The Campus Security Metrics had been posted with the meeting materials.]

The Metrics had been received by consent.

18. Other Business - None

19. Adjournment

The meeting adjourned at 4:05 p.m.

Board of Trustees

Report to the Governance/Nominating Committee

INFORMATION ITEM

TOPIC: Governance Review

September 28, 2022
Chabriol Colebatch, General Legal Counsel and University Secretary

EXECUTIVE SUMMARY

1. Purpose of Report

- To confirm the proposed plan for the 2022/23 Board governance review.

2. Key Background

- The Governance/Nominating Committee Charter provides that the Committee shall conduct a thorough review of Board governance every 7 years, or as needed. The last comprehensive review of the Board bylaws, committee terms of reference, and key Board policies, was conducted in 2015/16.
- In 2021/22, it was agreed by the Governance/Nominating Committee that a governance review would be conducted in 2022/23.
- The University Secretary has reviewed approaches by other universities, as well as information on corporate governance reviews and is proposing the following plan for the Board's governance review:

    - **Scope of review:** Based on feedback provided in annual board surveys, it is proposed that the review focus on:
        - Board meeting effectiveness (meeting structure, decision-making processes, and meeting culture)
        - Committee structure
        - Board membership and recruitment (composition, criteria, processes)

    - **Reviewers:** The review will be conducted by the incoming University Secretary working with the Governance/Nominating Committee Chair and the Vice-President, Administration. As required and subject to available budget, the services of an external consultant may be obtained.

    - **Process**: The review will involve:
        - A review of relevant Board bylaws, policies, and procedures.
        - Interviews with Board members, Executive Team (President and Vice-Presidents), and Board resources (Committee leads, University Secretariat)
        - A review of comparator practices at other post-secondary institutions and more broadly in the corporate and not-for-profit sector

        - Engagement with the Ontario Ministry of Colleges and University as appropriate.

    - **Timing:** The review will commence shortly following the hire of the new University Secretary and will be conducted in phases:
        - October – November: review of written documents
        - December – February: interviews and comparator research
        - March – April: report writing
        - May: review of draft report and recommendations by Governance/Nominating Committee
        - June: submission of final report to Board

3. Next Steps

- Subject to feedback from the Committee, a terms of reference for the review based on the above parameters will be finalized and approved by the Governance/Nominating Committee Chair and Board Chair, with the intent for the review to commence in October. Regular reports on the status of the review will be provided to the Governance/Nominating Committee at each cycle, with the final report to be provided by cycle 5.

4. Background Materials

N/A

Board of Trustees

Report to the Governance/Nominating Committee

DECISION ITEM

TOPIC: 2022-23 Board Development Plan

September 28, 2022
Chabriol Colebatch, University Secretary & General Legal Counsel

MOTION

THAT the Governance/Nominating Committee approve the 2022-23 Board Development Plan as set out in this Report.

EXECUTIVE SUMMARY

1. Rationale

- The Committee is being asked to approve the Board Development Plan for 2022-23 as part of its role in overseeing board development.
- The 2022-23 plan proposes a mix of online and in-person board development opportunities, with the primary opportunity for board development consisting of the Board Development Day in January 2023. It will also leverage other learning opportunities offered by organizations such as the Council of Ontario Universities and the Canadian University Boards Association.
- Committee members are invited to provide input on the plan prior to approval.

2. Key Background

- Under the Governance/Nominating Committee Charter, the Committee is responsible for overseeing board education and development, as part of which it shall "review and approve the annual Board development plan to satisfy itself that an effective board development and education program is in place to provide trustees with the necessary information, competencies and support to fulfil their duties".
- For 2022-23, the following development plan is proposed:
    - A Board orientation for new members, supplemented by mentoring from experienced trustees.
    - A Board development day currently scheduled for January 19, 2023 from 9 - 3pm, which focuses on:
        - Governance review
        - An equity, diversity, and inclusion framework
        - The role of the board in Environmental, Social, Governance (ESG)
    - Additionally, there is an interest in exploring the topic of academic freedom of expression
    - The annual COU board members conference.

- While topics for some of the development offerings are still to be determined, the responses to the question in the 2021-22 Board survey, 'what issues should the Board be addressing in the coming year?' included:
    - Equity, diversity, and inclusion
    - Developments in the education sector (e.g. adapting to how people want to leave, decreasing importance of university education, diversity and digital/tech impacts on the education sector)
    - ESG matters
    - Fundraising and alumni relations
    - Financial stability post-COVID
    - Risk appetite
    - Cyber risk
    - Campus master plan
    - Return on investments for the future
    - Enrolment

- In addition, the skills assessment included in the survey revealed that the areas in which trustees have the least experience or knowledge are:
    - Government Relations
    - Accounting knowledge
    - Facilities Management
    - Fundraising
    - Information Technology
    - Human Resources
    - Legal
    - Political

  Accordingly, educational sessions or training in these areas may be worthwhile.

- Committee members are invited to provide feedback on the topics, formats, and timing of the board development opportunities to ensure the annual board development plan is appropriate, convenient, and effective.

3. Next Steps

- Subject to feedback from the Committee and approval of the board development plan, the University Secretariat will work with the Governance/Nominating Committee Chair to implement the plan.

4. Background Materials

- N/A

Board of Trustees

Report to the Governance/Nominating Committee

DECISION ITEM

TOPIC: 2022-23 Governance/Nominating Committee Work Plan

September 28, 2022

Chabriol Colebatch, General Counsel & Associate Vice-President,
Legal, Compliance and Privacy

MOTION

THAT the Governance/Nominating Committee approve the 2022-23 Committee Work Plan as outlined in Appendix 1.

EXECUTIVE SUMMARY

1. Rationale

- The Board Bylaw (section 7.3.3) requires that each Committee of the Board have an annual work plan which must be reported to the Board at its inaugural meeting each year.
- The attached work plan was developed by the Committee Chair, the President and Vice-Chancellor and Vice-Presidents along with the University Secretary.
- The work plan reflects the Committee's responsibilities in its Charter (attached as appendix 2), the strategic priorities of the University, the feedback provided from the annual board assessment and ongoing actions from the previous year.

2. Key background

- Some of the key items included on the work plan are:

    - Board governance review: the Governance/Nominating Committee Charter stipulates that the Committee will conduct a thorough review of Board governance every 7 years. The 2021/22 Governance/Nominating Committee resolved that governance review should be conducted in 2022/23. A proposal is being presented to the Governance/Nominating Committee in cycle 1 with regards to the scope and nature of the review, with the intent that the review be completed by cycle 5.

    - Board EDI framework: in 2021/22, the Governance/Nominating Committee began a process to develop an equity, diversity, and inclusion framework for the Board. Regular updates will be provided throughout the year on the development of and outcomes from the framework.

    - The customary governance and nominating responsibilities, including board development, board evaluation, and recruitment strategies and nominations.

- Each Committee Chair has recently been requested by the Chair of the Board to develop key objectives for their Committee for the 2022-23 year. The Chair of the Governance/Nominating Committee has set the following key objectives:
    1. EDI (Equity, Diversion & Inclusion) Framework – establish framework for the Board via a subcommittee.
    2. Governance Review - overall modernization of governance, working with Corporate secretary.
    3. ESG (Environmental, Social & Governance)- education and understanding of governance requirements.
    4. Modification of Bylaws/Policies - Board member eligibility to serve and the Board Nominating Strategy.

3. Implications

- Approval of the Committee work plan will provide administration with a guide regarding what reports to bring forward to the Committee and when; however, the work plan is flexible and amendable. Items may be added or deleted by the Committee Chair as required.

4. Next steps

- Following approval by the Committee, the work plan will be presented to the Board at the September 29, 2022 meeting for its information.

5. Background material

Appendix 1 – 2022-23 Governance/Nominating Committee Work Plan (4 pages)
Appendix 2 – Governance/Nominating Committee Charter (3 pages)

2022-23 GOVERNANCE/NOMINATING COMMITTEE WORK PLAN									Academic & student experience	Research	Community engagement	Inclusivity, accessibility, reconciliation and decolonization	General institutional advancement	Financial sustainability
TITLE	**LEAD (names on report)**	**CYCLE (S)**	**ACTION (Info, Rec or Dec)**	**TYPE (Key, Consent) and if In Camera**	**ATTENDING (other Brock staff or External guests)**	**BRIEF SUMMARY**	**OUTCOME SOUGHT**	**NOTES (i.e. also to xxxx Committee)**						
FORESIGHT (based on people strategy (i.e. where are we headed, what is on the horizon)														
Pension Committee Membership	J. Guarasci	2	Rec / Dec	Consent	W. Fast	Per Gov/Nom Committee Charter and Pension Governance Manual, new Pension Committee members must be submitted to Gov/Nom Committee for recommendation to full Board for approval. Per Pension Governance Manual the FPIC receives the report as an information item.	For Gov/Nom Committee: approval of membership for two new Pension Committee members. For FPIC: the report keeps them apprised of changes to Pension Committee membership, a committee that reports into the FPIC.	FPI to recommend to Board for approval. Also to FPI for information						x
Governance Review	K. Chan C. Colebatch	1	Dec	Key		Under its Charter, the Committee is responsible for ensuring a governance review is conducted every 7 years or as needed. At the	Approval of: (1) scope of review; (2) process for review; (3) reviewers						x	
Governance Review updates	K. Chan C. Colebatch	2, 3	Info	Key		Regular updates will be provided on the Governance Review	Committee awareness of progress of the review.							
Governance Review final report	K. Chan C. Colebatch	5	Info	Key		Final report of the Governance Review will be presented, with any recommendations for changes to Board bylaws, processes, or	Good governance practices.							
2022- 23 Board Development Plan	K. Chan C. Colebatch	1	Dec	Key		Under its Charter, the Committee is responsible for overseeing board education and development, as part of which it shall "review and approve the annual Board development plan to satisfy itself that an effective board development and education program is in place to provide trustees with the necessary information, competencies and support to fulfil their duties".	Approval of the Board Development Plan for 2022-23.							x

2022 Board Orientation Session	K. Chan C. Colebatch	5	Info	Key		The Committee Charter provides that the Committee is responsible for overseeing Board education and development, including Board orientation.	Gather feedback and direction from the Committee for the University Secretariat to make the necessary preparations for the orientation session.							x
Unconscious Bias Training	C. Takalo	2	Info	Key		Provide information on culture and unconscious bias training to assist members in the evaluation of nominations.	Ensure nominations are evaluated without bias.							x
Community Trustee Recruitment and Nominations	M. De Sousa	1, 2, 3, 4	Info/Rec	Key IC		In keeping with the Board Nominating Strategy, at each Cycle of meetings, the Committee follows the processes for each cycle as defined in the Strategy and reviews the list of nominations received.	Ensure that a clear plan is in place for the recruitment and selection of community members of the Board.							x
Review of nominating strategy	C. Colebatch	2	Info/Dec	Key		As per direction of Gov/Nom Committee in cycle 5 2022, the incoming Gov/Nom Committee will review the nominating strategy to update it based on the evolution of the Committee's nominating practices and the board equity initiatives.								
Report on Vice-Chair (Title TBC)	M. Arthur	3	Rec	Key		The term of								
Bylaw requirements re. qualifications of trustees	M. Arthur, C. Colebatch	2	Info/Rec	Key IC		The Board Chair has requested the qualications for trustees be reviewed to address concerns regarding trustees who have been found to have violated university policies continuing to be eligible to serve on Board.	Decision regarding eligibility requirements to serve on Board.							
Policy on the Appointment and Reappointment of the President and Vice-Presidents	C. Colebatch, J. Guarasci	3, 5	Info	Key		The Board Chair has requested the policy be updated following the conclusion of the Presidential search. HR and the Secretariat will consult with key stakeholders and prepare a revised policy for the consideration of the Board. Subject to feedback from the Committee, the Policy may be moved to the purview of the HR Committee.	Clarifications and updates to presidential appointment and review processes.							

Board qualifications and Nominating Policy	K. Chan C. Colebatch	1, 2	Info Rec/Dec	Key, IC		In order to ensure Board composition reflects Board's commitment to integrity, GN is reviewing Board member qualifications	Ensuring board composition reflects its needs and values and avoiding appointment of board members who don't share the qualifications expected of board' – click general institutional advancement						x	
ESG – governance requirements	K. Chan	3	Info	Key		To educate committee about governance requirements association with environmental, social, and governance oversight	Appropriate Board understanding and oversight of ESG matters.						x	
Exit Interview Requirements for President & Vice-Presidents	C. Colebatch J. Guarasci	2	Info	Key, IC		In March 2022 (Cyle 3) HRC & Gov/Nom was asked to gather feedback on the proposed exit interview requirements for	Subject to feedback from the HRC and Gov/Nom Committees, the requirements and process will be finalized and brought	Also to HRC						
OVERSIGHT (current topic; reviewing topic to make things look good)														
2021-22 Governance/Nominating Committee Work Plan	K. Chan C. Colebatch	1	Decision	Key		Seek approval of the Committee work plan to provide administration with a guide regarding what reports to bring forward to the Committee and when.	Committee approval of the work plan and present to Board for information.							x
Designation of Trustee Emeritus/a	M. De Sousa	1	Rec	Key		The Committee is responsible for recommending candidates for trustee emeriti in accordance with Trustee Emeritus procedures.	Recommend to the Board the approval of Trustees Emeriti.							x
Action Plan Arising from Annual Board Survey	K. Chan C. Colebatch	1	Info	Key		Share with the Committee the proposed action plan in response to the results of the 2021-22 board survey and invite discussion on ongoing board development	Subject to feedback, the University Secretary will implement the action plan.							x
Metrics	K. Chan C. Colebatch	1, 2, 3, 5	Info	Consent		Provide metrics on major areas for the information of the Committee.	Ensure members are aware of targets being met within certain areas.							x
2022-23 Board Membership and Board Representatives on Senate	M. De Sousa	5	Rec	Key		The Governance/Nominating Committee is responsible for nominating the membership of the Standing Committees and for nominating two Board members as Board representatives on the University Senate.	Recommend the memberships to the Board for approval within the Nominating Report to the Board.							x

Board Membership Terms Expiring	K. Chan C. Colebatch	3	Info	Key		Section 3.3.3 of the Board Bylaw provides that each year, at least three months before the annual meeting of the Board, the Secretary shall provide to the Board a notice of the Trustees whose terms expire during the current year. The report is also presented to the Governance/ Nominating Committee for its consideration	Notify Board of anticipated membership changes.							x
2022 Annual Board Evaluation and Self-Assessment Survey	K. Chan C. Colebatch	3	Dec	Key		The Committee's Charter includes responsibilities of providing oversight of processes for evaluating the effectiveness of the Board, its Committees and members and conducting an annual review and evaluation of Board members.	Seeking Committee's approval of the proposed 2023 survey in order that the University Secretary can implement the survey.							x
Annual Policy Status Report	K. Chan C. Colebatch M. Thompson	5	Info	Consent		To provide the Committee with the annual update on the status of the University's policy program to enable the Committee to fulfil its policy oversight responsibilities.	Ensure Committee is aware of the status of the Univeristy's policy program.							x
Policy Approvals Update	K. Chan C. Colebatch	1, 2, 3, 5	Info	Consent		To notify the Governance/Nominating Committee and Board of Trustees on policy approvals granted by the Executive Team (President and Vice-Presidents) to support continued Board oversight of the University's policy framework.	Ensure Committee is kept up-to-date on policy approvals.							x
Board Diversity and Inclusion Policy	L. Wells, C. Colebatch, C. Takalo	2, 3	Info/Rec	Key		The Board Diversity and Inclusion Policy is up for review in December 2022. A draft report with high level policy discussion will be presented in cycle 2 with the aim of an updated policy to be presented for approval in March 2023.	Updated Policy with more current and appropriate policy commitments.							
Board Equity, Diversity and Inclusion Framework Update	L. Wells M. DeSousa	2, 3	Info	Key		In 2021/22, the Gov/Nom Committee endorsed an initiative to develop a board equity, diversity, and inclusion framework. Regular updates on the framework will be provided each cycle, starting with a reviewew of the survey results.	More inclusive Board practices.							

Exit Interview Requirements for President & Vice-Presidents	C. Colebatch J. Guarasci	2	Info	Key, IC		In March 2022 (Cyle 3) HRC & Gov/Nom was asked to gather feedback on the proposed exit interview requirements for President & VPs and to keep the Gov/Nom Committee informed of this initiative.	Subject to feedback from the HRC and Gov/Nom Committees, the requirements and process will be finalized and brought back for approval, either as part of the policy review process or Committee Charters update process.	Also to Gov/Nom					X	
HINDSIGHT															
Review of Annual Board Survey Results	K. Chan C. Colebatch	5	Info	Key		Inform the Committee of the results of the 2022/23 Board Survey and to identify strengths or potential concerns.	The results will be used by the Committee to inform the Committee's work plan for the following year.								x

Board of Trustees

Board Committee Charter	**GOVERNANCE/NOMINATING COMMITTEE**
Approved by the Board of Trustees	April 18, 2013
Amendments approved by the Board of Trustees	October 3, 2013; February 13, 2014; June 23, 2016; March 9 2017; June 27, 2019; October 1, 2020, June 23, 2022

1.	Mandate
	The mandate of the Governance/Nominating Committee ("Committee") is to oversee and enhance Board governance and to conduct all Board-related nominations. This mandate includes: a. Recruitment and nomination of community members and Board representatives on University bodies; b. Review of Board governance structures, bylaws, policies and best practices; c. Board education and development to support Board members' effectiveness; d. Evaluation of the Board, its Committees and members; e. Oversight of the University's policy management framework.
2.	Composition
	The Governance/Nominating Committee is appointed annually and consists of the following: a. the Chair of the Board, the Chair-Elect (or, when there is no Chair-Elect, the Vice-Chair), and the President, ex officio; b. a minimum of four additional community Trustees, one of whom shall serve as Chair.
3.	Responsibilities
	In fulfilling its mandate, the Governance/Nominating Committee shall have the following responsibilities:
3.1	*Governance* a. Periodically review the structure of the Board, its Committees and their mandates and make recommendations to the Board regarding the Committee Charters. b. Review and make recommendations to the Board regarding Board Bylaw #1, policies, procedures and other board governance-related policy instruments. c. Review the University's governance practices to ensure that the requirements of the *Brock University Act* are followed; d. Review and make recommendations to the Board regarding policies and practices to promote integrity and ethical conduct within the Board of Trustees: e. Conduct a thorough review of Board governance every 7 years or as needed. f. Review strategies and processes to support the bi-cameral governance system of the University

3.2	*Nominations* a. Review the Board's Nominating Strategy on an annual basis and approve amendments as necessary to ensure that the Board's nominating principles and processes are appropriate and effective and in compliance with Board Bylaw #1; b. Recruit and select potential nominees for community trustees in accordance with the Board's Nominating Strategy and Diversity and Inclusion Policy, including ongoing review of anticipated vacancies, Board competencies and needs, taking into consideration information gathered from the Board Skills Matrix. c. Recommend to the Board a slate of nominations for Board membership for consideration during its Annual Meeting which shall include: a. Nominations for Board membership in accordance with Article 3.6 of Board Bylaw #1; b. Nomination for the office of Board Chair in accordance with Article 4.1 of Board Bylaw #1; c. Nomination for the office of Vice-Chair in accordance with Article 4.3 of Board Bylaw #1; d. At or before the annual meeting prior to the start of a Chair's final year in office, nomination of a Chair-Elect in accordance with Article 4.2 of Board Bylaw #1; e. Nominations of the Chair, Vice-Chair and members of all Standing Committees and Subcommittees of Standing Committees of the Board in accordance with Article 7.4 of Board Bylaw #1; f. Nominations of two community members as Board representatives on the University Senate. d. Recommend to the Board nominations for Board members to serve on the Advisory Committee on the Presidency and Advisory Committees for the Vice-Presidents as outlined in the Policy on the Appointment and Reappointment of the President and Vice-Presidents; e. Recommend to the Board nominations for Board members to serve on any other University committee, task force or body upon request.
3.3	*Board education and development* a. Review and approve the annual Board development plan to satisfy itself that an effective board development and education program is in place to provide trustees with the necessary information, competencies and support to fulfil their duties; b. Review plans for Board orientations and the annual Board education day.
3.4	*Board evaluation* a. Approve the processes and tools for the annual board, committee and trustee evaluation; b. Review the action plan to address the feedback gathered from the evaluation.
3.5	*Policies* a. Review the University's policy management framework; b. Review the classification of policies to ensure that all Board approved policies are under the purview of an appropriate Committee, that they pertain to the

	responsibilities of the Board and do not contradict the academic policies of Senate and that no policy gaps exist; and c. Review and make recommendations to the Board regarding the approval, amendment or repeal of any University policy relating to its mandate.
3.6	*Risk Management* The Committee shall gain reasonable assurance that risks related to its mandate are being effectively managed and controlled by reviewing the University's strategies, policies and plans for addressing such risks.
3.7	*Performance Indicators and Measurement* a. regularly receive and review key performance indicators related to its mandate.
3.8	*Other Responsibilities* a. request reports from management on any matters that, in the Committee's discretion, fall within the Committee's duties. b. consider and provide guidance regarding any other matter referred to the Committee by the Board, Executive Committee or President.
4.	Meetings
	a. Meetings of the Governance/Nominating Committee are closed to members of the public. b. Committee meetings shall normally be held four times a year, at the call of the Chair. c. Meetings are held in accordance with the Board and Board Committee Meeting Procedures.

Board of Trustees

Report to Governance/Nominating Committee

INFORMATION ITEM

TOPIC: Policy Approvals Update

September 28, 2022
Chabriol Colebatch, University Secretary and General Legal Counsel

EXECUTIVE SUMMARY

1. Purpose of the Report

- To notify the Governance/Nominating Committee and Board of Trustees on policy approvals granted by the Executive Team (President and Vice-Presidents) to support continued Board oversight of the University's policy framework.

2. Key Background

- The Policy on Policy Management ("Policy") provides that the Executive Team may approve:
  - operational policies; and
  - minor amendments to Board approved policies.
- To ensure transparency and accountability, all approvals by the Executive Team are reported to the Board, which retains the authority to modify the approval authority of any policy as the Board deems appropriate.
- The policies listed in the table below were reviewed and approved by the Executive Team since the last Board meeting in June. All policies are available through the online policy library at https://brocku.ca/policies/.

Policy Name	Classification	Additional Information
Conflict of Interest Policy	Governance/ Compliance	Reviewed and renewed with no changes.
Donor Relations, Naming & Recognition	Governance/ Compliance	Updated references to Advancement and External Relations and clarified approvals required for namings of an academic nature.
Institutional Brand Identity	Governance/ Compliance	Updated references to Brock brand elements and Advancement and External Relations.
Media Relations	Operational	Update references to units and titles.

3. Next Steps

- Any further policy approvals granted by the Executive Team will be reported to Committee and the Board at the next cycle.

4. Background Materials

None.

(*Circulated Prior to Approval)*

Board of Trustees

Brock University
Niagara Region
1812 Sir Isaac Brock Way
St. Catharines, ON
L2S 3A1 Canada

MINUTES OF MEETING #5 – CYCLE 5 (2021-22)

GOVERNANCE/NOMINATING COMMITTEE

WEDNESDAY, JUNE 22, 2022, 4:30 PM

REMOTE PARTICIPATION VIA MICROSOFT TEAMS

PRESENT: Mary De Sousa (Committee Chair), Debbie Zimmerman (Vice-Chair), Mark Arthur, Erin Mathany, Lynn Wells

REGRETS: Marylee O'Neill

RESOURCE PERSONNEL: Ken Chan, Chabriol Colebatch, Tim Kenyon, Margaret Thompson

BY INVITATION: During Agenda Item 9 – Chancellor Hilary Pearson, Trustee Joanna Roberto, Brad Clarke

1. Call to Order

The Committee Chair welcomed members and staff and called the meeting to order.

2. Declaration of Conflict of Interest

There were no conflicts of interest declared to any matter on the Agenda.

3. Approval of Agenda

The Committee Chair referred members to the Agenda and confirmed that there were no items to be lifted from the consent portion.

On a motion by Trustee Mathany, seconded by Trustee Arthur and carried, it was

RESOLVED that the Agenda, including consent items, be approved.

4. Business Arising from the Minutes – None

5. Nominating Report

[A Recommendation Item *TOPIC: Nominating Report* dated June 22, 2022 had been posted with the meeting materials together with the following appendices:
1 – Brief Bios of Proposed New Community Trustees
2 – 2022-23 Board Committee Membership Slate
3 – Quick View of Trustee Assignments.]

The Committee reviewed the Report that contained the rationale for the proposed motions.

Re: Re-election of Community Trustee

On a motion by Trustee Arthur, seconded by Trustee Mathany and carried, it was

RESOLVED **that the Governance/Nominating Committee recommend to the Board of Trustees that Rob Welch be re-elected as a community member of the Board of Trustees for a three-year term, effective July 1, 2022 to June 30, 2025.**

Re: Election of Community Trustees

On a motion by Trustee Arthur, seconded by Trustee Mathany and carried, it was

RESOLVED **that the Governance/Nominating Committee recommend to the Board of Trustees that Réjeanne Aimey be elected as a community member of the Board of Trustees for a three-year term, effective July 1, 2022 to June 30, 2025.**

On a motion by Trustee Arthur, seconded by Trustee Mathany and carried, it was

RESOLVED **that the Governance/Nominating Committee recommend to the Board of Trustees that Jonathan Davey be elected as a community member of the Board of Trustees for a three-year term, effective July 1, 2022 to June 30, 2025.**

On a motion by Trustee Arthur, seconded by Trustee Mathany and carried, it was

RESOLVED **that the Governance/Nominating Committee recommend to the Board of Trustees that Nyarayi Kapisavanhu be elected as a community member of the Board of Trustees for a three-year term, effective July 1, 2022 to June 30, 2025.**

On a motion by Trustee Arthur, seconded by Trustee Mathany and carried, it was

RESOLVED **that the Governance/Nominating Committee recommend to the Board of Trustees that Kevin Magee be elected as a community member of the Board of Trustees for a three-year term, effective July 1, 2022 to June 30, 2025.**

On a motion by Trustee Arthur, seconded by Trustee Mathany and carried, it was

RESOLVED **that the Governance/Nominating Committee recommend to the Board of Trustees that Christine Sawchuk be elected as a community member of the Board of Trustees for a three-year term, effective July 1, 2022 to June 30, 2025.**

Re: Election of BUAA representative/Community Trustee

Prior to presenting the proposed motion within the Report, it was noted that as of July 1, Greg Plata will be Past President of the BUAA, not President.

On a motion by Trustee Arthur, seconded by Trustee Mathany and carried, it was

RESOLVED **that the Governance/Nominating Committee recommend to the Board of Trustees that Greg Plata, Past President of the Brock University Alumni Association, be appointed as a community member of the Board of Trustees effective July 1, 2022 to coincide with the constituency's prescribed position term.**

Re: Proposed Committee Memberships for 2022-23

On a motion by Trustee Arthur, seconded by Trustee Mathany and carried, it was

RESOLVED **that the Governance/Nominating Committee recommend to the Board of Trustees that the Board Committee Memberships for 2022-23 be approved as outlined in Appendix 2 of the Nominating Report.**

Re: Board Representatives on Senate

On a motion by Trustee Arthur, seconded by Trustee Mathany and carried, it was

RESOLVED **that the Governance/Nominating Committee recommend to the Board of Trustees that Joanna Roberto and Christine Sawchuk each be elected to serve as a Board member representative on Senate for a one-year term effective July 1, 2022 to June 30, 2023.**

6. Committee Charter Updates

[A Recommendation Item *TOPIC: Committee Charter Updates* dated June 22, 2022 had been posted with the meeting materials together with the following appendices:
1 – Amended Governance/Nominating Committee Charter
2 – Amended Financial Planning and Investment Committee Charter
3 – Amended Audit Committee Charter.]

The Committee reviewed the Report that highlighted the proposed housekeeping amendments to certain Committee Charters.

On a motion by Trustee Arthur, seconded by Trustee Mathany and carried, it was

RESOLVED **that the Governance/Nominating Committee recommend to the Board of Trustees that the Governance/Nominating Committee Charter, Financial Planning and Investment Committee Charter, and Audit Committee Charter be amended as outlined in Appendices 1, 2, and 3.**

7. Policy on Board Concurrence with the Establishment of an Academic Unit

[A Recommendation Item *TOPIC: Policy on Board Concurrence with the Establishment of an Academic Unit* dated June 22, 2022 had been posted with the meeting materials together with Appendix 1 – Draft Policy on Board Concurrence with the Establishment of Academic Units.]

The Committee reviewed the Report that contained detailed information regarding the proposed Policy which will ensure that the Board is informed early in the process on proposals to establish new academic units and will have an opportunity to provide guidance and input on resourcing implications.

On a motion by Trustee Arthur, seconded by Trustee Wells and carried, it was

RESOLVED **that the Governance/Nominating Committee recommend to the Board of Trustees that the Policy on Board Concurrence with the Establishment of an Academic Unit as outlined in Appendix 1 of the Report be approved.**

8. Review of Nominating Strategy

[An Information Item *TOPIC: Review of Nominating Strategy* dated June 22, 2022 had been posted with the meeting materials together with Appendix 1 – Board Nominating Strategy.]

In keeping with the Committee Charter, the Report was provided to support the Committee's annual review of the Nominating Strategy.

Given the current work underway of the Board regarding equity, diversity and inclusion, members agreed that the review of the Nominating Strategy be deferred to cycle 1 of the 2022-23 Board meetings and will include consideration of the schedule of the nominating responsibilities.

9. Equity, Diversity, and Inclusion Framework

[An Information Item *TOPIC: Equity, Diversity, and Inclusion Framework* dated June 22, 2022 had been posted with the meeting materials together with Appendix 1 – Slides, and Appendix 2 – Board of Trustees Diversity and Inclusion Policy.]

The Committee reviewed the Report that provided information on a framework that will guide the Board in its work to support Brock's strategic priorities around equity, diversity and inclusion (EDI). During the review, additional members of the working committee to develop an EDI framework joined the meeting and expanded on key elements in the process to develop the framework. It was noted that there will be a financial component involved in conducting the proposed voluntary intercultural

evaluation.

MOVED (DeSousa/Mathany)

That the Governance/Nominating Committee proceed with the development of the EDI framework, including the undertaking of a voluntary intercultural evaluation, as detailed in the Report dated June 22, 2022.

CARRIED

10. Board Development Action Plan

[An Information presentation "Governance Big 3" had been posted with the meeting materials.]

The Committee Chair her presentation to the Committee entitled "Governance Big 3": Culture, Strategy, Oversight.

11. 2022 Board Orientation Session

[An Information Item *TOPIC: 2022 Board Orientation Session* dated June 22, 2022 had been posted with the meeting materials.]

The Committee reviewed the Report regarding the proposed approach to the annual Board orientation session. During discussion, the importance of providing an orientation to university finances was emphasized, as well as continuing the mentorship program. It was noted that a shortened pre-orientation meeting with new Trustees will be required prior to the anticipated special meeting of the Board in early summer to appoint the next president.

The Chair noted that a motion was required to move *in camera* to consider the following confidential agenda items:

12. Results of the 2022 Board Survey – *In camera*
13. Future Community Trustee Recruitment – *In camera*

On a motion by Trustee Arthur, seconded by Trustee Wells and carried, the Committee moved in camera at 5:44 p.m.

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[During closed session, the Committee reviewed the confidential reports and approved a confidential motion.]

The Committee resumed open session at 6:00 p.m.

14. *In camera* Record of Proceedings of the Previous Meeting

[The *in camera* record of proceedings of the previous meeting had been posted with the meeting materials.]

The *In camera* Record of Proceedings of the meeting held on May 5, 2022 had been approved by consent.

15. Minutes of Previous Meeting

[The Minutes of the previous meeting had been posted with the meeting materials.]

The Minutes of the previous meeting held on May 5, 2022 had been approved by consent.

16. Annual Policy Report

[An Information Item *TOPIC: Annual Policy Report* dated June 22, 2022 had been posted with the meeting materials.]

The Committee received the Report for information by consent.

17. Policy Approvals Update

[An Information Item *TOPIC: Policy Approvals Update* dated June 22, 2022 had been posted with the meeting materials.]

The Report, which notifies on policy approvals granted by the Executive Team, was received by consent.

18. Metrics

[The Governance/Nominating Committee Metrics as at Cycle 5, June 22, 2022 had been posted with the meeting materials.]

The Metrics had been received by consent.

19. Other Business - None

20. Adjournment

The meeting adjourned at 6:00 p.m.