

**BOARD OF GOVERNORS ANNUAL MEETING****October 3, 2019****9:00am – 1:00pm****Thunder Bay Location – UC1001 (Senate Chambers)****Orillia Location - OA2005****AGENDA**

Board of Governors Members: Mr. Robert Arnone; Dr. Michel Beaulieu; Ms. Ann Dumyn; Dr. Christine Gottardo; Ms. Angela Maltese; Mr. Brian McKinnon; Dr. Moira McPherson; Mr. Ross Murray (Chair); Ms. Kathryn Rippey; Mr. Sean Speer; Mr. David Tamblyn; Ms. Cathy Tuckwell; Ms. Maria Vasanelli; Mr. Nathan Wainwright; Ms. Wendy Walberg

Administrative Resources: Ms. Barbara Eccles (Secretary) - General Counsel & University Secretary;
Marcie Morrison (Recorder) - Assistant University Secretary

1. Approval of Agenda

MOVED that the agenda be approved.

2. Need for In Camera Items to be Declared

Members are reminded that items arising that need in camera attention should be declared at the point of discovery.

3. Declaration of Conflict of Interest

Members are reminded of their duty to declare a conflict of interest should awareness of conflict arise at any time during the meeting.

4. Approval of Previous Minutes

a. June 7, 2019 Meeting

b. August 14, 2019 Special Meeting

For information - The Board of Governors discussed items of business that were sensitive or confidential in nature. The draft minutes of the August 14, 2019 meeting were circulated to the Board with the in camera meeting package.

5. Business Arising from the Minutes (not on the Agenda elsewhere)

6. Executive Committee Report

For information - The Board Executive Committee discussed items of business that were sensitive or confidential in nature. The approved minutes of the July 9 and September 12, 2019 Board Executive Committee meetings were circulated to the Board of Governors for information with the in camera meeting package.

7. Chair's Report (Mr. Ross Murray) 20min

8. President's Report (Dr. Moira McPherson) 10min

8.1 2019-23 Strategic Plan Year End Implementation Report (Year 1) (Dr. Heather Murchison) 30mins

8.2 Report on Appointments – for information

8.3 Report on Student Appeals 2018-19

9. Board Standing Committee Reports

9.1 Governance & Nominating Committee (Ms. Kathryn Rippey) 5min

9.1.1 Annual Report

9.1.2 Resignations – for information

- Catherine Siemieniuk (effective as of July 22, 2019)
- Maria Vasanelli (ceased being employee of Lakehead on August 15, 2019)

9.1.3 Appointments to the Board of Governors

External Members:

- MOVED that Mr. Ross Murray be reappointed to the Board of Governors for a three year term, commencing at the close of the 2019 annual meeting through to the close of the 2022 annual meeting.

- MOVED that Mr. David Tamblyn be reappointed to the Board of Governors for a one year term, commencing at the close of the 2019 annual meeting through to the close of the 2020 annual meeting, conditional on Mr. Tamblyn also being appointed to one of the offices listed in Article 6(c) of the Board Bylaws.
- WHEREAS the resignation of full-time staff member Maria Vasanelli, from Lakehead University, effective as of August 15, 2019 causes the member to no longer be eligible for the full time, non-faculty staff member position on the Board, pursuant to article 6a(ii) of the Board Bylaws, and;
WHEREAS the Board has sole and absolute discretion to declare a member's position on the Board vacant, pursuant to Article 8b(ii) of the Board Bylaws;
MOVED that;
 - a) the full-time non-faculty staff member position on the Board of Governors be declared vacant at the close of the annual meeting in 2019, and that;
 - b) Maria Vasanelli be appointed as an elected member on the Board of Governors for a three year term, commencing at the close of the annual meeting in 2019 through to the close of the annual meeting in 2022.

Elected Member:

MOVED that Ms. Kathryn Rippey be elected member on the Board of Governors for a three year term, commencing at the close of the annual meeting in 2019 through to the close of the annual meeting in 2022.

Full-Time, Non-Faculty Staff Member:

MOVED that Ms. Anna Sampson be appointed to the Board of Governors for a three year term, commencing at the close of the annual meeting in 2019, through to the close of the annual meeting in 2022.

Officers:

MOVED that the following individuals be appointed as Officers of the Lakehead University Board of Governors for a one year term, commencing at the close of the 2019 annual meeting, through to the close of the 2020 annual meeting:

- Ross Murray - Board Chair
- Angela Maltese - Board Vice Chair
- David Tamblyn - Past Chair
- Moira McPherson - President
- Barbara Eccles - Secretary

9.1.4 Appointments to Organizations and Other Committees

Board of Governors Member on the Ogimaawin-Aboriginal Governance Council (O-AGC):

MOVED that Ms. Ann Dumyn be appointed to serve on the O-AGC as the Board of Governors Member pursuant to paragraph 3.1a(ii) of the O-AGC Bylaws, for a one year term commencing at the close of the annual meeting in 2019 through to the close of the annual meeting in 2020.

Board of Governors Member on Senate:

MOVED that Mr. Sean Speer be recommended to serve on Senate as the Board of Governors Member pursuant to

paragraph 8(i) of the Senate Bylaws for a one year term commencing at the close of the annual meeting in 2019 through to the close of the annual meeting in 2020.

9.1.5 Other Recommendations for Appointments

Lakehead University Employee Pension Plan Advisory Committee:

MOVED that the Lakehead University Vice President of Administration and Finance and the Associate Vice President of Human Resources be appointed to the Lakehead University Employee Pension Plan Advisory

Committee for one year, commencing at the close of the annual meeting in 2019 through to the close of the annual meeting in 2020.

Board of the Professional Staff Pension Plan:

MOVED that Ms. Ann Dumyn and Mr. John Guerard be appointed to the Board of the Professional Staff Pension Plan for one year, commencing at the close of the annual meeting in 2019 through to the close of the annual meeting in 2020.

9.1.6 Appointment of Standing Committee Membership and Standing Committee Chairs

MOVED that the Standing Committee membership and Standing Committee Chair recommendations be approved as presented and that the term for each member listed be for one year, commencing at the close of the 2019 annual meeting, through to the close of the 2020 annual meeting.

9.2 Audit & Risk Committee (Ms. Ann Dumyn) 10min

9.2.1 Annual Report

9.2.2 Approval of the 2018-19 Financial Statements of Lakehead University and the Independent Auditors' Report

a. Memo

b. 2018-19 Financial Statements of Lakehead University

MOVED to approve the 2018-19 Financial Statements of Lakehead University and accept the Independent Auditor's Report attached thereto.

9.2.3 Appointment of Auditors

MOVED to appoint BDO Canada LLP as auditors of the University for the 2019-20 fiscal year.

9.2.4 Research Ethics Board (REB)

a. Annual Report and Letter of Compliance

MOVED to accept the Research Ethics Board Annual Report and Letter of Compliance.

b. Proposed Amendments to the REB Terms of Reference

MOVED to approve the amendments to the Research Ethics Board Terms of Reference.

9.3 External Relations Committee (Mr. Brian McKinnon) 5min

9.3.1 Annual Report

9.4 Finance & Operations Committee (Ms. Angela Maltese) 10min

9.4.1 Annual Report

9.4.2 Proposed Amendments to Statement of Investment Policies

a. Statement of Investment Policies and Guidelines for Trust and Endowment Funds

b. Statement of Investment Policies and Guidelines for Restricted Internal Funds

MOVED that the Board of Governors approves the proposed amendments to the Statement of Investment Policies and Guidelines for Trust and Endowment Funds

and the Statement of Investment Policies and Guidelines for Restricted Internal Funds as presented.

9.4.3 Investment Resolution (Ms. Angela Maltese)

WHEREAS Article 35 of the Board Bylaws requires the Board at its annual meeting to designate two or more individuals to manage the University's investments;

MOVED that the President and the Vice President (Administration and Finance) shall be authorized to

manage the investments of the University and to purchase, transfer, exchange, sell or otherwise dispose of or turn to

account or realize upon securities, in accordance with the policies established by the Board on the recommendations of the Board Finance and Operations Committee, such as the Statement of Investment Policies and Guidelines for Trust and Endowment Funds Policy, in accordance with the terms of reference of the Committee, and the laws and statutes of the Province of Ontario and the Government of Canada, effective at the close of the annual meeting on October 3, 2019 until the close of the annual meeting in 2020. During the absence of:

- either the President or the Vice President (Administration and Finance), any one of the University's signing officers shall be authorized as the second signature; and
- both the President and the Vice President (Administration and Finance), any two of the signing officers shall be authorized to perform the aforementioned activities, effective at the close of the annual meeting on October 3, 2019 until the close of the annual meeting in 2020.

9.5 Learning & Research Committee Annual Report (Ms. Barbara Eccles) 5min

10. 2019-20 Judicial Panel Appointments (Dr. Moira McPherson) 5min

10.1 Faculty Appointments

MOVED that the following faculty members of the University be appointed to the Judicial Panel for one year, commencing at the

close of the annual meeting in 2019 through to the close of the annual meeting in 2020:

1. Kristin Burnett (returning)
2. Ron Davis (returning)
3. Susan Scott (returning)
4. Tamara Varney (returning)

5. Gerald Walton (returning)
6. Mariette Brennan (new)
7. David Law (new)
8. Naqi Sayed (new)

10.2 Student Appointments

MOVED that the following full-time students of the University be appointed to the Judicial Panel for one year, commencing at the close of the annual meeting in 2019 through to the close of the annual meeting in 2020:

1. Sukhraaj Singh Shergill
2. Annaah Malik
3. Daniyal Jafri
4. Sarah Foulds
5. Clifford Mushquash
6. Madison Sameshima

11. Sexual and Gender Based Violence Adjudication Panel Pool Appointments (Dr. Moira McPherson)

5min

MOVED that the following individuals be appointed/re-appointed to the Sexual and Gender Based Violence Adjudication Panel Pool for one year, commencing at the close of the annual meeting in 2019 through to the close of the annual meeting in 2020 pursuant to paragraph 11.5 of the Sexual and Gender Based Violence Response Policy:

1. Phil Conway (returning)
2. Ron Davis (returning)
3. Kimberly Gagan (returning)
4. Julie Howell (returning)
5. Thamara Laredo (new)
6. Jodie Murphy (new)
7. Jenny Roth (new)
8. Yvonne Roussel (returning)
9. Kathy Sanderson (returning)
10. Deborah Scharf (new)
11. Bryanna Scott (returning)
12. Susan Scott (new)
13. Joy Wakefield (returning)
14. Rachel Warburton (returning)
15. Kathy Kortess-Miller (new)

12. Other Reports for Information

12.1 Senate (Dr. Christine Gottardo)

5min

12.2 Northern Ontario School of Medicine

13. In Camera Meeting

MOVED to adjourn to an in camera meeting to discuss items of a personnel, legal, or real estate nature, and other sensitive or confidential matters, and that only members and others approved by the Board may be present.

14. Motions Arising from the In Camera Meeting

15. Items for Information

15.1 [Sustainability Action Plan](#)

15.2 First Board Meeting of the 2019-20 Term:

November 22, 2019 from 9:00am to 12:00pm, Senate Chambers

16. Other Business

Adjournment

**BOARD OF GOVERNORS MEETING****June 7, 2019****9:00am – 12:00pm****Orillia Location - OA1025****Thunder Bay Location – UC2001 (Governance Conference Room)****DRAFT MINUTES**

Board of Governors Members in Attendance: Mr. Robert Arnone; Dr. Michel Beaulieu; Ms. Ann Dumyn; Dr. Christine Gottardo; Ms. Angela Maltese; Mr. Brian McKinnon; Dr. Moira McPherson; Mr. Ross Murray (Chair); Ms. Kathryn Rippey; Mr. David Tamblyn; Ms. Cathy Tuckwell*; Ms. Maria Vasanelli; Ms. Wendy Walberg*

Regrets: Ms. Catherine Siemieniuk

Absent: Mr. Sean Speer; Mr. Nathan Wainwright

Administrative Resources in Attendance: Ms. Barbara Eccles (Secretary) - General Counsel & University Secretary; Marcie Morrison (Recorder) - Assistant University Secretary

Invited Guests in Attendance:

Dr. David Barnett - Provost and Vice President (Academic) (Lakehead University)

Ms. Deb Comuzzi - Vice President, External Relations (Lakehead University)

Dr. Andrew P. Dean - Vice President, Research and Innovation (Lakehead University)

Mr. Toby Goodfellow - Chief of Staff, Office of the President (Lakehead University)

Dr. Dean Jobin-Bevans - Principal, Orillia Campus (Lakehead University)

Lyn McLeod – Chancellor (Lakehead University)

Dr. Heather Murchison - Vice Provost, Institutional Planning and Analysis (Lakehead University)

Mrs. Kathy Pozihun - Vice President, Administration and Finance (Lakehead University)

**Video Conference*

The meeting was called to order at 9:07am.

The Chair opened the meeting by acknowledging the Indigenous territories of Thunder Bay and Orillia.

1. Approval of Agenda

MOVED (B. McKinnon) that the agenda be approved.

CARRIED

2. Need for In Camera Items to be Declared

Members were reminded that items arising that need in camera attention should be declared at the point of discovery.

3. Declaration of Conflict of Interest

Members were reminded of their duty to declare a conflict of interest should awareness of conflict arise at any time during the meeting.

4. Approval of the April 25, 2019 Minutes

The minutes of the April 25, 2019 meeting were circulated in advance with the meeting materials.

MOVED (B. McKinnon) that the minutes of the April 25, 2019 meeting be approved.
CARRIED WITH AMENDMENT

5. Business Arising from the Minutes (not on the Agenda elsewhere)

There was no business arising from the minutes.

6. Board Executive Committee Report

The Board Executive Committee discussed items of business that were sensitive or confidential in nature. The approved minutes of the May 16, 2019 Board Executive Committee meeting were circulated to the Board of Governors for information with the in camera meeting package.

7. Chair's Report

There was no report from the Board Chair.

8. President's Report

The June 2019 President's Report was distributed in advance with the meeting materials and can be found on the Lakehead website at www.lakeheadu.ca.

Sustainability Action Plan 2019-24:

The 2019-24 Sustainability Action Plan was circulated in advance with the meeting materials for information. The President reported that the draft plan was endorsed by the Senate on May 13, 2019.

9. Board Standing Committee Reports

9.1 Audit and Risk Committee Report

A report of the May 16, 2019 Audit and Risk Committee meeting was circulated in advance with the meeting materials.

9.1.1 Pension Investment Fund Annual Report

A summary of the financial position of the Pension Plan for Professional Staff and the Lakehead University Employee Pension Plan as of December 31, 2018, with comparative data from 2017, based on the audited financial statements, was circulated in advance with the meeting materials.

9.1.2 Approval of the Pension Investment Fund Audited Financial Statements

The Lakehead University Pension Fund Financial Statements, for the year ending December 31, 2018, were circulated in advance with the meeting materials.

MOVED (A. Dumyn) that the Lakehead University Pension Investment Fund financial statements be approved.
CARRIED

9.2 External Relations Committee Report

A report of the May 15, 2019 External Relations Committee meeting was circulated in advance with the meeting materials.

MOVED (B. McKinnon) to accept the report.
CARRIED

9.3 Finance and Operations Committee Report

The Committee Chair provided an overview of the report of the May 16, 2019 Finance and Operations Committee meeting that was circulated in advance with the meeting materials.

9.3.1 Approval of Proposed Amendments to the Statement of Investment Policies and Procedures, Lakehead University Pension Plan

The proposed amendments to the Statement of Investment Policies and

Procedures, Lakehead University Pension Plan were circulated in advance with the meeting materials.

WHEREAS at the April 26, 2019 Joint Pension Meeting of the Pension Board/Committee, the attached proposed amendments to the Statement Investment Policies and Procedures were approved for recommendation to the Board of Governors;

MOVED (C. Tuckwell) that the proposed amendments to the Statement of Investment Policies and Procedures, Lakehead University Pension Plan be approved.

CARRIED

9.3.2 Approval of Proposed Amendments to the Endowment Management Policy

A memo dated May 16, 2019, prepared by the Associate Vice President, Financial Services, was circulated in advance with the meeting materials. The memo included background information and a summary of the proposed amendments.

MOVED (R. Arnone) that the proposed amendments to the Endowment Management Policy be approved.

CARRIED

9.3.3 Approval of the Lakehead University Professional Pension Plan Text Amendment

The proposed amendments to the Pension Plan for Professional Staff of Lakehead University drafted by the Plan's Actuary, Ekler Ltd. arising as a result of the Memorandum of Understanding dated March 20, 2019 between Lakehead University and the Lakehead University Faculty Association were circulated in advance with the meeting materials.

Dr. Beaulieu and Dr. Gottardo declared a conflict of interest and abstained from voting.

WHEREAS Lakehead University (hereinafter referred to as the "University") has established the Pension Plan for Professional Staff of Lakehead University (hereinafter referred to as the "Plan") effective September 1, 1965;

AND WHEREAS the University wishes to amend the Plan to change the contribution rate for full-time faculty members and full-time librarian members pursuant to a Memorandum of Agreement between Lakehead

Faculty Association and Lakehead University dated March 20, 2019;
AND WHEREAS paragraph 19.1 permits the University to amend the Plan;

NOW THEREFORE BE IT AND IT IS HEREBY RESOLVED THAT (A. Dumyn) THE BOARD OF GOVERNORS APPROVES THAT THE PLAN SHALL BE AMENDED EFFECTIVE JANUARY 1, 2020 AS FOLLOWS:

1. the following new paragraph 3.1.2 is hereby added to Article 3 immediately after paragraph 3.1.1 and all following paragraphs under Article 3 shall be renumbered accordingly:

"3.1.2 Notwithstanding the foregoing, however, an Active Member that is employed full-time and is subject to the Agreement, and is either faculty or a librarian as determined by the Board of Governors shall contribute to the Plan each pay day the applicable percentage of his Earnings as provided under Article 3.1.1, but without regard to the contributions to the Canada Pension Plan."

CARRIED

9.4 Governance and Nominating Committee Report

A report of the May 15, 2019 Governance and Nominating Committee meeting was circulated in advance with the meeting materials.

The Committee Chair provided an overview of the report and provided an update on Lieutenant Governor and Council appointments.

MOVED (A. Dumyn) to accept the report.

CARRIED

9.4.1 Amendments to the Board of Governors Bylaws

The proposed amendments to the Board of Governors Bylaws were circulated seven days in advance of the meeting with the meeting materials, in accordance with Article 40 of the Board Bylaws.

The Chair asked Ms. Vasanelli to leave the meeting due to a perceived conflict of interest. Ms. Vasanelli departed.

An explanation for the proposed amendment to Article 1(e) and 1(f) was provided.

MOVED (K. Rippey) that the proposed amendments to the Bylaws, Article 1(e) and 1(f) be approved.

CARRIED

Ms. Vasanelli joined the meeting.

10. Strategic Plan Interim Progress Report and Presentation

The President's Strategic Plan interim progress report/presentation was circulated in advance with the meeting materials. The presentation included:

- overview of the reporting approach
- planned annual reporting cycle
- June 2019 Report Card (dated June 4, 2019)

Board members had the opportunity to ask questions during the presentation.

Ms. Comuzzi and Dr. Jobin-Bevans left the meeting during the presentation.

11. Update on Maple Leaf School - Expanding Lakehead's Partnership with Maple Leaf Education System

Highlights from Dr. Barnett and Mrs. Pozihun's update on the Maple Leaf School included:

- a summary of the context for an expanded international partnership with Maple Leaf Education System provided to the Board in September 2018
- an overview of progress in advancing the expanded partnership
- next steps

12. Other Reports for Information

12.1 Northern Ontario School of Medicine

The May - June NOSM Activity Report was circulated in advance with the meeting materials.

12.2 Senate

A report of the May 13, 2019 Senate meeting was circulated in advance with the meeting materials. Discussion ensued regarding Honorary Degree speeches at the 2019 convocation ceremonies.

13. In Camera Meeting (10:49am)

Chancellor Lyn McLeod left the meeting.

MOVED (C. Gottardo) to adjourn to an in camera meeting to discuss items of a personnel, legal, or real estate nature, and other sensitive or confidential matters, and that only members of and others approved by the Board may be present.

CARRIED

At 10:49am, the Board adjourned to an in camera meeting. Dr. Barnett, Dr. Dean, Ms. Eccles, Mr. Goodfellow, Ms. Morrison, Dr. Murchison, Mrs. Pozihun were invited to remain for parts of the in camera session.

The Board returned to the regular meeting at 1:47pm.

Dr. Barnett, Dr. Dean, Mr. Goodfellow, Dr. Murchison and Mrs. Pozihun left the meeting during the in camera session.

14. Motions Arising from the In Camera Meeting

There were no motions arising from the in camera meeting.

The Board received an in camera report from the President on promotion to Full Professor. The following individuals were granted promotion to Full Professor, effective July 1, 2019 as detailed below:

- Dr. Carlos Christofferson, Department of Electrical Engineering
- Dr. Monica Flegel, Department of English
- Dr. Elizabeth Kajander, Faculty of Education
- Dr. Eltayeb Mohamedelhassan, Department of Civil Engineering
- Dr. Thomas Potter, School of Outdoor Recreation, Parks and Tourism
- Dr. Todd Randall, Department of Geography and the Environment
- Dr. Jennifer Roth, Department of Women's Studies
- Dr. Tamara Varney, Department of Anthropology

15. Items for Information

15.1 Next Meeting

Members were reminded of the next meeting on October 3, 2019, 9:00am to 3:00pm in the Senate Chambers.

16. Other Business

There was no other business.

The meeting adjourned at 1:47pm.

Mr. Ross Murray, Chair

Ms. Barbara Eccles, Secretary

October 2019



President's Report to Board of Governors



Lakehead
UNIVERSITY



Office of the President

Times Higher Education ranks Lakehead University among world's top universities

The 2019 *Times Higher Education World University Rankings* has placed Lakehead University in the 601-800 category out of nearly 1,400 universities from 92 countries.

Lakehead University is in the same section of the rankings as other, larger Canadian universities, such as Concordia, Québec, Regina, Sherbrooke, Ryerson and Windsor. This is the first time Lakehead University has participated in the rankings. Not all universities that take part in the rankings are ranked.



Lakehead University's placement is above the worldwide median in three of the five categories: Research, Citations, and International Outlook.

[Click here to view media release...](#)

Thunderwolves Announce 2019 Wall of Fame Inductees

From October 3-5, 2019, Lakehead University and the Thunderwolves will be welcoming students, alumni, and friends back to campus to celebrate the annual Homecoming Weekend.

Lakehead Athletics is especially excited to welcome back those who have been a part of the Lakehead Wrestling team, which is entering into its 50th season.

Those in attendance will also witness the Wall of Fame induction of five special individuals and one incredible team.

[Click here to view media release...](#)





Shad at Lakehead University Thunder Bay

Approximately 65 young people from across Canada participated in Shad at Lakehead University from July 1 - July 25. Shad specializes in STEAM subjects (science, technology, engineering, art and math) and is for students completing grade 10, 11 or 12, Quebec secondaire IV, V or CEGEP I, or the international equivalent.

[Click here to view media release...](#)



Science Week Introduces Indigenous Youth to Careers in Natural Resources

Fifty-two Indigenous youth from 29 communities were in Thunder Bay the week of July 31 learning about geo-caching, cartography, sustainable energy, entrepreneurship and more as part of Science Week with the Outland Youth Employment Program (OYEP).

The youth and their Crew Leaders are part of a national network of OYEP Camps, a collaborative project between industry, the province, and Confederation College and Lakehead University.

[Click here to view media release...](#)

Aboriginal and Cultural Support Services officially opens new space

On September 4, Aboriginal and Cultural Support Services (ACSS) hosting the grand opening of its newly-renovated space next to the Agora in the Regional Centre. The ACSS's previous home, since 1987, has been in the tunnels near other student support services. The new space offers larger social and study spaces for students, offices, and rooms for meetings with Elders and more private gatherings or smudgings. The opening event was attended by students, faculty and staff, Elders, as well as President McPherson and Denise Baxter (Vice-Provost, Aboriginal Initiatives).





Lakehead University announces new and returning Canada Research Chairs



Three Lakehead University professors who are leading the way in innovative research have been named in the newest cycle of the Canada Research Chairs Program. Dr. Sudip Kumar Rakshit has been renewed as Canada Research Chair in Bioenergy and Biorefining Processes for a second seven-year term. Dr. Alla Reznik has been awarded a Tier 1 Canada Research Chair in Physics of Radiation Medical Imaging for seven years (renewable). **Dr. Maryam Ebrahimi** has been awarded a Tier 2 Canada Research Chair in Low-dimensional Nanomaterials for five years (renewable).

[Click here to view media release...](#)

Lakehead designs challenge for *The Amazing Race Canada*

As you may have seen, Canada's most-watched summer series, the multiple Canadian Screen Award-winning *The Amazing Race Canada*, filmed an episode in and around Thunder Bay, earlier this year.

What you may not have heard is that Lakehead University's Faculty of Natural Resources Management helped create one of the challenges which aired on the episode released during the last week of August on CTV.

[Click here to view media release...](#)

[Click here to watch *The Amazing Race Canada* episode...](#)



Amazing Race Canada racer participates in Lakehead University-designed challenge.

Lakehead's Fall Orientation will help students transition to university



The Thunderwolves Howl! Fall Orientation welcomed hundreds of new students to Lakehead University's Thunder Bay campus, including Indigenous and non-Indigenous students, as well as those. Orientation will run from Wednesday, Aug. 28 until Saturday, Aug. 31, and will focus on helping students successfully transition to Lakehead University.

At Lakehead Orillia, Thunderwolves' "Give Back" is an orientation week program that connects Lakehead students with the Orillia community. This year, blankets were made and donated to the NICU at Orillia Soldiers Memorial Hospital. On August 30, approximately 20 students met in the Orsi Learning Commons to assist with making these blankets and they will be delivered to the hospital in the coming weeks.



International Students' Orientation

Approximately **500 new students from around the world** participated in this year's International Student Orientation on August 28, where students learned more about life in Canada, as well as the various services offered by Lakehead University to help with their success.



Japan's Ryuukoku University Students begin studies

On September 9, Dr. McPherson hosted our University's 16 exchange students from Japan's Ryuukoku University in her office for a lively conversation about their impressions of Canada, Thunder Bay, and Lakehead. Every fall since 2017, Lakehead welcomes a cohort of students from Ryuukoku, a private university located in Kyoto.

While here, students take 15 hours of Academic English per week, and depending on their English level, another one or two academic courses. Most of these students stay in residence, while a couple stay with local homestay host families. This year's group has already had a chance to visit Marina Park and are excited about experiencing the fall colours, and snow, before they return home in mid-December.



Local and Global Partnerships



City of Orillia and Lakehead University sign MOU

The City of Orillia and Lakehead University have formalized their long-standing relationship with a commitment to ongoing collaboration.

On June 5, City of Orillia Mayor Steve Clarke and Dr. Moira McPherson, President and Vice-Chancellor of Lakehead University, signed a Memorandum of Understanding (MOU) that outlines the ways that the City of Orillia and Lakehead University will leverage existing and future relationships in order to achieve common goals.

[Click here to view media release...](#)

Dr. Moira McPherson and City of Orillia Mayor Steve Clarke hold signed copies of MOU at ceremony in Orillia Council Chambers.

Superior Science receives \$60k for coding program

Lakehead University's Superior Science is receiving \$60,000 from Actua to continue developing and enhancing the CanCode program, which teaches young people about coding. With the initial round of CanCode funding from 2017, Superior Science purchased various new pieces of technology including 3D printers, Ozobots (coding robots), and Makey Makeys (external circuitry boards). With this new equipment, Superior Science was able to offer more coding initiatives to provide youth with access to technology-based education.

[Click here to view media release...](#)





High Commissioner of India visits Lakehead Thunder Bay

In May, in collaboration with Thunder Bay's Community Economic Development Commission, Lakehead University hosted the High Commissioner of India, Mr. Vikas Swarup, as well as Mr. Kasi Rao, CEO and President of the Canada India Business Counsel. (Mr. Vikas Swarup is also the author of the critically-acclaimed, international best-seller (and motion picture), *Slumdog Millionaire*.) During their visit, Mr. Swarup and Mr. Rao toured our Lakehead Thunder Bay campus and discussed opportunities available to Canadian universities in India.

Lakehead University and Seven Generations Education Institute partner to deliver nursing entry program

Lakehead University and Seven Generations Education Institute (SGEI) are partnering this September to deliver the All Nation Nurses Entry Program (ANNEP), a nine-month certificate program designed to encourage Treaty Three members to pursue careers as Registered Nurses while remaining in their communities. The program, open to Indigenous and non-Indigenous applicants, provides students with the prerequisites needed to enter a Bachelor of Science in Nursing (BScN) Program.

[Click here to view media release...](#)

MOU signed with Sioux Lookout

On September 9, Lakehead University and the Municipality of Sioux Lookout signed an MOU in order to strengthen our links and identify collaborative opportunities: areas of cooperation include food security, healthcare, clean drinking water, reliable energy, housing, transportation, and communication infrastructures.

Dr. Moira McPherson and Sioux Lookout Mayor Doug Lawrence at MOU signing ceremony in the Municipality's Heritage Railway Station.





Summer 2019's Mitacs research internships

Lakehead University was host to a number of Mitacs Global Research Internships (GRI) this summer at both the Thunder Bay and Orillia campuses.

The Mitacs GRI program invites proposals from Canadian faculty members for summer research internships, and then matches international undergraduate students with Canadian faculty research projects. Mitacs also provides financial and logistical support to these international students.

This summer, five Lakehead faculty members hosted GRI interns — Dr. Azim Mallik (Biology) hosted an intern from Germany; Dr. Max Haiven (English/Social Justice) hosted an intern from Brazil; Dr. Lew Christopher (BRI) hosted an intern from Mexico; and Dr. Sandra Jeppesen (Media Studies) hosted two interns from Brazil.

GRI interns are also eligible to apply for the MITACs Globalink Graduate Fellowship which provides \$15,000 in financial support to former GRIs who return to Canada for research-based graduate studies at Lakehead University.



CALAREO's first meeting

The CALAREO Executive Committee met at Lakehead University on June 20, 2019. It was the first time that members of the consortium had met face to face, and the main purpose of the gathering was to develop a work plan for 2019-2021.

Participants included Dr. Philip Oxhorn, Dean, International Education, VIU; Dr. Nicole Vaugeois (by videoconference), VP of Scholarship, Research and Creativity, VIU; Dr. Karen Schwartz, AVP Research and International, Carleton U; Mr. Carlos Vargas Pedroza, International Outreach Manager, Carleton; Dr. Aimee Surprenant, AVP Academic and Dean of Graduate Studies, Memorial University; and Ms. Sonja Knutson, Director of the Internationalization Office, Memorial.



Canada and Latin America
Research & Exchange Opportunities
Possibilités d'échange et recherche
au Canada et en Amérique latine

Lakehead University participants included Dr. Andrew Dean, Dr. Batia Stolar, Mr. James Aldridge, Mr. Pierre Sved, and Ms. Jill Sherman.



Proyecto 10,000 Graduation

A special graduation ceremony took place on August 23 at Lakehead Thunder Bay. Lakehead's English Language Centre (ELC) received 120 students from the Universidad Autónoma del Estado de México (UAEMEX) under the *Proyecto 10,000* initiative, an ambitious and transformational program in collaboration with the government of the State of Mexico. The graduation celebrated the students' completion of a 4-week general English language program run at Lakehead University. During their course, these students learned about an authentic Canadian experience, and had an opportunity to share their cultures by participating in hands-on social and outdoor activities, including camping overnight at the Fort Williams Historical Park.



Visit from Germany's Deggendorf Institute of Technology

Prof. Dr.-Ing. Jochen Hiller M.A., Director of the Fraunhofer Application Centre (Anwendungszentrum), and Prof. Dr.-Ing. Gunter Keller of its Faculty of Engineering, Media Technology and Computer Science, visited Lakehead University in early July.

The purpose of the visit was to deepen the partnership opportunities in research between institutions and to promote bilateral mobility of our respective faculty members through the DIT's visiting scholar funding.

Academic Excellence

Lakehead University's new Chair in Finnish Studies, Dr. Kari Alenius

The Lakehead University Finnish Chair Advisory Committee is pleased to announce the appointment of **Dr. Kari Alenius** as the ninth Chair in Finnish Studies. Since 2014, Dr. Alenius has served as the Head of the Department of History, Culture and Communications and as the Head of Transcultural Encounters Research Centre (TCERC) at the University of Oulu.

[Click here to view media release...](#)





LUARS tests new kind of fertilizer

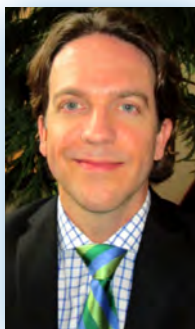
This past spring, Lakehead University's Agricultural Research Station (LUARS) initiated a study on **Urea Super Granules (SuperU® fertilizer)** on canola, which responds to high amounts of nitrogen. Research conducted elsewhere has shown that SuperU® could enhance nitrogen efficiency and optimize crop yields. LUARS will be comparing SuperU® with urea and combinations of urea and ESN and will also be trying combinations of SuperU® and ESN at 90, 180, 270 and 360 kg N application per hectare.

[Click here to view media release...](#)

Lakehead receiving more than \$360,000 from *New Frontiers in Research* fund

Lakehead University researchers are receiving \$361,325 from the federal New Frontiers in Research fund for two research projects. New Frontiers in Research is a new, highly competitive tri-agency program designed to support groundbreaking interdisciplinary research.

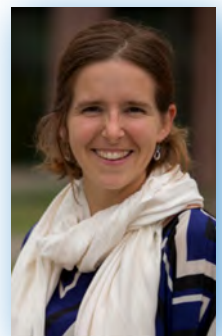
These research projects will explore the connection between personal identification access and public health and will define and look at the impact of socially accountable medical education.



Dr. Chris Sanders, Assistant Professor in Sociology, in partnership with Kinna-aweya Legal Clinic, is receiving \$196,500 to spend two years exploring the impact of lack of access to personal identification like birth certificates on First Nations communities' ability to access health care.

Dr. Erin Cameron, Assistant Professor, Northern Ontario School of Medicine, is receiving \$164,825 to spend two years examining how socially accountable medical education fosters transformation in rural health care systems.

[Click here to view media release...](#)





Lakehead receives more than \$380,000 for research partnership development

Lakehead University researchers are receiving \$384,374 from the Social Sciences and Humanities Research Council (SSHRC) for several research projects that will have an impact in various areas of Ontario.

Dr. Charles Levkoe, Canada Research Chair in Sustainable Food Systems and Associate Professor in Health Sciences at Lakehead University, is leading a partnership that will receive \$188,106 over the next three years.



Dr. Sonia Mastrangelo, Associate Professor in Education (Orillia) and co-investigator Dr. Meridith Lovell-Johnston are receiving \$196,268 to spend three years using Indigenous research methodologies to develop new knowledge and understanding of self-regulation practices and literacy development, in partnership with the Kwayaciiwin Education Resource Centre (Monika Orzechowska) in Sioux Lookout and the Self Regulation Institute (Dr. Susan Hopkins).

[Click here to view media release...](#)

Lakehead University receiving more than \$2.25 million from NSERC

Lakehead University researchers are receiving \$2.25 million from the Natural Sciences and Engineering Research Council of Canada for 33 research projects. Some of the research projects will explore a new design that will make bridges more durable and examine the benefits of using various tree species to mitigate the impact of reduced water in boreal forests.

Dr. Muntasir Billah, Assistant Professor in Civil Engineering, is receiving \$155,000 to spend five years developing a bridge system that can endure multiple hazards at the same time, such as an earthquake and a tsunami or an earthquake and a flood.

Dr. Han Chen, Professor in Natural Resources Management, is receiving \$275,000 to spend five years examining how various tree species can mitigate the negative impacts of reduced water availability in boreal forests. This research relies on a water-alteration experiment in natural boreal forests.

[Click here to view media release...](#)



Lakehead University receiving \$742,000 to support seven research projects

Lakehead University researchers are receiving more than \$742,000 from the Canadian Institutes of Health Research (CIHR) for seven important projects undertaken by faculty and graduate students.

Three projects in particular will assist Indigenous children who are experiencing mental health difficulties (**Dr. Chris Mushquash**, Canada Research Chair in Indigenous Mental Health and Addiction), investigate how food sovereignty can provide health interventions in Northern Ontario's rural and urban hubs (**Dr. Lana Ray**, assistant professor in Indigenous Learning), and assist people with dementia in the decision-making surrounding their own death (**Dr. Nisha Sutherland**, assistant professor in the School of Nursing and research affiliate at the Centre for Education and Research on Aging & Health).



[Click here to view media release...](#)



Holly Prince awarded Pierre Elliott Trudeau Foundation Doctoral Scholarship

In June, **Holly Prince** became one of only 20 doctoral students from across Canada and the globe to receive a Pierre Elliott Trudeau Foundation Doctoral Scholarship, one of the most prestigious awards in Canada in the social sciences and humanities fields. Prince is an Indigenous scholar and Anishinaabekwe from the Red Rock Indian Band, Lake Helen Reserve, and currently a doctoral student in the Faculty of Education (Thunder Bay campus), supervised by Dr. Lisa Korteweg, in the Joint PhD in Education program.

[Click here to view media release...](#)



Visit from Charles Darwin University, Australia

In June, representatives from Australia's Charles Darwin University visited our Thunder Bay campus, including Mr. Andrew Everett, Deputy Vice-Chancellor and Vice President Global Strategy and Advancement; Professor Ruth Wallace, Dean, College of Indigenous Futures, Arts and Society, Charles Darwin University & Director, Northern Institute; and Ms. Vanya Bosicic, Associate Director, Global Engagement. Charles Darwin University has many campuses throughout Australia. The purpose of the June visit was to discuss student and faculty mobility opportunities and meet with key members from Lakehead's Aboriginal Initiatives and Lakehead International teams.



Lakehead receives more than \$757K in SSHRC Insight and Insight Development grants and student awards

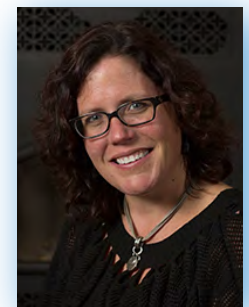
Lakehead University researchers are receiving more than \$757,000 in Social Sciences and Humanities Research Council of Canada (SSHRC) Insight and Insight Development grants and student awards for 16 research projects.



Dr. Alana Saulnier, assistant professor in Interdisciplinary Studies at Lakehead Orillia, is receiving \$62,866 to explore the use of body-worn cameras in policing through interviews with police officers as well as analysis of existing Canadian police body-worn camera policies in comparison to international frameworks over the next two years.

Dr. Katherine Kortess-Miller, assistant professor in Lakehead's School of Social Work and the Palliative Care Lead at the Centre for Education and Research on Aging and Health, is receiving \$65,826 to spend two years examining medical assistance in dying in Ontario (MAiD).

[Click here to view media release...](#)





Social Responsibility

Lakehead University receiving grant for equity, diversity and inclusion program

On May 16, it was announced that Lakehead University was one of only 15 organizations from across Canada awarded a new grant that will help promote equity, diversity and inclusion (EDI) at the University. The Natural Sciences and Engineering Research Council of Canada (NSERC) received 51 applications for the Equity, Diversity and Inclusion Institutional Capacity-Building Grant, which will provide \$384,700 to Lakehead University over the next two years.

[Click here to view media release...](#)

Women and Water at Lakehead Orillia

On June 19, *Women and Water* was an event that saw over 150 people gather to hear from three incredible women who are advocates for water. The evening featured teachings led by water walker Kim Wheatley, a talk entitled, *Whose Water is in Anyway?*, by Maude Barlow, and an inspired and inspiring set by singer-songwriter Coco Love Alcorn.

[Click here to view media story...](#)



Capacity Development

Maple Leaf Educational Systems comes to Thunder Bay

In November 2018, Maple Leaf Education North America (the Canadian subsidiary of China Maple Leaf Educational Systems) and Lakehead University signed an agreement identifying our Thunder Bay campus as the site of its newest high school. This September, MLES welcomed its first cohort of 30 Chinese students to its high school in our repurposed Avila Centre.

Lakehead University is proud to work with Maple Leaf Schools, an organization that will provide students from China and around the world the experience of living and learning in our exceptional region of Canada, as well as opportunities for Lakehead Education students to complete teaching practicums in a unique classroom setting.

[Click here to read complete Communications Bulletin...](#)



Lakehead Orillia Campus Sports Complex Feasibility Study

On Tuesday, Sept. 17, IBI Group and Lakehead Orillia hosted afternoon and evening consultation sessions for students, faculty, staff, external sports organizations and teams.



In cooperation with IBI Group, Lakehead Orillia is participating in this feasibility study with a view to determine whether a new sports dome and multi-field baseball complex is a good fit for the Orillia campus. Three preliminary options are being suggested, in part, based on information gathered by Lakehead Orillia through a process of internal and external stakeholder consultations.

It is expected that IBI Group will produce a report based on the information coming out of the consultations, and share their findings with the Lakehead Orillia community at a future date.

2018-2023


Strategic Plan

PROGRESS MONITORING AND REPORTING

Board of Governors

October 3, 2019





2018-2023

Strategic Plan

PROGRESS MONITORING AND REPORTING

CONTEXT:
PROGRESS MONITORING AND
REPORTING APPROACH

ANNUAL REPORT
(2018-19)

STRATEGIC THEME:
**Academic
Excellence**

Lakehead University will stimulate a lifelong quest for knowledge through unique, high quality, transformational undergraduate and graduate teaching, learning and research experiences that encourage critical thinking and positions students for success beyond the University.

STRATEGIC THEME:
**Social
Responsibility**

Lakehead University is committed to social justice and will make a significant contribution to our communities and society as a whole through our programs, research, and the wide range of activities undertaken by our faculty, staff, students and alumni.

STRATEGIC THEME:
**Local & Global
Partnerships**

Lakehead University will develop informed education, research and service strategies and opportunities through connections with local and global partners, and relationships with Indigenous partners.

STRATEGIC THEME:
**Entrepreneurship
& Innovation**

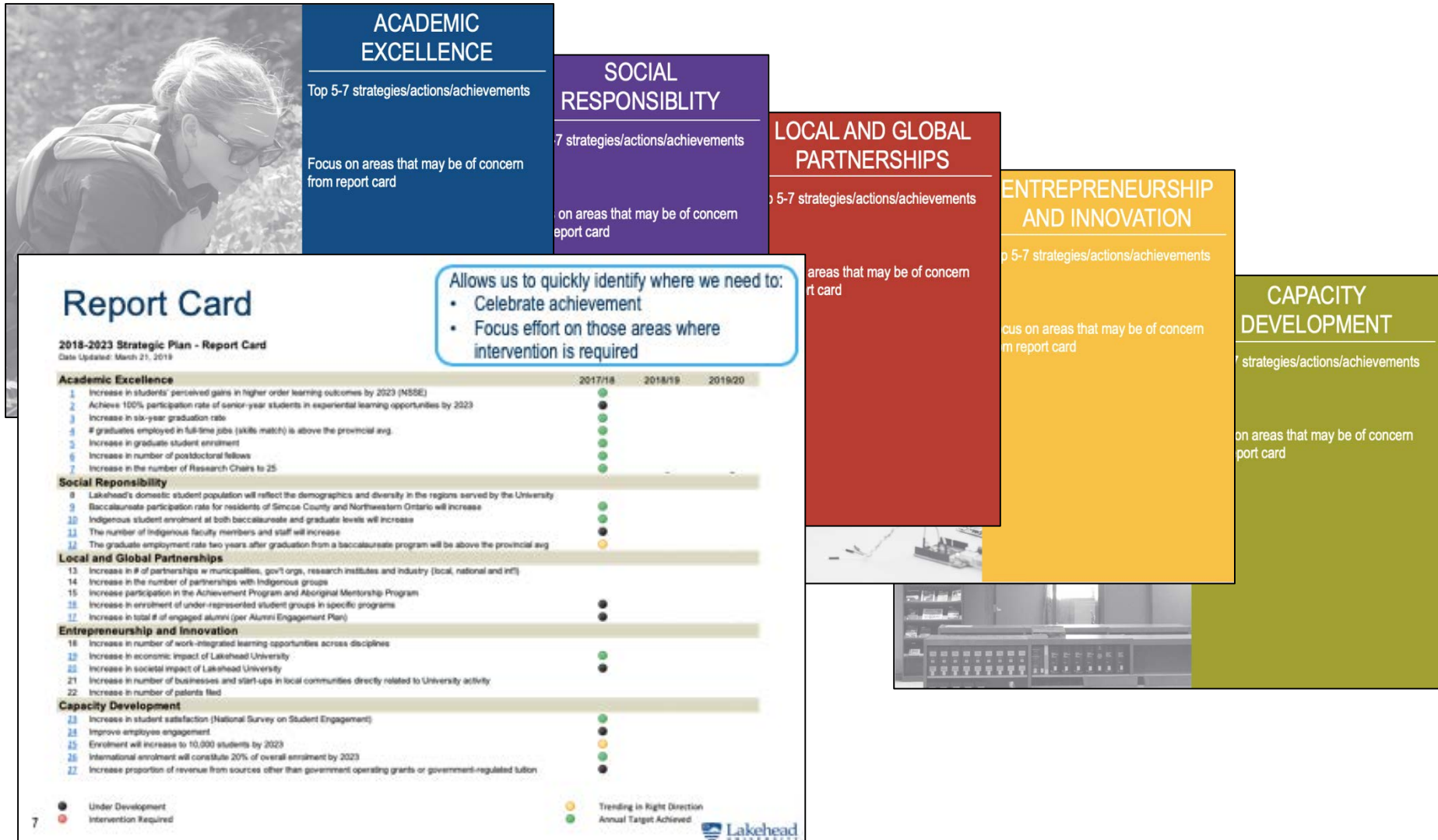
Lakehead University will be a leader in entrepreneurship and innovation in Northwestern Ontario and Simcoe County in support of culturally appropriate and environmentally sustainable social and economic objectives.

STRATEGIC THEME:
**Capacity
Development**

Lakehead University will be recognized as a high performing, efficient and innovative academic environment that supports world- class scholarly activity.




Reporting Approach



Annual Reporting Cycle

		February	June	October
Academic Excellence	Students' perceived gains in higher order learning outcomes	●		
	Participation rate of senior-year students in exp. learning		●	
	Six-year graduation rate	●		
	Graduates employed in full-time jobs related undergraduate degree	●		
	Graduate student enrolment		●	
	Number of postdoctoral fellows	●		
	Number of Research Chairs to 25	●		
Social Responsibility	Domestic student population reflects the local demographics			●
	Participation rate for residents of Simcoe County and Northwestern Ontario			●
	Indigenous student enrolment at both baccalaureate and graduate levels		●	
	Number of Indigenous faculty members and staff		●	
	Graduate employment rate (2 years)	●		
Local and Global Partnerships	Partnerships with municipalities, government orgs, research institutes and industry			●
	Partnerships with Indigenous groups			●
	Participation in the Achievement Program and Aboriginal Mentorship Program		●	
	Enrolment of under-represented student groups in specific programs		●	
	Alumni engagement			●
Entrepreneurship and Innovation	Work-integrated learning opportunities across disciplines		●	
	Economic and societal impact of Lakehead University			●
	Businesses and start-ups in local communities directly related to University activity			●
	Increase in number of patents filed			●
Capacity Development	Student satisfaction	●		
	Employee engagement		●	
	Enrolment will increase to 10,000 students	●		
	International enrolment will constitute 20% of overall enrolment	●		
	Proportion of revenue from sources other than government operating grants or government-regulated tuition			●



2018-2023

Strategic Plan

ANNUAL REPORT
YEAR 1
(2018-19)

2018-2023 Strategic Plan - Report Card

Date Updated: September 23, 2019

Academic Excellence		2017/18	2018/19
<u>1</u>	Increase in students' perceived gains in higher order learning outcomes by 2023 (NSSE)	✓	✓
<u>2</u>	Achieve 100% participation rate of senior-year students in experiential learning opportunities by 2023	✓	✓
<u>3</u>	Increase in six-year graduation rate	✓	✓
<u>4</u>	# graduates employed in full-time jobs (skills match) is above the provincial avg.	✓	▲
<u>5</u>	Increase in graduate student enrolment	✓	✓
<u>6</u>	Increase in number of postdoctoral fellows	✓	✓
<u>7</u>	Increase in the number of Research Chairs to 25	✓	✓
Social Responsibility			
<u>8</u>	Lakehead's domestic student population will reflect the demographics and diversity in the regions served by the University	✓	✓
<u>9</u>	Baccalaureate participation rate for residents of Simcoe County and Northwestern Ontario will increase	✓	✓
<u>10</u>	Indigenous student enrolment at both baccalaureate and graduate levels will increase	✓	✓
<u>11</u>	The number of Indigenous faculty members and staff will increase	●	✓
<u>12</u>	The graduate employment rate two years after graduation from a baccalaureate program will be above the provincial avg	✓	▲
Local and Global Partnerships			
<u>13</u>	Increase in # of partnerships w municipalities, gov't orgs, research institutes and industry (local, national and int'l)	✓	✓
<u>14</u>	Increase in the number of partnerships with Indigenous groups	✓	✓
<u>15</u>	Increase participation in the Achievement Program and Aboriginal Mentorship Program	✓	✓
<u>16</u>	Increase in enrolment of under-represented student groups in specific programs	✓	✓
<u>17</u>	Increase in total # of engaged alumni (per Alumni Engagement Plan)	●	✓
Entrepreneurship and Innovation			
<u>18</u>	Increase in number of work-integrated learning opportunities across disciplines	✓	✓
<u>19</u>	Increase in economic impact of Lakehead University	✓	✓
<u>20</u>	Increase in societal impact of Lakehead University	●	●
<u>21</u>	Increase in number of businesses and start-ups in local communities directly related to University activity	✓	✓
<u>22</u>	Increase in number of patents filed	✓	◆
Capacity Development			
<u>23</u>	Increase in student satisfaction (National Survey on Student Engagement)	✓	✓
<u>24</u>	Improve employee engagement	●	●
<u>25</u>	Enrolment will increase to 10,000 students by 2023	▲	▲
<u>26</u>	International enrolment will constitute 20% of overall enrolment by 2023	✓	✓
<u>27</u>	Increase proportion of revenue from sources other than government operating grants or government-regulated tuition	✓	✓



Under Development



Intervention Required



Trending in Right Direction



Annual Target Achieved

STRATEGIC THEME:

Academic
Excellence

LAKEHEAD IS CANADA'S #1 RESEARCH UNIVERSITY 4TH CONSECUTIVE YEAR (UNDERGRADUATE CATEGORY)

TOP 3

UNIVERSITIES IN
ONTARIO that prepare
graduates for employment
(Maclean's 2019)

601-800

category ranking in the
Times Higher
Education World
University Rankings 2020

100%

of undergraduate
students have an
experiential
learning opportunity

Highlight Achievements (2018/19):

- 2019-2024 Academic Plan
- 2019-2024 Research Plan
- Strategic Enrolment Management and Internationalization Strategy (Road to 2000)
- Appointment of new Deans in Business, Education, and Law
- 7% increase in graduate students in 2018/19
- 36 Post-Doctoral Fellows and 22 Research Chairs in 2018/19
- 94.1% of graduates are employed within 2 years of graduating (2015 graduating cohort)

STRATEGIC THEME:

Social Responsibility

LAKEHEAD IS AN EQUITY POWERHOUSE

14%

of Lakehead's domestic student population self-identifies as Indigenous (2018/19)

56%

of students studying at Lakehead Thunder Bay come from outside Northwestern Ontario

96%

of Lakehead's domestic students face barriers to accessing university education (2018/19)

Highlight Achievements (2018/19):

- Establishment of an Equity, Diversity and Inclusion Task Force; Development of Draft Equity, Diversity and Inclusion Plan
- Development and approval of Sustainability Action Plan
- Development and delivery of Cultural Competency Training for Faculty and Staff
- Opening of new Indigenous cultural spaces on Lakehead Thunder Bay campus
- Aboriginal Initiatives "pop-ups" on Lakehead Orillia campus
- Over 70% of university-bound students from Northwestern Ontario choose Lakehead; over



STRATEGIC THEME:

Local and Global Partnerships

LAKEHEAD IS ENGAGING WITH THE COMMUNITIES IT SERVES

MOUs signed with City of Thunder Bay, Sioux Lookout and Orillia	74 new research partnerships with Indigenous groups, municipalities, government, research institutes & industry (2018/19)	2,700 Grade 8 students took part in Lakehead's Financial Literacy Program (2018/19)
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Highlight Achievements (2018/19):

- Development and approval of Alumni Engagement Plan
- Continued expansion of Community Engaged Lifelong Learning in Orillia with 2018/19 lecture series
- 7% increase in participation in Achievement and Aboriginal Mentorship Program
- New MOU signed with Confederation College to offer a Regional Collaborative Nursing Program in communities throughout Northwestern Ontario
- Superior Science expanded programming includes summer camps, science programming for girls, and coding club
- Expanded partnership with Maple Leaf Education System

STRATEGIC THEME:

Entrepreneurship and Innovation



LAKEHEAD IS FACILITATING LOCAL ENTREPRENEURSHIP & INNOVATION

42,000

sq. feet of new space in
the Centre for
Advanced Studies in
Engineering & Sciences

4

small
businesses
& start-ups in local
communities related to
University community
(2018/19)

68%

of Lakehead's
undergraduate students
participated in Work
Integrated Learning (2018/19)

Highlight Achievements (2018/19):

- INGENUITY – Lakehead's first student business incubator space hosted over 1,000 people at 10 events
- Lakehead University Agricultural Research Station established
- Expanded partnership with RBC to support work integrated learning opportunities
- 2019 Research & Innovation weeks in Thunder Bay and Orillia
- Signed MOUs with innovation start-up organizations in Thunder Bay including PARO, Northern Ontario Innovation Centre and CEDC
- Developed framework for Economic Development Milestones for Success

STRATEGIC THEME:

Capacity Development

LAKEHEAD SUPPORTS WORLD-CLASS SCHOLARLY ACTIVITY

8,470

students attend
Lakehead University
(2018/19)

1,400

International students
from ~75 countries
enrolled in Lakehead
degree programs (2019)

18%

increase in
Philanthropic revenue
in 2018/19

Highlight Achievements (2018/19):

- Ground broken on Athletics expansion at Lakehead Thunder Bay
- Development of new Equity, Diversity and Inclusion survey (Winter 2019)
- Development of new employee engagement survey (Autumn 2019)
- Proportion of revenue from sources other than government operating grants or government-regulated tuition increased to 38%
- Updated instructional technology and expanded WIFI at Lakehead Thunder Bay and Lakehead Orillia
- Collaborative conference room developed at Lakehead Orillia to support graduate programming

2018-2023

Strategic Plan

Questions

**MEMORANDUM**

Date: September 24, 2019

From: Moira McPherson – President and Vice Chancellor

To: The Board of Governors

Meeting Date: October 3, 2019

Agenda Item: 8.1 – Report on Appointments

Chair and Director Appointments

- Dr. Evgeny Chugunov was appointed as Acting Chair of Music effective July 1, 2019 to December 31, 2019.
- Dr. Isaam Dawood was appointed as Chair of the Business Program in Orillia effective July 1, 2019 to June 30, 2022.
- Dr. Yanglin Gong was appointed as Acting Chair of Civil Engineering effective July 1, 2019 to June 30, 2020.
- Dr. Timothy Hardie was appointed as Chair of Curriculum Years III and IV effective July 1, 2019 to June 30, 2020.
- Dr. Michael Hoechsmann was appointed as Chair of Orillia Education effective July 1, 2019 to June 30, 2020.
- Dr. Basel Ismail was appointed as Chair of the Department of Mechanical Engineering effective July 1, 2019 to June 30, 2022.
- Dr. Steven Jobbitt was appointed as Acting Chair of the Department of History effective August 28, 2019 to June 30, 2020.
- Dr. Margaret Johnston was appointed as Acting Director of the School of Outdoor Recreation, Parks and Tourism effective September 1, 2019 to June 30, 2020.
- Dr. Donald Kerr was appointed as Chair of the Department of Undergraduate Studies effective August 1, 2019 to June 30, 2022.
- Dr. Matthew Leitch was appointed as Chair of the HBScF Program effective July 1, 2019 to June 30, 2022.
- Dr. Wayne Melville was appointed as Acting Chair of Aboriginal Education effective July 1, 2019 to June 30, 2020.
- Dr. Teresa Socha was appointed as Chair of the Department of Undergraduate Studies effective July 1, 2019 to July 31, 2019.



Lakehead
UNIVERSITY

**Risk
Management**

MEMORANDUM

TO: Barb Eccles, General Counsel & University Secretary, Secretary of the Board

Cc: Dr. T. Varney, Chair of the Judicial Panel, and Dr. S. Jobbitt, Chair of the Senate Academic Appeals Committee

FROM: Millo Shaw, Director of Risk Management and Access to Information, Secretary to the Judicial Panel and the Senate Academic Appeals Committee

DATE: September 9, 2019

RE: ***Report on Student Appeals, 2018-2019***

Code of Student Behaviour and Disciplinary Procedures

12 appeals were considered by the Judicial Panel under the Code of Student Behaviour and Disciplinary Procedures (accessible on-line at <https://www.lakeheadu.ca/faculty-and-staff/policies/student-related/code-of-student-behaviour-and-disciplinary-procedures>) during the 2018-2019 Board of Governors year (September 27, 2018 to October 3, 2019). 10 involved academic misconduct and 2 non-academic misconduct. 2 of the appeals were withdrawn, 1 was affirmed, 4 were dismissed, and 5 are ongoing.

Senate Academic Appeals Committee (SAAC)

During the 2018-2019 academic year (July 1, 2018 to June 30, 2019) 2 appeals were considered by the SAAC under the Senate Policy Regarding Academic Appeals (accessible on-line at: <https://www.lakeheadu.ca/faculty-and-staff/policies/student-related/reappraisal-and-academic-appeals>). 1 was an appeal from a final course mark and 1 concerned an academic decision other than a final course mark. 1 appeal was dismissed and the Appeal Tribunal assigned to the other concluded that the SAAC did not have jurisdiction to hear the appeal.



ANNUAL REPORT TO THE BOARD OF GOVERNORS – October 3, 2019

From: Kathryn Rippey - Chair, Governance & Nominating Committee

Subject: Governance & Nominating Committee (BGNC) Annual Report

Committee Members: Ms. Angela Maltese; Dr. Moira McPherson; Mr. Ross Murray; Ms. Kathryn Rippey (Chair); Mr. David Tamblyn; Ms. Cathy Tuckwell; Ms. Maria Vasanelli; Ms. Wendy Walberg

Administrative Resources: Ms. Barbara Eccles (Secretary) – General Counsel & University Secretary; Ms. Marcie Morrison (Recorder) – Assistant University Secretary

Committee member Ms. Catherine Siemienuik resigned from the Board on July 22, 2019.

The BGNC met seven times (November 7, 2019; January 16, 2019; February 13, 2019; April 11, 2019; May 15, 2019; August 7, 2019 (special); September 11, 2019) during the 2018-19 term.

Committee Overview/Orientation

During the first meeting, the Committee received and reviewed:

- Terms of Reference
- Committee Performance Evaluation (from the previous term 2017-18)
- 2018-19 agenda topics list
- 2018-19 proposed Workplan

The Committee reports that all Workplan items have been completed.

Performance Evaluations

Members had an opportunity to complete the 2018-19 Committee Performance evaluation. It is planned that the results of this survey be reviewed by the 2019-20 Committee at their first meeting in November 2019.

Continuing Education Opportunities

- Planning and implementation of a financial literacy session
- Invitation to participate in the Audit and Risk meeting on September 12, 2019 – for the Audited Financial Statements and Auditor's Report session
- Canadian University Boards Association (CUBA) Conference
- Canadian Ontario Universities (COU) Conference
- Association of Governing Boards (AGB) Events and Membership
- Institute of Corporate Directors (ICD) Membership

Fellow of the University

The Committee carried out the annual Fellow of Lakehead University processes in accordance with the Board approved Fellow of the University Procedures and Guidelines. New nominations were received and reviewed accordingly, and Mr. Colin Bruce was conferred Fellow of Lakehead University during the 2019 convocation ceremony in Thunder Bay.

Guidelines for In Camera/Private Sessions During a Board Meeting

The Committee proposed guidelines for conducting in camera/private sessions during a regular Board of Governors meeting. The new format was temporarily introduced and was used as a reference for the conduct of the pilot project for in camera/private sessions. The Board agreed to continue to test the new format and evaluate whether they are comfortable with how the sessions are working in the future.

Archiving Board Meeting Minutes and Materials

At the request of the University Librarian and the University Secretary, the Committee agreed that public Board meeting materials may be archived on the Lakehead University website, or as otherwise determined by the Secretariat, to ensure on-going transparency, post the approval of the previous meetings minutes.

Other Updates/Reports Received

- Annual Board of Governors Diversity Report: The Secretary reported that all criteria have been met with the exception of a gap in ethnic diversity, for the period of April 1, 2019 to present. The Committee, the O-AGC, and the University Secretary are actively seeking suitable, interested candidates

Motions Approved

- Approval of General Board Recruitment Letter at the Thunder Report to the Community
- Approval of 2018-19 recruitment advertising campaign
- Approval to become a member of the Institute of Corporate Directors
- Approval of the Board of Governors Exit Interview Guidelines and Process
- Approval of the 2019 Interview Sub Committee membership

Recommendations Made to the Board of Governors

- Appointment and reappointment of Elected Members
- Appointment of expiring LGIC Member to Elected Member
- Appointment of Full-Time, Non-Union Staff Member to Elected Member
- Appointment of Student Member
- Appointment of Officers
- Appointment of Standing Committee Chairs and Standing Committee Membership
- Appointment of Board members to external organizations (Senate, Ogimaawin-Aboriginal Governance Council, Board of the Professional Pension Plan)
- Appointments to the Lakehead University Employee Pension Plan Advisory Committee
- Amendments to the Board of Governors Bylaws (external vs internal members definition)
- Reappointment of City of Thunder Bay Member
- Addition of new candidate to the Fellow Nominee List for consideration
- Amendments to the Inactive Board Member Policy
- Approval of the 2019-20 Board of Governors meeting schedule

Received at Every Meeting

- Board of Governors and Standing Committee attendance report
- Report from the President
- Workplan progress report
- Meeting schedule

In Camera

The Committee discussed other items of business that were sensitive or confidential in nature that will be reported to the Board of Governors in an in camera annual report.



2019-20 Committee Appointment Recommendations

Finance and Operations

Required: Chair, Vice Chair, President, Faculty Senator, Staff Member, Student Member, 4 External Members (one from BARC); at least 2 members should have financial experience and one should have property construction or planning experience **TOTAL REQUIRED = 10** (Note: 1 extra member proposed)

Name	Position on Committee	Rationale
1. Angela Maltese	Ex officio (COMMITTEE CHAIR)	Vice Chair - Required
2. Ross Murray	Ex officio	Chair - Required
3. Moira McPherson	Ex officio	President - Required
4. Christine Gottardo	Ex officio	Faculty Senator - Required
5. Staff Member	Ex officio	Staff Member - Required
6. Student Member	Ex officio	Student Member - Required
7. Ann Dumyn	External 1	Required
8. Robert Arnone	External 2	Required
9. Maria Vasanelli	External 3	Required
10. Cathy Tuckwell	External 4	Required – BARC Member
11. Michel Beaulieu	Internal	Extra – Not Required

Governance and Nominating

Required: Chair, Vice Chair, Past Chair, President, Faculty Senator OR Staff Member, 3 External Members **TOTAL REQUIRED = 8** (Note: 1 extra member proposed)

Name	Position on Committee	Rationale
1. Kathryn Rippey	External 1 (COMMITTEE CHAIR)	Required
2. Ross Murray	Ex officio	Chair - Required
3. Angela Maltese	Ex officio	Vice Chair - Required
4. David Tamblyn	Ex officio	Past Chair - Required
5. Moira McPherson	Ex officio	President - Required
6. Staff Member	Ex officio	Staff Member (or Faculty Senator) - Required
7. Wendy Walberg	External 2	Required
8. Maria Vasanelli	External 3	Required
9. Cathy Tuckwell	External	Extra – Not Required

2019-20 Committee Membership Recommendations

Audit and Risk

Required: Vice Chair, President, 4 External Members (1 of the external members must be a member of BFOC; at least 2 members are expected to have relevant experience in financial matters (CPA), the Board should endeavor to ensure at least 1 member of the Committee has an appropriate financial designation, and all members should be financially literate. **TOTAL REQUIRED = 6**

Name	Position on Committee	Rationale
1. Ann Dumyn	External 1 (COMMITTEE CHAIR)	Required
2. Angela Maltese	Ex officio	Vice Chair - Required
3. Moira McPherson	Ex officio (NON VOTING)	President - Required
4. Brian McKinnon	External 2	Required
5. Kathy Rippey	External 3	Required
6. Cathy Tuckwell	External 4	Required – BFOC member

External Relations

Required: Chair, President, Faculty Senator, Staff Member, 3 External Members
TOTAL REQUIRED = 7 (Note: 2 extra members proposed)

Name	Position on Committee	Rationale
1. Brian McKinnon	External 1 (COMMITTEE CHAIR)	Required
2. Ross Murray	Ex officio	Chair - Required
3. Moira McPherson	Ex officio	President - Required
4. Christine Gottardo	Ex officio	Faculty Senator - Required
5. Staff Member	Ex officio	Staff Member - Required
6. David Tamblyn	External 2	Required
7. Robert Arnone	External 3	Required
8. Sean Speer	External	Extra – Not Required
9. Michel Beaulieu	External	Extra – Not Required

Learning and Research

Required: Past Chair, President, Student Member, Faculty Senator, 3 External Members **TOTAL REQUIRED = 7**

Name	Position on Committee	Rationale
1. Maria Vasanelli	External 1 (COMMITTEE CHAIR)	Required
2. David Tamblyn	Ex officio	Past Chair - Required
3. Moira McPherson	Ex officio	President - Required
4. Christine Gottardo	Ex officio	Faculty Senator - Required
5. Student Member	Ex officio	Student Member - Required
6. Sean Speer	External 2	Required
7. Wendy Walberg	External 3	Required

2019-20 Committee Membership Recommendations

Executive Committee

Required by Terms of Reference: Chair, Vice Chair, Past Chair, President, Chairs of BFOC, BGNC, BARC

Members **TOTAL REQUIRED = 7 external required by Bylaws (Article 30)**

1. Ross Murray	External 1	Chair - Required
2. Angela Maltese	External 2	Vice Chair & BFOC Chair - Required
3. David Tamblyn	External 3	Past Chair - Required
4. Moira McPherson	External 4	President - Required
5. Kathryn Rippey	External 5	BGNC Chair - Required
6. Ann Dumyn	External 6	BARC Chair – Required
7. Brian McKinnon	External 7	Required

NOTE: The O-AGC member has not been assigned to any Committees and this position is not an ex officio member of any of the Board Committees



ANNUAL REPORT TO THE BOARD OF GOVERNORS – October 3, 2019

From: Ann Dumyn - Chair, Audit and Risk Committee

Subject: Audit and Risk Committee (BARC) Annual Report

Committee Members: Mr. Robert Arnone; Ms. Ann Dumyn (Chair); Ms. Angela Maltese; Mr. Brian McKinnon; Dr. Moira McPherson; Ms. Cathy Tuckwell

The BARC met four times (November 8, 2018; February 14, 2019; May 15, 2019; September 12, 2019) during the 2018-19 term. Two scheduled meetings (January 17, 2019 and April 12, 2019) were not necessary and were cancelled by the Committee Chair at the beginning of the term with consent of the Committee.

Committee Overview/Orientation

During the first meeting, the Committee received and reviewed:

- Terms of Reference
- Committee performance evaluation (from the previous term 2017-18)
- 2018-19 proposed workplan

The Committee reports that all workplan items are complete. The Committee completed their work over a period of four meetings and recommend this schedule moving forward.

Performance Evaluations

Members had an opportunity to complete the 2018-19 Committee performance evaluation survey. It is planned that the results of this survey be reviewed by the 2019-20 Committee at their first meeting in November 2019.

Pension Investment Fund Audited Financial Statements

The Committee received, reviewed and discussed the Lakehead University Pension Fund Financial Statements for the year ending December 31, 2018 and made a recommendation to the Board on June 7, 2019 to approve the financial statements.

Sexual and Gender Based Violence Policy Review and Annual Report

The BARC accepted the recommendation from the Finance and Operations Committee to add the Sexual and Gender Based Violence Policy annual review and report to their workplan, as it would be better suited to fall under the purview of the BARC. This item was added to the 2019-20 BARC workplan and is scheduled to come forward during the November 2019 meeting (reporting for the period January 1, 2018 to April 30, 2019).

2018-19 Audited Financial Statements and Auditors' Report

At the beginning of the term, the Governance and Nominating Committee recognized the annual Audited Financial Statements and Auditor's Report as a professional development opportunity for all Board members and made a recommendation to the Audit and Risk Committee to invite all members to participate in this session. Two Board members (not on BARC) participated in this session. After review of the financial statements and auditor's report, the Committee agreed to recommend that the Board of Governors approves the audited financial statements of the University and accepts the auditors' report.

Amendments to the Research Ethics Board (REB) Terms of Reference

After review, the Committee agreed to recommend that the Board of Governors approves the proposed amendments to the REB Terms of Reference.

Other Updates/Reports Received

- BDO Canada LLP Final Report – 2018 Audit Results
- Annual Report and Letters of Compliance from the Research Ethics Board
- Sustainability Metrics Annual Report
- REB Appointments (July 2019)
- Operating and Ancillary Budget – Actual Results 2018-19

Policies Reviewed

- Annual Review of Capital Debt Policy

Motions Approved by the Committee

- Acceptance of the BDO Canada LLP Report
- Approval of the Internally Restricted Net Assets as outlined in Note 12 of the Financial Statements of Lakehead University

Recommendations made to the Board of Governors

- Approval of the Lakehead University Pension Investment Fund financial statements
- Approval of the 2018-19 Financial Statements of Lakehead University and acceptance of the Auditor's Report
- Approval to appoint BDO Canada LLP as auditors of the University for the 2019-20 fiscal year
- Acceptance of the Research Ethics Board Annual Report and Letter of Compliance.
- Approval of the proposed amendments to the REB Terms of Reference

Received at Every Meeting

- Report from the President
- Workplan progress report
- Meeting schedule

In Camera

The Committee discussed other items of business that were sensitive or confidential in nature that will be reported to the Board of Governors in an in camera annual report.



Financial Services
t: (807) 343-8243 f: (807) 343-8967

MEMORANDUM

Date: September 4, 2019

To: Members of the Audit & Risk Committee

From: Ms. Rita Blais
Associate Vice-President (Financial Services)

Subject: **2018/19 ANNUAL FINANCIAL STATEMENTS**

We are pleased to provide you with a copy of the draft Financial Statements for your review prior to the Committee meeting on September 12, 2019.

The administration of the University is responsible for the preparation of the financial statements, the notes thereto, and all other financial information contained in this memorandum. The financial statements were prepared in accordance with the Canadian accounting standards for not-for-profit organizations developed by the Chartered Professional Accountants of Canada. Administration believes the financial statements present fairly, in all material respects, the University's financial position as at April 30, 2019, and the results of its operations and its cash flows for the year then ended. Management has developed and maintains internal controls designed to provide reasonable assurance that the University assets are safeguarded from loss and that the accounting records are reliable. The University has retained Eckler in order to provide an estimate of the University's pension liability. BDO Canada LLP, the auditors appointed by the Board of Governors, has reported on the financial statements for the year ended April 30, 2019. The independent auditors' report outlines the scope of their audit and their opinion on the presentation of the information included in the financial statements.

Some comments with respect to the Statements are provided as follows:

The University completed the year with revenue of \$209.888 million and expenses of \$200.885 million. The excess of revenue over expenses was \$9.003 million before the unrealized loss on the interest rate swaps of \$1.487 million for a total excess of revenue over expenses of \$7.516 million. The University's net assets increased from \$106.259 million to \$111.516 million, a \$5.257 million increase from the prior year.

Balance Sheet

The cash balance at April 30, 2019 is \$31.341 million (\$32.297 million – 2018). Operating activities provided cash in the amount of \$16.917 million in 2019 (\$11.267 million – 2018). Financing activities, including the repayment of long-term debt, used cash of \$1.540 million in 2019 (\$6.775

million – 2018) Cash in the amount of \$16.333 million (\$17.950 million - 2018) was used for investing activities in 2019. The decrease in cash for the fiscal year was \$0.956 million.

Accounts receivable increased from \$11.554 million in 2018 to \$13.214 million in 2019. Note 3 of the Financial Statements provides detail of the accounts receivable. The year-over-year increase is attributable to research-related activities.

Investments at April 30, 2019 totalled \$128.521 million (\$119.204 million – 2018). Investments consisted of \$58.858 million in endowments, (\$57.391 million - 2018), and \$69.663 million in other investments (\$61.813 million – 2018). Investment income in the amount of \$0.802 million was capitalized in endowment accounts. Other investments include \$17.065 million invested from the excess borrowings (including original principal of \$7.046 million and accumulated investment income), created when the debenture was negotiated, and \$22.134 million of a debt repayment sinking fund. Governance oversight of investments is provided by the Finance and Operations Committee of the Board.

The University's investment in capital assets decreased from \$153.924 million in 2018 to \$151.835 million in 2019. The cost of buildings increased in the amount of \$21.334 million with the capitalization of the CASES building; \$18.159 million of this amount was included in construction in progress at April 30, 2018. Purchases of equipment, furnishings, and library acquisitions amounted to \$4.924 million. During 2018/19 management changed the estimated life of periodicals from five years to one year after considering several factors including technology. The impact of this change to capital assets was to record previous years' amortization of \$1.551 million in 2018/19. The total amortization charge for 2018/19 was \$10.550 million.

Accounts payable and accrued charges decreased from \$22.590 million in 2018 to \$20.182 million in 2019. Note 6 provides detail of the accounts payable and accrued charges. The decrease in accounts payable is due mainly to amounts owing for capital projects at April 30, 2018 compared to amounts owing for capital projects at April 30, 2019.

The University's Pension Fund had an unfunded liability of \$3.072 million at April 30, 2019. Actuarial losses in the amount of \$4.221 million contributed to the increase in the liability at April 30, 2019. The University continues to report a contingent liability of up to \$13.9 million with respect to an issue with the Plan amendments made to the Professional and Administrative Staff Plan in 2000. The Financial Services Regulatory Authority (FSRA) corresponded with the University on April 24, 2015; the University has engaged legal counsel and the Actuary to review this correspondence and to respond to FSRA. At this time, no course of action has been decided.

The fair value of the interest rate swaps increased from \$3.735 million at April 30, 2018 to \$5.222 million at April 30, 2019. The change in the fair value of \$1.487 million loss (\$1.983 million recovery in 2018) is shown as a separate line item at the bottom of the Statement of Operations. Note 10.5 describes the interest rate derivative entered into by the University during fiscal 2018/19; the related loan will be used to finance the construction of the athletic building on the Thunder Bay campus.

As summarized on the Balance Sheet, the University's unrestricted deficit has increased from \$11.567 million to \$12.600 million. Of the total deficit, \$5.222 million is attributable to the unrealized loss of the Interest Rate Swaps, \$3.215 million is attributable to items (faculty early retirement and vacation pay accrual) not yet charged to the Operating budget, and the remaining deficit is attributable to the Orillia Residence operations.

Statement of Operations

The University received \$1.831 million less in government funding for general operations in 2019 compared to 2018. Government and other grants for restricted purposes increased from \$15.726 million to \$24.928 million; the Facility Renewal Program grant and funding from two Green House Gas Retrofit Programs represents the majority of this increase.

The Statement of Operations reports total student fees increasing from \$77.400 million in 2018 to \$84.733 million in 2019. This growth is attributable to increases in approved tuition fee rates for both domestic and international students and the growth in year-over-year enrolment of international students.

Investment earnings increased from \$1.885 million in 2018 to \$10.244 million in 2019. The gains in 2018/19 were high mostly due to the very strong performance of the Canadian equity investments in the last four months of the fiscal year. The returns in 2017/18 were low, as bond returns were hurt by rising interest rates, and returns were significantly lower than the previous year across all equity markets represented by our investment pools.

The sales of goods and services increased from \$18.299 million in 2018 to \$19.544 million in 2019; these sales include residence room revenue, meal plans, and retail sales.

Salaries and benefits increased from \$118.505 million in 2018 to \$122.265 million in 2019; this 3.2% increase reflects the annual increases associated with the collective agreements in place with university personnel.

Operational supplies and expenses increased from \$6.670 million in 2018 to \$9.548 million in 2019. Approximately \$1.800 million results from the change in the estimated life of periodicals from five years to one year as described above. Previously this amount would have been capitalized and amortized over five years. The increase in the amortization of capital assets relates to this same item as described above under investment in capital assets.

Building and equipment maintenance increased from \$9.082 million in 2018 to \$15.499 million in 2019. The increase of \$6.417 million is entirely attributable to the Facility Renewal Program grant and funding from two Green House Gas Retrofit Programs as described above.

Scholarships, bursaries, and awards paid out increased from \$12.611 million in 2018 to \$13.793 million in 2019. The amount paid out under the Tuition Set Aside formula and the amount of scholarship and awards paid from operations to both domestic and international students increased during 2018/19.

The University completed the 2019 year with an excess of revenue over expenses of \$7.516 million compared to \$1.984 million excess of revenue over expenses for the 2018 year – an increase of \$5.532 million.

Sincerely,

LAKEHEAD UNIVERSITY

Ms. Rita Blais, CPA, CA
Associate Vice-President (Financial Services)

Lakehead University
Financial Statements
For the year ended April 30, 2019

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Independent Auditor's Report

To the Chair and Members of the Board of Governors of Lakehead University

Opinion

We have audited the financial statements of Lakehead University (the University), which comprise the balance sheet as at April 30, 2019, and the statement of operations, changes in net assets and cash flows for the year then ended, and notes to the financial statements, including a summary of significant accounting policies.

In our opinion, the accompanying financial statements present fairly, in all material respects, the financial position of the University as at April 30, 2019, and its operations and cash flows for the year then ended in accordance with Canadian accounting standards for not-for-profit organizations.

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 Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are independent of the University 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.

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

Management is responsible for the preparation and fair presentation of these financial statements in accordance with Canadian accounting standards for not-for-profit organizations, 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 University'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 University or to cease operations, or has no realistic alternative but to do so.

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

Auditor's 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 auditor's 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 these financial statements.

Independent Auditor's Report (cont'd)

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 University's internal control.
- Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by management.
- 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 University's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditor's 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 auditor's report. However, future events or conditions may cause the University 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.

We 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.

Chartered Professional Accountants, Licensed Public Accountants

Thunder Bay, Ontario
October 3, 2019

Lakehead University Balance Sheet

April 30	2019	2018
Assets	(in thousands of dollars)	
Current		
Cash	\$ 31,341	\$ 32,297
Accounts receivable (Note 3)	13,214	11,554
Inventories and prepaid expenses	1,145	1,300
	45,700	45,151
Long-term investments (Note 4)	128,521	119,204
Capital assets (Note 5)	151,835	153,924
	\$ 326,056	\$ 318,279
Liabilities and Net Assets		
Liabilities		
Current		
Accounts payable and accrued charges (Note 6)	\$ 20,182	\$ 22,590
Deferred revenue (Note 7)	28,379	24,249
Current portion of long-term debt (Note 10)	2,322	2,262
	50,883	49,101
Faculty early retirement program costs (Note 8)	1,057	1,449
Accrued pension liability (Note 9)	3,072	83
Long-term debt (Note 10)	100,894	103,216
Interest rate swaps (Notes 10.5 and 10.6)	5,222	3,735
Deferred capital contributions (Note 11)	53,412	54,436
	214,540	212,020
Net Assets		
Internally restricted (Note 12)	65,258	60,435
Endowments (Note 13)	58,858	57,391
Unrestricted	(12,600)	(11,567)
	111,516	106,259
	\$ 326,056	\$ 318,279

Contingent Liabilities (Note 16)

On behalf of the Board of Governors:

Chair

President

The accompanying notes are an integral part of these financial statements.

Lakehead University Statement of Operations

For the year ended April 30

2019

2018

(in thousands of dollars)

Revenue

Government grants for general operations	\$ 62,884	\$ 64,715
Government and other grants for restricted purposes	24,928	15,726
Student fees	84,733	77,400
Sales of goods and services	19,544	18,299
Investment income (Note 4)	10,244	1,885
Donations	2,804	3,206
Contract research	1,053	1,144
Sundry	1,835	1,853
Amortization of deferred capital contributions (Note 11)	1,863	1,466

209,888

185,694

Expenses

Salaries and benefits	122,265	118,505
Operational supplies and expenses	9,548	6,670
Cost of sales and services	6,922	6,985
Amortization of capital assets	10,550	8,711
Amortization of debenture issuance costs	117	117
Building and equipment maintenance	15,499	9,082
Scholarships, bursaries and awards	13,793	12,611
Utilities	4,312	4,683
Travel	4,527	4,345
Other	7,691	8,197
Interest on long term debt	5,661	5,787

200,885

185,693

Excess of revenue over expenses before the undernoted

9,003

1

Unrealized (loss) recovery on interest rate swaps

(1,487)

1,983

Excess of revenue over expenses for the year

\$ 7,516

\$ 1,984

Lakehead University
Statement of Changes in Net Assets

For the year ended April 30

2019 2018

(in thousands of dollars)

	Internally Restricted (Note 12)	Endowments (Note 13)	Unrestricted	Total	Total
Balance, beginning of year	\$ 60,435	\$ 57,391	\$ (11,567)	\$ 106,259	\$ 103,911
Excess of revenue over expenses for the year	—	—	7,516	7,516	1,984
Post-employment benefit recovery - remeasurement	(3,704)	—	—	(3,704)	(844)
Change in internally restricted net assets	8,549	—	(8,549)	—	—
Transfer to endowments	(22)	22	—	—	—
Endowment contributions	—	643	—	643	1,207
Capitalization of investment income in endowments	—	802	—	802	1
Balance, end of year	\$ 65,258	\$ 58,858	\$ (12,600)	\$ 111,516	\$ 106,259

The accompanying notes are an integral part of these financial statements.

Lakehead University Statement of Cash Flows

For the year ended April 30	2019	2018
	(in thousands of dollars)	
Cash Flows from Operating Activities		
Excess of revenue over expenses for the year	\$ 7,516	\$ 1,984
Items not involving cash		
Amortization of capital assets	10,550	8,711
Amortization of debenture issuance costs	117	117
Amortization of deferred capital contributions	(1,863)	(1,466)
Net change in accrued pension liability	(715)	(1,249)
Interest rate swaps	1,487	(1,983)
Net change in non-cash working capital balances related to operations (Note 18)	(175)	5,153
Cash provided by operating activities	16,917	11,267
Financing Activities		
Long term debt principal repayments	(2,379)	(2,262)
Deferred capital contributions received	839	9,037
	(1,540)	6,775
Investing Activities		
Endowment contributions	643	1,207
Capitalization of investment income in endowments	802	1
Purchase of capital assets	(8,461)	(19,320)
Change in long term investments, net	(9,317)	162
	(16,333)	(17,950)
(Decrease) increase in cash for the year	(956)	92
Cash, beginning of year	32,297	32,205
Cash, end of year	\$ 31,341	\$ 32,297

The accompanying notes are an integral part of these financial statements.

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

1. Authority and Purpose

Lakehead University was incorporated as a university when the Lakehead University Act was given Royal Assent by the Lieutenant Governor of Ontario in 1965. Lakehead University serves a dual role in that it provides Northwestern Ontario and Simcoe County with regional access to higher education while being committed to academic excellence on the provincial, national and international scenes.

These financial statements reflect the assets, liabilities, net assets, revenue, expenses and other transactions of all of the operations controlled by the University. Accordingly, these financial statements include the academic, administrative and other operating expenditures funded by fees, grants and other general revenue, restricted purpose endowment funds, and the ancillary operations, such as residences, food services, bookstore and parking.

The University also has a beneficial economic interest in the Lakehead University pension plan, the activities of which are not consolidated into these financial statements (Note 9). The Lakehead University Pension Investment Fund is audited separately.

The Northern Ontario School of Medicine ("School") is incorporated under the Ontario Business Corporations Act and is a not-for-profit organization. The School was created in order to provide medical education in Northern Ontario. The University, along with Laurentian University, the only voting members of the School, has significant relationships with the School, but the University has no claim to the net operating assets of the School and the University is not liable for any direct or contingent liabilities of the School. Accordingly, the operations of the School are not included in these financial statements.

The University is a not-for-profit organization and registered charity, and as such, is exempt from income taxes under the Income Tax Act (Canada).

2. Summary of Significant Accounting Policies

Financial statements of the University have been prepared in accordance with Part III of the Chartered Professional Accountants of Canada ("CPA Canada") Handbook – Accounting, which sets out Canadian accounting standards for not-for-profit organizations in Canada and includes the significant accounting policies summarized below.

a. Financial Instruments

Financial instruments are recorded at fair value when acquired or issued, in subsequent periods, equities traded in an active market and derivatives are reported at fair value, with any unrealized gains and losses reported in operations, other than financial instruments related to endowment funds. In addition, all bonds have been designated to be in the fair value category, with gains and losses reported in operations, other than financial instruments related to endowment funds. Changes in fair value of financial instruments related to endowment funds are recorded directly in net assets. All other financial instruments are reported at cost or amortized cost less impairment, if applicable. Financial assets are tested for impairment when changes in circumstances indicate the asset could be impaired.

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

2. Summary of Significant Accounting Policies (continued)

a. Financial Instruments (continued)

Transaction costs on the acquisition, sale or issue of financial instruments are expensed for those items re-measured at fair value at each statement of financial position date and charged to the financial instruments for those measured at amortized cost.

The value of investments recorded in the financial statements is determined as follows:

- 1) Investments in pooled funds are valued at their reported net asset value per unit.
- 2) Publicly traded bonds are determined based on the latest bid prices.
- 3) Private investment interests, which consist of common shares in a Canadian Controlled Private Company, life insurance policies and other shares, are valued at cost. The University believes the carrying value of these financial instruments is a reasonable estimate of fair value.
- 4) Freestanding derivative instruments that are not in a qualifying hedging relationship that are quoted in an active market are subsequently measured at fair value.

b. Inventories

Inventories, which consist of goods held for resale, are recorded at the lower of cost and net realizable value. Cost is generally determined on a first in, first out basis.

c. Capital Assets

Purchased capital assets are recorded at cost. Contributed capital assets are recorded at fair value at the date of contribution. Capital assets are amortized on a straight-line basis over their estimated useful lives, which are:

Site development	—	10 years
Buildings	—	20 and 40 years
Furniture and equipment	—	5 years
Leasehold improvements	—	3 years
Library books	—	5 years

Interest incurred on funds borrowed during construction is capitalized as a cost of the project.

Works of Art

Contributions of collection items are recorded as revenue and expensed, at fair market value, at the date of contribution.

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

2. Summary of Significant Accounting Policies (continued)

d. Revenue Recognition

The University follows the deferral method of accounting for contributions, which include donations and government grants. Unrestricted contributions are recognized as revenue when received or receivable if the amount to be received can be reasonably estimated and collection is reasonably assured. Unrestricted donations are recorded on a cash basis since pledges are not legally enforceable claims. Contributions externally restricted for purposes other than endowment are deferred and recognized as revenue in the year in which the related expenses are recognized. Endowment contributions are recognized as direct increases in net assets in the year in which they are received. Student fees are recognized as revenue when courses and seminars are held. Sales and services revenue is recognized at point of sale or when the service has been provided. Restricted contributions for the purchase of property, plant and equipment that will be amortized are deferred and recognized as revenue on the same basis as the amortization expense related to the acquired asset.

e. Contributed Materials and Services

Volunteers contribute an indeterminable number of hours per year. Because of the difficulty of determining their fair value, contributed services are not recognized in these financial statements.

Contributed materials which are used in the normal course of the University's operations and would otherwise have been purchased are recorded at their fair value at the date of contribution.

f. Use of Estimates

The preparation of financial statements in accordance with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. The principal estimates used in preparation of these financial statements are the estimated useful life of property, plant and equipment, valuation of accounts receivable and doubtful accounts and assumption regarding the accrued pension liability.

Actual results could differ from management's best estimates as additional information becomes available in the future.

g. Derivative Financial Instruments

Derivative financial instruments related to interest rate swaps on a term loan are used by the University in the management of its exposure to changes in interest rates. The University does not enter into derivative financial instrument transactions for trading or speculative purposes. The University records financial instruments related to swaps on the balance sheet at fair value with subsequent changes in fair value recognized in the statement of operations. The fair value of the derivative financial instruments reflects the daily quoted market amount of those investments; thereby taking into account the current unrealized gains and losses. Quotes from financial institutions are available for all the University's derivative financial instruments.

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

2. Summary of Significant Accounting Policies (continued)

h. Employee Future Benefits

The University accrues its obligations under the defined benefit plans as the employees render the services necessary to earn the pension and other retirement benefits.

The University accounts for the defined benefit component of the Pension Plan for Professional Staff using the immediate recognition approach. The University recognizes the amount of the accrued benefit obligation, net of the fair value of the plan assets measured at year-end, adjusted for any valuation allowance, in the balance sheets. Actuarial gains and losses are included in the cost of the plans for the year. The accrued benefit obligation for the pension plan is determined based on an actuarial valuation using funding assumptions. The most recent actuarial valuation of the pension plan for funding purposes has been conducted as of December 31, 2018, and the next required valuation will be as of December 31, 2020. In years where an actuarial valuation is not prepared, the University uses a roll-forward technique to estimate the accrued liability using assumptions from the most recent actuarial valuation report.

3. Accounts Receivable

Accounts receivable consists of the following:

	2019	2018
Tuition and residence fees	\$ 2,095	\$ 2,053
Interest and sundry accounts	7,283	7,793
Sponsored research monies	4,546	2,484
Allowance for doubtful accounts	(710)	(776)
	<u>\$ 13,214</u>	<u>11,554</u>

4. Long-Term Investments and Investment Income

Long-term investments consist of the following:

	2019	2018
Pooled funds	\$ 124,708	\$ 115,476
Marketable securities carried at fair value	3,813	3,728
	<u>\$ 128,521</u>	<u>\$ 119,204</u>

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

4. Long-Term Investments and Investment Income (continued)

The pooled funds consist of units held in balanced funds in trust and managed by professional external fund managers. The market value of the University's investment in these funds as at April 30, 2019 was \$124,708 (2018 – \$115,476). The increase in the investment during the fiscal year of \$9,232 includes receipts of \$1,678, withdrawals of \$2,392 and investment gains of \$9,946. Included in the pooled funds are internally restricted amounts created from excess borrowings of the Series A unsecured debenture described in Note 10.4; the market value as at April 30, 2019 is \$17,065. Also included in the pooled funds is \$22,134 (2018 – \$20,531) of a debt repayment sinking fund for project loans being amortized over their initial terms.

Marketable securities carried at fair value consist of investments in government and corporate bonds of \$3,781 (2018 – \$3,698), life insurance policies of \$31 (2018 – \$29), and shares of \$1 (2018 – \$1). The market value of the marketable securities as at April 30, 2019 was \$3,813 (2018 – \$3,728). The bonds mature between 2022 and 2035 with annual yields ranging from 5.4% to 8.9%.

Investment income included in the statement of operations is calculated as follows:

	2019	2018
Net investment income	\$ 11,046	\$ 1,886
Amount attributed to endowment capital preservation	(802)	(1)
Investment income recognized during the year	<u>\$ 10,244</u>	<u>\$ 1,885</u>

5. Capital Assets

	2019			2018		
	Cost	Accumulated Amortization	Net Book Value	Cost	Accumulated Amortization	Net Book Value
Land	\$14,129	\$ –	\$14,129	\$ 14,129	\$ –	\$14,129
Site development	8,182	8,126	56	8,182	8,104	78
Buildings	257,229	126,575	130,654	235,895	121,245	114,650
Furniture and equipment	138,601	132,815	5,786	133,761	130,679	3,082
Leasehold improvements	1,655	1,655	–	1,655	1,655	–
Library books	54,282	53,470	812	54,198	50,408	3,790
Construction in progress	398	–	398	18,195	–	18,195
	<u>\$474,476</u>	<u>\$322,641</u>	<u>\$151,835</u>	<u>\$466,015</u>	<u>\$312,091</u>	<u>\$153,924</u>

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

6. Accounts Payable and Accrued Charges

The accounts payable and accrued charges consist of the following:

	2019	2018
Trade accounts	\$ 11,898	\$ 11,635
Payroll liabilities	4,723	4,458
Vacation pay liability	2,029	1,908
Current portion faculty early retirement (Note 8)	396	366
Capital projects	1,136	4,223
	<u>\$ 20,182</u>	<u>\$ 22,590</u>

As at April 30, 2019 accounts payable and accrued charges include government remittances payable of \$1,616 (2018 – \$1,701).

7. Deferred Revenue

Deferred revenue represents unspent externally restricted monies received in the current and prior years for services to be provided in a future year as follows:

	2019	2018
Research	\$ 12,253	\$ 11,456
Other restricted purposes	16,126	12,793
	<u>\$ 28,379</u>	<u>\$ 24,249</u>

8. Faculty Early Retirement Program Costs

The University offered a voluntary early retirement program to qualifying University faculty. The estimated accrued liability represents the costs of contractual payments owed to participating faculty members. These retirement costs will be paid out approximately as:

	2019	2018
2019	\$ --	\$ 366
2020	396	395
2021	396	395
2022	396	395
2023 (2023 and beyond)	236	264
2024 and beyond	29	--
Subtotal	1,453	1,815
Current portion (Note 6)	396	366
Total	<u>\$ 1,057</u>	<u>\$ 1,449</u>

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

9. Accrued Pension Liability

The University has two separate pension plans.

a. Pension Plan for Professional Staff

The Pension Plan for Professional Staff is a contributory defined contribution pension plan. Faculty members and librarians contribute 6.5% of their earnings through payroll deductions, while the University contributes 8.05% on their behalf. Non-faculty members contribute 8.05%, and the University matches these contributions.

The Plan provides for a defined benefit guarantee for service prior to January 1, 1997 and removes the minimum pension based on a formula for future pensions commencing in 1997. The most recent actuarial valuation for funding purposes for the pension plan was performed as at December 31, 2017.

Information about the University's pension plan is as follows:

	2019	2018
Accrued benefit obligation	\$ (83,120)	\$ (83,432)
Fair value of plan assets	80,048	83,349
Plan deficit	\$ (3,072)	\$ (83)

The significant actuarial assumptions in calculating the University's liability accrued as at April 30, 2019, were a discount rate of 5.90% (2018 – 5.00%), a general salary increase assumption of 4.55% (2018 – 5.00%) per annum and the CPM2014 Public Sector mortality table. See Note 16 (c) for the description of a contingency relating to this Plan.

b. Lakehead University Employee Pension Plan

The Lakehead University Employee Pension Plan is a contributory defined contribution pension plan. Under the Plan, employees contribute in a range from 7.15% to 7.90% of their earnings. The University matches the regular pension contributions made by members of the Plan.

University Pension Plan contributions, together with investment income earned on the contributions, are applied on retirement to provide pension benefits as defined in the Plan. In addition to their regular contributions, members may voluntarily contribute additional contributions to provide increased benefits. Both employee and employer contributions are paid into the integrated Canada Pension and University Pension Plans.

The employee benefits expense for the year includes pension expense of \$5,213 (2018 – \$5,224).

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

10. Long-Term Debt

	2019	2018
10.1 Ontario Housing Corporation Long-Term Lease Obligation - 480 Bed Student Residence		
The University leases a residence under an agreement with the Ontario Student Housing Corporation. The University is responsible for managing, operating and maintaining the residence. Further, the University has agreed to reimburse the Corporation over a fifty-year period ending December 1, 2019, for principal and interest, through semi-annual installment payments of \$78 including interest at 6.40%. Upon satisfaction of this obligation, title to the building will vest in the University. Since this agreement is, in substance, a purchase of the building by the University, being financed by the Ontario Student Housing Corporation, the cost of the building is included in capital assets.	\$ 87	\$ 230
10.2 Royal Bank of Canada Non-Revolving Term Facility - C.J. Saunders Renovations		
Loan payable, unsecured, interest at 3.67%, monthly payments including interest of \$15, maturing March 2025.	1,485	1,593
10.3 Royal Bank of Canada – Orillia Residence and Cafeteria		
Loan payable, unsecured, interest at 4.69%, monthly payments including interest of \$140, maturing October 2036.	19,127	19,805
10.4 Debenture Payable		
On November 15, 2005, the University issued Series A unsecured debenture in the aggregated principal amount of \$100,000. The debenture bears interest at 5.301%. Principal and interest are payable semi-annually on May 15 and November 15 in installments of \$3,023 ending November 15, 2045. Included in the pooled funds (Note 4) is \$22,134 (2018 – \$20,531) of a debt repayment sinking fund for project loans being amortized over their initial terms. The fair value of the debenture at April 30, 2019 was \$99,748 (2018 – \$103,764).	82,517	83,850
	103,216	105,478
Current portion	2,322	2,262
	\$ 100,894	\$ 103,216

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

10. Long-Term Debt (continued)

Anticipated requirements to meet the principal portion of the long-term debt repayments over the next five years are as follows:

<u>Date</u>	<u>Amount</u>
2020	\$ 2,322
2021	2,358
2022	2,485
2023	2,621
2024	2,761
Thereafter	90,669
	<u>\$ 103,216</u>

10.5 Interest Rate Swaps and New Financing Agreement

The University has entered into interest rate derivative agreements to manage the volatility of interest rates.

On the loan described in Note 10.3, the University converted floating rate debt for fixed rate debt of 4.69%. The change in the fair value of the interest rate swap of \$606 (2018 – (\$1,983)) is recorded in the Statement of Operations as unrealized loss on interest rate swaps. The interest rate swap agreement will expire on October 1, 2036.

The University entered into a new credit facility agreement on June 15, 2018 with the Royal Bank of Canada in the amount of \$11,000 for a term of 25 years with initial drawdown scheduled for September 2020. This loan will be used to finance the construction of an Athletic building on the Thunder Bay campus; the students agreed through referendum to a per term fee per student to cover the annual principal and interest on this loan.

The University entered into an interest rate derivative agreement to manage the volatility of interest rates on this new loan. The University converted floating rate debt for fixed rate debt of 3.39%. The change in the fair value of this interest rate swap of \$881 is recorded in the statement of operations as unrealized loss on interest rate swaps. This interest rate swap agreement will expire on September 1, 2045.

	2019		2018	
	Notional Loan Amount	Fair Value of Swap	Notional Loan Amount	Fair Value of Swap
Interest rate swaps:				
Note 10.3	\$ 19,127	\$ 4,341	\$ 19,805	\$ 3,735
New financing agreement	-	881	-	-
	<u>\$ 19,127</u>	<u>\$ 5,222</u>	<u>\$ 19,805</u>	<u>\$ 3,735</u>

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

10. Long-Term Debt (continued)

- 10.6 The University's credit facilities include an available operating line of credit of \$13,000, with interest at the bank's prime lending rate less 0.50% per annum (3.45% per annum at year-end).

11. Deferred Capital Contributions

Deferred capital contributions represent the unamortized amount of donations and grants received for the purchase of capital assets. The amortization of capital contributions is recorded as revenue in the statement of operations and is calculated on the same basis as the amortization expense related to the acquired capital assets. The changes in the deferred capital contributions balance are as follows:

	2019	2018
Balance, beginning of year	\$ 54,436	\$ 46,865
Add: contributions received for capital asset purchases	839	9,037
Less: amortization of deferred capital contributions	(1,863)	(1,466)
Balance, end of year	\$ 53,412	\$ 54,436

12. Internally Restricted Net Assets

Internally restricted net assets are funds committed for specific purposes as follows:

	2019	2018
Operating Fund		
Repairs and replacements	\$ 1,971	\$ 2,532
Self-insurance	250	250
Unexpended budgets and departmental incomes	11,846	8,414
Future year's budget	500	500
Employee pension benefits	(3,072)	(83)
Ancillary Enterprises	894	1,031
Restricted Funds		
Trust funds	15,653	13,367
Interest earned on investment from excess borrowing	7,226	6,136
Research funds	1,516	1,402
Bond Sinking Fund	22,134	20,531
Investment in Capital Assets	(680)	(665)
Land Appraisal Reserve	7,020	7,020
	\$ 65,258	\$ 60,435

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

13. Endowments

Endowments consist of externally restricted donations received by the University. The endowment principal is required to be maintained intact. The investment income generated from endowments must be used in accordance with the various purposes established by donors. The University ensures, as part of its fiduciary responsibilities, that all funds received with a restricted purpose are expended for the purpose for which they were provided. The value of the investment portfolio for endowed funds included in the total investments disclosed in Note 4 is equal to \$58,858 (2018 – \$57,391).

14. Ontario Student Trust Funds

Externally restricted endowments of \$58,858 (2018 – \$57,391) include grants provided by the Government of Ontario from the Ontario Student Opportunity Trust Fund (OSOTF) Phase I and Phase II and the Ontario Trust for Student Support (OTSS) matching programs to award student aid as a result of raising an equal amount of endowed donations.

OSOTF (Phase I)	2019	2018
OSOTF Endowment Balance, beginning of year	\$ 6,963	\$ 6,963
Unrealized Investment Income	—	—
OSOTF Endowment Balance, end of year	\$ 6,963	\$ 6,963
Expendable Funds, beginning of year	\$ 6,675	\$ 6,908
Unrealized Investment Income (expense)	1,480	(14)
Bursaries Awarded	(139)	(219)
Expendable Funds, end of year	\$ 8,016	\$ 6,675
Number of Bursaries Awarded	106	234
Market Value of Endowment	\$ 14,979	\$ 13,638

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

14. Ontario Student Trust Funds (continued)

OSOTF (Phase II)	2019	2018
OSOTF Endowment Balance, beginning of year	\$ 1,629	\$ 1,629
Donations	—	—
OSOTF Endowment Balance, end of year	\$ 1,629	\$ 1,629
Expendable Funds, beginning of year	\$ 1,171	\$ 1,213
Unrealized Investment Income	251	16
Bursaries Awarded	(33)	(58)
Expendable Funds, end of year	\$ 1,389	\$ 1,171
Number of Bursaries Awarded	13	29
Market Value of Endowment	\$ 3,018	\$ 2,800

OTSS

The Ontario Trust for Student Support (OTSS) program requires separate reporting of the balances as at March 31 and the details of the changes in the balances.

The following is the schedule of donations received for the period from April 1, 2018 to March 31, 2019 (April 1, 2017 to March 31, 2018).

	2019	2018
Donations eligible for matching	\$ —	\$ —
Donations not yet eligible for matching	—	—
Total cash donations	\$ —	\$ —

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

14. Ontario Student Trust Funds (continued)

The following is the schedule of changes in endowment fund balance for the period from April 1, 2018 to March 31, 2019 (April 1, 2017 to March 31, 2018).

	2019	2018
Endowment Balance, beginning of year	\$ 8,555	\$ 8,555
Cash donations received	—	—
Matching funds received/receivable	—	—
Endowment Balance, end of year	\$ 8,555	\$ 8,555

The following is the schedule of changes in expendable funds available for awards for the period from April 1, 2018 to March 31, 2019 (April 1, 2017 to March 31, 2018).

	2019	2018
Expendable Funds, beginning of year	\$ 4,895	\$ 4,746
Unrealized Investment Income	925	422
Bursaries Awarded	(165)	(273)
Expendable Funds, end of year	\$ 5,655	\$ 4,895
Number of Bursaries Awarded	56	120
Market Value of Endowment	\$ 14,210	\$ 13,450

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

15. Property and Liability Insurance

The University participates in a reciprocal exchange of insurance risks in association with forty-five other Canadian universities. This self-insurance cooperative involves a contractual agreement to share the property insurance and liability risks of member universities.

The projected cost of settled claims will be funded through members' premiums based on actuarial projections. It is anticipated that a surplus will be created over time as a cushion against unexpected losses. In addition, the reciprocal has obtained substantial reinsurance with commercial insurers to cover major claims in excess of \$5,000 per occurrence for property losses and in excess of \$5,000 per occurrence for liability losses.

In the event that premiums are not sufficient to cover claim settlements, the member universities would be subject to an assessment in proportion to their participation.

16. Contingent Liabilities

- a) The nature of the University's activities is such that there is usually litigation pending or in prospect at any one time. With respect to claims at April 30, 2019, the University believes it has valid defenses and/or appropriate insurance coverage in place. In the unlikely event any claims are successful such claims are not expected to have a material effect on the University's financial position.
- b) The University has guaranteed a loan in the amount of \$2,200 for Nanabijou Childcare Centre (the "Centre") for the construction of the facility. The Centre provides childcare services to children of staff and students of Lakehead University, and the public at large. The Centre is incorporated without share capital, by Letters Patent under the laws of Ontario and is governed by a Board of Directors. The University has leased land to the Centre for the construction of the facility; the lease is a 35-year lease; the Centre pays \$2.00 per year to the University.
- c) The Financial Services Regulatory Authority of Ontario (FSRA) has raised an issue with the Plan amendments made to the Professional and Administrative Staff Plan in 2000. The amendment provided that pensioner increases would be granted only to the extent that the funds in the Retirement Account of the Plan are sufficient to support the increase. FSRA has indicated that the amendment may be considered void unless a court agrees the amendment is necessary to rectify the language of the Plan to reflect its original intent, or the Plan is further amended to comply with requirements of the Pension Benefits Act.

The University believes that the plan amendments have been properly applied and have retained legal counsel to assist with the matter. While the ultimate outcome of the matter is uncertain, it is possible that FSRA could consider some or all of the plan amendments void. In this case, the plan actuary has estimated the potential impact as of December 31, 2016 as follows:

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

16. Contingent Liabilities (continued)

	Liability for Pension Increases Since 2000	Increases in Future Obligations for Pension Increases after 2016
For all pensions commencing before February 25, 2000	\$8.5 million	\$5.4 million

On April 24, 2015, FSRA corresponded with the University. The correspondence was reviewed by the Actuary and by legal counsel; a response has been provided to FSRA. There has been subsequent communication between the University and FSRA. No course of action has been decided upon.

17. Commitments

The following are the future minimum annual operating lease payments due over the next five years:

<u>Date</u>	<u>Amount</u>
2020	\$ 472
2021	479
2022	409
2023	288
2024	288

The estimated cost to complete the construction project in progress as of April 30, 2019, which will be funded by long-term debt (Note 10.6), is \$10,800.

18. Statement of Cash Flows

The net change in non-cash working capital balances related to operations consists of the following:

	2019	2018
Accounts receivable	\$ (1,660)	\$ (1,109)
Inventories and prepaid expenses	155	(52)
Accounts payable and accrued charges	(2,408)	5,158
Deferred revenue	4,130	1,675
Faculty early retirement program	(392)	(519)
	<u>\$ (175)</u>	<u>\$ 5,153</u>

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

19. Related Party Transactions

During the year, the University undertook the following transactions with Northern Ontario School of Medicine ("School"):

	2019	2018
Recoveries and charges for goods and services	\$ 1,845	\$ 2,029

These transactions were in the normal course of operations and were measured at the exchange value, which is the amount of consideration established and agreed by the parties to the transaction.

At April 30, 2019 the University had \$384 (2018 – \$183) receivable from the School and had a payable of \$172 (2018 – \$80) to the School.

20. Financial Instruments

The University's financial instruments consist of cash, accounts receivable, long-term investments, accounts payable and accrued charges, long-term debt and interest rate swaps. Financial instruments are subject to a variety of risks.

Credit risk is the risk of financial loss to the University if a member or counterparty to a financial instrument fails to meet its contractual obligations, and arises principally from the University's accounts receivable and long-term investments. The University mitigates its potential credit risk from accounts receivable through credit evaluation, approval, and monitoring processes. Furthermore, it evaluates the collectability of accounts receivable and records an allowance for doubtful accounts, which reduces the receivables to the amount management reasonably believes will be collected. Credit risk with respect to long-term investments is managed through the University's investment policies.

The University maintains all of its bank accounts with one financial institution and therefore all deposits are not covered by the Canadian Deposit Insurance Corporation (CDIC). The University is subject to credit risk on the excess deposits over CDIC coverage.

Interest rate risk refers to the adverse consequences of interest rate changes. The University holds fixed rate bonds issued by the federal and certain provincial governments. The bonds have annual yields between 5.4% and 8.9%. The value of fixed rate instruments will generally rise if interest rates fall and fall if interest rates rise. The value of the instruments will vary with developments within the specific governments, which issue the instruments.

Foreign currency risk refers to the extent to which instruments denominated in a currency other than Canadian dollars will be affected by changes in the value of the Canadian dollar in relation to other currencies.

Lakehead University Notes to Financial Statements

April 30, 2019 (in thousands of dollars)

20. Financial Instruments (continued)

Market volatility risk arises from the University's investment portfolio, which contains various pooled funds and, fixed income, and equity instruments. It is the risk that the fair value or future cash flows from a financial instrument will fluctuate because of general economic and other market factors affecting equity prices.

Interest rate, foreign currency and market volatility risk arise from the University's long-term investments, which the University manages through investment policies governing asset mixes, equity and fixed income allocations and diversification among fund managers.

Interest rate swaps are subject to interest rate and foreign currency exchange risk in the determination of fair value.

Annual Report of the Lakehead University Research Ethics Board (REB) to the Lakehead University Board of Governors

May 1, 2018 to April 30, 2019

Submitted by the Chair and Acting Chair/Vice Chair of the REB respectively:
Dr. Lori Chambers & Dr. Kristin Burnett

The Board of Governors Policy Framework on Research Ethics Involving Humans at Lakehead University and the Research Ethics Board (REB) Terms of Reference, approved by the Board of Governors March 30, 2012, requires an annual report that summarizes the activities of the REB. The following report covers the period from May 1, 2018 to April 30, 2019.

2018 - 2019 MEMBERSHIP OF THE REB:

MEMBERSHIP CRITERIA	MEMBERS
One member with knowledge in the area of ethics. This can be someone who has a teaching or research specialization in ethics, or someone who has had extensive experience in the area of research ethics.	Lori Chambers (Women's Studies) - CHAIR (July 1, 2018 – April 30, 2019)
Minimum of six full time faculty members who have expertise in relevant research disciplines, fields and methodologies covered by the REB.	Frederico Oliveira (Anthropology) David Richards (Business Administration) Claudio Pousa (Business Administration) Asad Aman (Business Administration) Tanya Kaefer (Education) Kristin Burnett (Indigenous Studies) – Acting CHAIR (May 1, 2018 – June 30, 2018) Paolo Sanzo (Kinesiology) Eryk Przysucha (Kinesiology) Neelam Khaper (NOSM) Dwight Mazmanian (Psychology) Monica Flegel (English) Teresa Socha (Education)
Minimum of two community members who have no affiliation with the institution but are recruited from the communities served by Lakehead University with preference that one of the community members be of Aboriginal origin.	Donnas Stuart Darlene Desmoulin-Lewis
One full time faculty member whose research involves Aboriginal people.	Lisa Korteweg (Education)
A minimum of one member with a biomedical background.	Sanjoy Gupta (local surgeon, NOSM)
One member knowledgeable in the relevant law.	Daniel Dylan (Law)

Faculty membership needs are assessed on an annual basis. Annually the REB assesses where applications originate from (Departments) and research methodologies commonly used. This information is used to determine what expertise is needed in order to ensure thorough reviews.

Applications for membership are reviewed by the REB members and a recommendation is forwarded to the University President for official appointment.

BREACHES of RESEARCH INTEGRITY related to the TCPS2:

Note: this chart follows the format required of the Tri-Agencies for institutional annual reporting

Number of allegations received during reporting period	Number of breaches confirmed during reporting period	Nature of confirmed breaches during reporting period (e.g., fabrication; plagiarism)	Number of active RCR files at end of reporting period
1	1	Breach of Agency Policies or Ethical Requirement for Certain Types of Research: Tri-Council Policy Statement: Ethical Conduct of Research Involving Humans (TCPS 2)	1

The project in which the allegation was confirmed was unfunded student research.

REB COMPLIANCE:

To the best of its knowledge, the Lakehead University REB was compliant with the TCPS2 Policy Statement: Ethical Conduct for Research Involving Humans, during 2018-2019.

See attached Appendix A for the annual REB Compliance Letters from both the TBRHSC REB Chair and the LU REB Chair.

REB TERMS OF REFERENCE:

At this time, the REB is requesting changes to its Terms of Reference. The changes accomplish the following:

- 1) Language to allow for the review of protocols through the reciprocity process with the TBRHSC
- 2) Language to include the role of the Research Ethics Coordinator (part-time administrative position) and to clarify the role of the Research Ethics Officer
- 3) Language to improve and clarify the Conflict of Interest process

APPEALS:

No REB decisions were appealed during this reporting period.

ADMINISTRATIVE SUPPORT FOR THE REB:

Administrative support for the REB continues to be provided by the Office of Research Services.

The Director, Office of Research Services, Anne Klymenko, is the senior advisor to the REB in all matters associated with its mandate, compliance monitoring, and reporting. The Research Ethics and Administration Officer (REAO), Office of Research Services, Ms. Sue Wright, coordinates the REB's activities including educational activities and consults with researchers in their preparation of REB applications including pre-reviews and queries throughout the research process. Half-time administrative support assists with the administrative tasks associated with the REB.

USE of TECHNOLOGY:

The Office of Research Services' software system (Process Pathways "Romeo"), continues to enable on-line submissions of ethics applications and their review by members. Protocol amendments, renewals, and final reports are also submitted through this system.

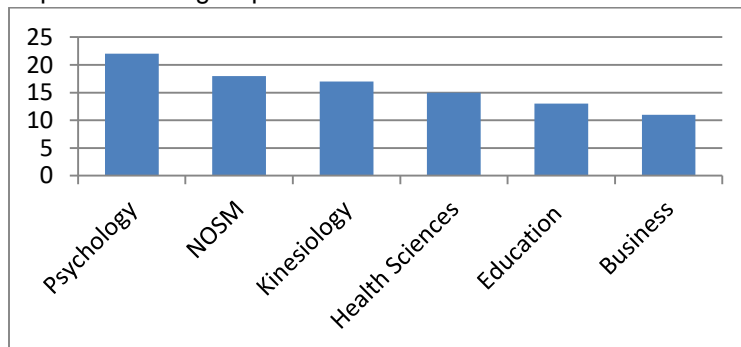
Romeo allows the Office of Research Services to link ethics certifications to funded awards thus ensuring that research funding is not released to researchers until all ethics protocols are approved (a process mandated by the Tri-Agency 'Agreement on the Administration of Agency Grants and Awards by Research Institutions') a prerequisite agreement Lakehead University has signed in order to be eligible to receive and administer federal research funding on behalf of faculty members and students.

REB ACTIVITY REPORT:

During the reporting period meetings were held monthly with the exception of May, July & August 2018 and February 2019.

ACTIVITIES OF THE REB – May 1, 2018 – April 30, 2019:

Top 6 Submitting Departments to the REB:



New submissions to the REB – 153 (represents a 4% decrease from the previous year – this is largely due to the reciprocity review arrangement with the Thunder Bay Regional Health Sciences Centre)

- Number of submissions approved – 140

- Number of submissions still under review - 13
- Minimal risk projects (delegated review) – 133
- More than minimal risk projects (full Board review) – 1
- Review by Chair only (already approved at another Canadian TCPS compliant University) - 6
- Active protocols with research involving Indigenous people - 15

COMMITTEE MEMBER WORKLOAD:

Applications are reviewed by either delegated review, or if considered greater than minimal risk, by the full Board. The Chair reviews every application. Any member of a delegated committee may request full Board review if they feel the application goes beyond minimal risk. On average, each REB member reviews 4 projects per month.

- The REB Chair reviews all post-approval activities including renewals and amendments. The Vice-Chair also assists with these reviews mainly when a conflict of interest is presented (i.e., the Chair is the lead or co-researcher on the application)
- K. Burnett as Vice-Chair served as Acting Chair from May 1 – June 30, 2018 during L. Chambers' sabbatical

Review turnaround time:

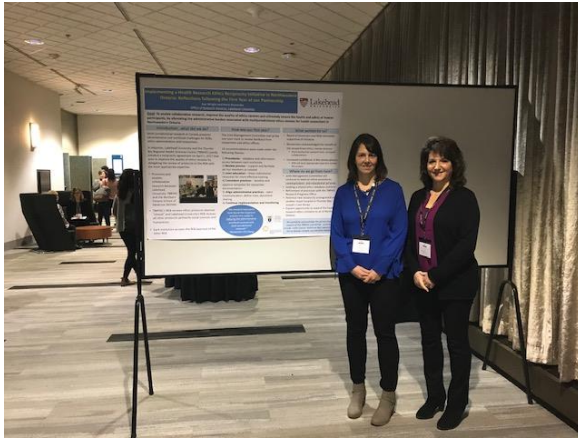
Turnaround time for REB submission cannot be summarized in a single statistic. Studies that are submitted with well-written applications, information letter, consent forms, and test instruments and are of minimal risk to participants can be turned around in two weeks. Others, that require both administrative amendments and amendments from the REB, can take longer. The time can fluctuate greatly depending on the timely/or not timely response from the researcher(s).

Generally, the turnaround time for REB delegated review (minimal risk projects) is 3 weeks.

EDUCATIONAL OPPORTUNITIES:

In respect to its educational mandate, the REB and the Office of Research Services have been active on a number of fronts. An invitation is extended at the beginning of each academic year to academic units that would like to have an information session on research ethics. These sessions are jointly offered by both the REB Chair and the REAO.

The Office of Research Services also provides funds each year for attendance at the annual conference of the Canadian Association of Research Ethics Boards (CAREB). This year's conference was held in Winnipeg in April 2019. Kristin Burnett, Sue Wright, and Anne Klymenko attended the conference. Sue Wright and Anne Klymenko were accepted for the presentation of a poster titled, "*Implementing a Health Research Ethics Reciprocity Initiative in Northwestern Ontario: Reflections Following the First Year of our Partnership*".



Sue Wright and Anne Klymenko presented their Poster at the Canadian Association of Research Ethics Boards' Conference in Winnipeg in April 2019.

RECIPROCITY ETHICS REVIEW MODEL WITH TBRHSC:

A reciprocity agreement between LU and the TBRHSC came into effect April 1, 2017. Under this arrangement, generally the LU REB reviews all non-clinical protocols and the TBRHSC REB reviews all clinical protocols undertaken by researchers affiliated with Lakehead, NOSM and TBRHSC/TBRHRI. This has eliminated the duplicate review process and ensures that the REB with the most appropriate expertise is conducting the review.

The Joint Management Committee for the Reciprocity Agreement will hold its second annual meeting in October 2019. The meeting will serve as a forum for discussion around processes for reciprocal review and administrative procedures between the two REBs.

Reciprocity Reporting for 2018-2019:

Number of protocols in which Lakehead University REB is the REB of Record: **13**

Number of protocols in which TBRHSC REB is the REB of Record: **7**

Please find attached a Letter of Compliance from the TBRHSC REB.

CONTINUING ETHICS REVIEW PROGRAM:

The REB is continuing its plan to develop a formal Continuing Review process. Continuing Review focuses on monitoring and reviewing active protocols to ensure compliance with the TCPS2 through the life of a project. The REB is in the process of developing a more comprehensive program including random compliance audits of projects greater than minimal risk.

ACHIEVEMENTS FOR 2018-19

- New process implemented for the division of ethical and methodological review
- All members completed the "Unconscious Bias Training Modules" training through the Canada Research Chair Program
- Provided input into the role and process the REB should have with regard to responsible conduct of research through the federal governments Panel on Responsible Conduct of Research
- Received education and provided input on Lakehead's Equity, Diversity and Inclusion initiative

- Received education and provided input on the draft Lakehead University Data Management Policy
- Created a standard operating procedure for externally approved REB application (applications already approved at another REB compliant institution)
- Reviewed and provided feedback on SOPs distributed through CAREB
- Romeo Application Process Workshop – Oct 2018
- Demystifying the Process: LU and TBRHSC REB Reciprocity Joint Workshop – January 2019
- Four new members appointed to the REB in the fall of 2018 from the English Department, Faculty of Law, Faculty of Education, and Department of Psychology
- Lakehead's new Bioethicist appointed for fall 2019

New/continuing Initiatives for 2019-2020

- Renewal of REB Appeal Agreement with Laurentian University
- Continue to develop resources for researchers working with Indigenous participants and communities
- Discussions continue with St. Joseph's Care Group REB to potentially enter into a reciprocity arrangement
- Seeking information and cost to implementing a shared technology platform with TBRHSC REB (and potentially SJCG REB) for protocols under reciprocity processes
- Develop Undergraduate Research Ethics Committee (UREC) webpage, and provide educational opportunities
- Further work with the Continuing Review program

The Lakehead University REB is committed to protecting human participants involved in research projects, assisting researchers in meeting regulatory requirements, building upon and improving our processes where necessary, and ensuring the REB meets federal regulatory standards.

Respectfully submitted by the Chair & Acting Chair of the REB for 2018-2019.



Dr. Lori Chambers
REB Chair
July 1, 2018 – April 30, 2019



Dr. Kristin Burnett
Acting REB Chair
May 1, 2018 – June 30, 2018



Research Ethics Board
t: (807) 343-8283
e: research.ethics@lakeheadu.ca

May 15, 2019

Ms. Ann Dumyn
Chair, Board Audit & Risk Committee
Lakehead University
955 Oliver Road
Thunder Bay, ON P7B 5E1

Dear Ms. Dumyn:

On behalf of the Lakehead University Research Ethics Board (REB), I declare that to the best of our knowledge for the period May 1, 2018 to April 30, 2019, the Lakehead University REB conducted its business in accordance with its Terms of Reference approved by the Board of Governors on April 1, 2012, and in accordance with the standards and principles outlined in the Tri-Council Policy Statement (TCPS2 2014).

Sincerely,

A handwritten signature in black ink, appearing to read "Kristin Burnett".

Dr. Kristin Burnett, A/Chair
Lakehead University REB
(May 1, 2018 – June 30, 2018)

A handwritten signature in black ink, appearing to read "Lori Chambers".

Dr. Lori Chambers, Chair
Lakehead University REB
(July 1, 2018 – April 30, 2019)



Thunder Bay Regional
Health Sciences
Centre

980 rue Oliver Road
Thunder Bay ON
P7B 6V4 Canada

Tel: (807) 684-6000
www.tbrhsc.net

August 29, 2019

Dr. Kristin Burnett, Chair
Research Ethics Board
Lakehead University
955 Oliver Road
Thunder Bay, ON P7B 5E1

Dear Dr. Burnett:

On behalf of the Thunder Bay Regional Health Sciences Centre Research Ethics Board (REB), I declare that to the best of our knowledge for the period April 1, 2018 to March 31, 2019, the REB conducted its business in accordance with its Terms of Reference approved by the Board of Directors on November 7th, 2014, and in accordance with the standards and principles outlined in the Tri-Council Policy Statement (TCPS2 2014).

Sincerely,

Shelley Tees, MCISc-WH, RN HBScN

Chair, TBRHSC Research Ethics Board

Lakehead University Research Ethics Board (REB) Terms of Reference

Effective Date: April 1, 2012
Approved by the Executive Committee of the Board of Governors: March 30, 2012
Revised: ~~June 2016~~ October 2019

A) Introduction

The Terms of Reference for the Research Ethics Board (REB) at Lakehead University are established by the Board of Governors in the Board of Governors Policy Framework on Research Ethics Involving Humans at Lakehead University (the Board Policy Framework).

In the Board Policy Framework, on behalf of Lakehead University, the Board of Governors has endorsed the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans 2 (TCPS2) 2014 as the policy and compliance guide for the ethical conduct of research involving humans at the University.

The Lakehead University Research Ethics Board is established to fulfill the ethical responsibilities concerning research involving human participants in accordance with the standards developed by the Tri-Councils [Canadian Institute of Health Research (CIHR), Natural Sciences and Engineering Research Council (NSERC) and Social Sciences and Humanities Research Council (SSHRC)] and contained in the TCPS2 2014. The Tri-Councils only provide funding to researchers and institutions that are compliant with this Policy.

The REB is built upon the guiding core ethical principles as discussed by the TCPS2 2014, of: respect for persons, concern for welfare, and justice. The application of these core principles is intended to maintain balance between the necessary protection of participants and the legitimate requirements of research.

Recognizing the importance of research and the need to ensure the ethical conduct of research at Lakehead University, the independent functioning of the REB requires REB members and researchers to navigate a course between the two main goals of providing the necessary protection of participants and serving the legitimate requirements of research through a transparent and accountable process for review of the ethical acceptability of research.

B) Mandate, Authority and Accountability

1) Mandate

The mandate of the REB is to review the ethical acceptability of all research involving humans conducted under Lakehead University’s jurisdiction or auspices by faculty members, staff or students, regardless of where the research is conducted in accordance with the TCPS2 2014, or that which is deemed most appropriately reviewed by the Lakehead University REB by the Joint Management Committee established for the Research Ethics Board REB Reciprocity Agreement signed between the Thunder Bay Regional Health Sciences Centre and Lakehead University.

This includes approving, rejecting and proposing modifications to protocols, or terminating any proposed or ongoing research involving humans that is deemed to be non-compliant with the TCPS2 2014.

Commented [SW1]: This language added to accommodate for the reciprocity agreement between LU and the TBRHSC and matches the language from the TBRHSC REB Terms of Reference.

In support of fulfilling this mandate, the REB:

- establishes and communicates policies regarding the ethical conduct of research with human participants, along with guidelines and standard operating procedures that are consistent with the TCPS2 2014 throughout the research process;
- contributes to education in research ethics that falls within the REB’s mandate; and
- serves the research community and stakeholders as a consultative body regarding matters that fall within the REB’s mandate.

2) Authority

The Board of Governors of Lakehead University has established the REB to ensure competent and independent research ethics review (*TCPS2 2014 Article 6.4*). The REB will review the ethical acceptability of all research involving humans conducted within the University’s jurisdiction or under its auspices, by their faculty, staff or students, regardless of where the research is conducted, in accordance with the TCPS2 2014.

The REB is independent of the Board of Governors, Senate, and Senior Administration in its decision-making with respect to its mandate under the TCPS2 2014. All other entities and offices shall respect the independence, accountability and authority delegated to the REB and may not override an REB decision to approve or reject a research proposal. Information regarding the appeal process is found in Section C of this document.

An REB approval applies to the ethical acceptability of the research and does not, in itself, constitute authorization for the research to proceed (such reasons may be administrative or resource-based in nature).

3) Accountability

In keeping with TCPS2 2014, and the Board of Governors Policy Framework, the REB Chair is responsible for ensuring that the REB process conforms to the requirements of TCPS2 2014 (*Article 6.8*). The REB and the REB Chair are accountable to the Board of Governors for the integrity of its research ethics review process. For oversight and risk management purposes, beyond an Annual Report to the Board of Governors, when immediate or incidental reporting is required, the REB Chair will notify the President who will notify the Chair of the Board of Governors. For day-to-day administrative matters, the Chair of the REB will report to the President.

In keeping with the Board of Governors Policy Framework on Research Involving Humans, the REB Chair shall prepare an Annual Report to the Board of Governors. The Annual Report shall include the number of proposals reviewed, approved, and rejected, the submitting Faculties, a generic description of research ethics issues/concerns that have been addressed in the past year, and frequency of use of the REB appeals process. The Report shall also demonstrate compliance with the mandatory provisions in the TCPS2 2014 and identify any issues regarding process integrity of research review (initial and continuing) at Lakehead University. Concerns or suggestions regarding the REB Terms of Reference should also be included for discussion with the Board of Governors at this time.

When an official agreement (e.g. reciprocal agreement) is in place, the REB follows the reporting structure outlined in the agreement for studies falling under that agreement.

Formatted: Font: 11.5 pt
Commented [SW2]: Same rationale for change as above.

C) Reconsideration and Appeal Process

Lakehead University's Research Ethics Appeal Board shall be Laurentian University's Research Ethics Board. Laurentian University's Research Ethics Appeal Board shall be Lakehead University's Research Ethics Board. The specific terms and procedures for filing an appeal shall be outlined in an inter-institutional agreement between both Universities in accordance with the TCPS2 2014 and in alignment with the Lakehead University Board of Governors Policy Framework on Research Ethics Involving Humans.

D) REB Meetings and Membership

Meeting Schedule and Notice

The REB will schedule meetings monthly from September through May. Additional meetings will be held whenever necessary.

Seven (7) days notice shall be given for all meetings except that a meeting may be held at any time, if required, without due notice if quorum is met.

Meeting Decisions

Decisions related to the REB's mandate shall be by consensus as declared by the Chair. In accordance with the TCPS2 2014, in the event that a minority within the REB membership considers a research project unethical, even though it is acceptable to a majority of members, an effort should be made to reach consensus. Consultation with the researcher, external advice, peer review or further reflection by the REB may be helpful.

Quorum

Quorum is met when the minimum requirements of membership representation are present (*TCPS2 2014 Article 6.9, 6.4*). The minimum requirements are as follows:

- At least two members with expertise in relevant research disciplines, fields and methodologies covered by the REB;
- At least one member knowledgeable in ethics; and
- At least one community member who has no affiliation with the institution.

The presence of a member knowledgeable in the relevant law is only mandatory when reviewing biomedical research.

When there is less than full attendance, decisions requiring full review should be adopted only when the members in attendance at that meeting have the specific expertise, relevant competence and knowledge necessary as determined by the Chair to provide an adequate research ethics review of the proposals under consideration.

Ad hoc advisors, observers, research ethics administration staff and others attending REB meetings should not be counted in the quorum. Nor should they be allowed to vote on REB decisions (*TCPS2 2014 Article 6.9*). Decisions made without a quorum are not valid or binding.

Composition and Appointment of Members

The membership of the REB is designed to ensure competent and independent research ethics review.

Annually, the REB determines the need for expertise in relevant research disciplines in order to ensure competent independent research ethics review (*TCPS2 2014 Article 6.4*). Members shall be appointed by the President on the recommendation of the Chair of the Research Ethics Board. The REB may consult with Faculty Deans, Department Chairs and the Office of Research Services in maintaining

appropriate REB membership. Appointments are for three-year terms, renewable once.

The complement of the REB will be determined by the ongoing needs of the University, but should include:

- 1. Minimum of six full time faculty members who have expertise in relevant research disciplines, fields and methodologies covered by the REB.
- 2. Minimum of two community members who have no affiliation with the institution but are recruited from the communities served by Lakehead University with preference that one of the community members be of Aboriginal origin.
- 3. One member with knowledge in the area of ethics. This can be someone who has a teaching or research specialization in ethics, or someone who has had extensive experience in the area of research ethics.
- 4. One full time faculty member whose research involves Aboriginal people.
- 5. A minimum of one member with a biomedical background.
- 6. One member knowledgeable in the relevant law (but the member should not be Lakehead University’s legal counsel or risk manager).

Each member shall be appointed to formally fulfill the requirements of only one of the above categories.

The Director, Office of Research Services, is the senior advisor to the REB in all matters associated with its mandate, compliance monitoring, and reporting.

The Research Ethics and Administration Officer provides guidance and support to the REB.

The Research Ethics Coordinator is the Secretary to the REB.

Commented [SW3]: These changes reflect the roles of the Officer (REB guidance and support) vs the Coordinator (part-time admin role).

In accordance with the TCPS2 2014 (Chapter 7: Conflicts of Interest), senior administrators or members of the Board of Governors shall not serve on the REB, or directly or indirectly influence the REB decision-making process.

Ad hoc advisors may be consulted in the event that the REB lacks the specific expertise or knowledge to review the ethical acceptability of a research proposal competently.

Chair

The REB Chair is responsible for ensuring that the REB review process conforms to the requirements of the TCPS2 2014. Their role is to provide leadership and to facilitate the REB review process, based on institutional policies and procedures and the TCPS2 2014. The Chair should monitor the REB’s decisions for consistency and ensure that these decisions are recorded accurately and communicated clearly to researchers in writing as soon as possible by the Chair or his or her designate (TCPS2 2014 Article 6.8). The Chair shall hold a tenured position with Lakehead University.

Vice Chair

The REB Vice Chair also holds responsible for ensuring that the REB review process conforms to the requirements of the TCPS2 2014. The Vice Chair will fulfil the role of the Chair when the Chair is either not available, or there is a conflict of interest declared by the Chair. Ideally, the Vice Chair will move into the Chair position when the Chair either leaves the REB or completes their term.

Chair and Vice-Chair Selection

The Chair and Vice-Chair shall be appointed by the President based on the recommendation of the REB normally from among the appointed members and shall serve, normally, for a term of three years, once renewable. Preferably, the Vice-Chair will hold a tenured position with Lakehead University, however it is not necessary.

The Chair and Vice Chair shall not serve in the positions of community member.

Meeting Attendance

Where a member is absent for more than 50% of meetings per academic year, the Chair of the REB shall review whether that member should continue to serve on the REB in a report to the President.

Unexpected circumstances such as emergencies may prevent individual member(s) from attending the REB meeting. In these exceptional cases, input from member(s) by the use of technology (e.g., phone or video link) is acceptable.

Conflicts of Interest

Any REB member who has a personal/professional interest or a real or perceived conflict of interest with an ~~issue-research proposal~~, project or proposal under review (for example, as Principal Investigator, Co-Investigator, Supervisor, student, funder) must declare a conflict of interest and shall not be present when the REB is conducting its discussions or deliberations ~~making its decision~~.

Commented [SW4]: These changes better define what could be presented as a conflict of interest as well as clarifies that if a conflict is present that they will not be in attendance for any discussion or deliberation of the REB.

E) Administrative Support

~~Secretary~~Guidance and Support: Research Ethics and Administration Officer
Secretary: Research Ethics Coordinator
Administrative Office: Office of Research Services

The REB will be provided human resources, office space and support services from the Office of Research Services in order to fulfill the REB duties.

F) Departmental Undergraduate Ethics Review

The REB delegates the ethical review of undergraduate research projects of minimal risk to Undergraduate Research Ethics Committees (URECs) which are responsible for reviewing any undergraduate course-based research projects and honours theses that involve research on human participants, and/or are a component of the pedagogical process.

Undergraduate level review cannot be used when a student’s project is part of a faculty member’s own research program. Such research must receive ethics approval from the Lakehead University Research Ethics Board.

URECs are responsible for referring to the REB any matter of ethical concern that the undergraduate research ethics committee is, by reason of disagreement or otherwise, unable to resolve, or is greater

than minimal risk as defined by the TCPS2 2014.

Academic units regularly engaged in human participant research are to maintain an active undergraduate research ethics committee charged with the review and monitoring of undergraduate research. This committee shall consist of a minimum of three faculty members who have completed the TCPS2 2014 Course on Research Ethics (CORE). The committee must be registered with the REB, and keep formal records of their deliberations and decisions. A list of approved projects must be submitted to the REB twice annually, in January and July. Departments not regularly involved in human participant research are required to forward undergraduate research proposals involving human participant research to the REB for review.



ANNUAL REPORT TO THE BOARD OF GOVERNORS – October 3, 2019

From: Brian McKinnon - Chair, External Relations Committee

Subject: External Relations Committee (BERC) Annual Report

Committee Members: *Mr. Robert Arnone; Dr. Michel Beaulieu; Dr. Christine Gottardo; Mr. Brian McKinnon (Chair); Dr. Moira McPherson; Mr. Ross Murray; Mr. Sean Speer; Ms. Maria Vasanelli; Mr. Nathan Wainwright*

The BERC met six times (November 7, 2019; January 16, 2019; February 13, 2019; April 11, 2019; May 15, 2019; September 11, 2019) during the 2018-19 term.

Committee Overview/Orientation

During the first meeting, the Committee received and reviewed:

- Terms of Reference
- Committee Performance Evaluation (from the previous term 2017-18)
- 2018-19 agenda topics list
- 2018-19 proposed Workplan

The Committee approved their Workplan and reports that all Workplan items have been completed.

Performance Evaluations

Members had an opportunity to complete the 2018-19 Committee Performance evaluation. It is planned that the results of this survey be reviewed by the 2019-20 Committee at their first meeting in November 2019.

Endowment Management Policy Review Update

The Committee received a memo that included background information and a summary of the proposed amendments to the Endowment Management Policy. The amendments were approved by the Finance and Operations Committee on May 16, 2019 and were approved by the Board on June 7, 2019.

Other Updates/Reports Received

- New position: Ms. Samantha Carothers, External Relations Associate (Toronto office)
- Strategic restructuring of the Alumni Association Board of Directors
- Prospectors and Developers Association of Canada (PDAC) breakfast, held in Toronto on March 4, 2019
- Fundraising initiatives for the new Athletics Facility project
- Hong Kong Foundation

Presentations Received

- External Relations 2018-19 Q1 Report
- Lakehead University Student Recruitment Videos

Other Recommendations Made

- The Committee Chair recommended that the Board be informed of the GTA engagement strategy at a future meeting
- Considering the University is actively involved in the start of an institutional philanthropic campaign that is planned to endure for the next eight to ten years, the Committee agreed to make a recommendation to the Governance and Nominating Committee, asking them to strongly consider individuals who are highly experienced in fundraising or philanthropy when making recommendations on filling upcoming Board vacancies and Board leadership positions
- The Committee recommended that the 2019-21 Government Relations Plan be presented to the Board of Governors Committee of the Whole
- Institutional Philanthropic Campaign Fundraising Cases for Support Session: The Committee agreed that this was a very informative session and recommended that a shorter version of the presentation go to the Board of Governors on March 7, 2019. It was also suggested that more frequent reporting to the Board of Governors may be necessary

Received at Every Meeting

- Report from the Vice President, External Relations
- Report from the President
- Workplan progress report
- Meeting schedule

Other Informational Materials Received

- Bora Laskin Faculty of Law Winter 2018 Donor Impact Report, featuring Board of Governors member Nathan Wainwright

In Camera

The Committee discussed other items of business that were sensitive or confidential in nature that will be reported to the Board of Governors in an in camera annual report.



ANNUAL REPORT TO THE BOARD OF GOVERNORS – October 3, 2019

From: Angela Maltese - Chair, Finance & Operations Committee

Subject: Finance & Operations Committee (BFOC) Annual Report

Committee Members: Mr. Robert Arnone; Ms. Ann Dumyn; Dr. Christine Gottardo; Ms. Angela Maltese (Chair); Mr. Ross Murray; Dr. Moira McPherson; Ms. Kathryn Rippey; Ms. Cathy Tuckwell; Mr. Nathan Wainwright; Ms. Maria Vasanelli

The BFOC met seven times (November 8, 2018; January 17, 2019; February 14, 2019; March 26, 2019 (special meeting); April 12, 2019; May 16, 2019; September 4, 2019) during the 2018-19 term.

Committee Overview/Orientation

During the first meeting, the Committee received and reviewed:

- Terms of Reference
- Committee performance evaluation feedback (from the previous term 2017-18)
- 2018-19 workplan

The Committee reports that all Workplan items have been completed.

Performance Evaluations

Members had an opportunity to complete the 2018-19 Committee performance evaluation survey. It is planned that the results of this survey be reviewed by the 2019-20 Committee at their first meeting in November 2019.

Sexual and Gender Based Violence Response Policy

The Committee recommended that the Sexual and Gender Based Violence Policy annual review and report fall under the purview of the Audit and Risk Committee. The Audit and Risk Committee agreed and this item was added to the 2019-20 Audit and Risk workplan and is scheduled to come forward during the November 2019 meeting (reporting for the period January 1, 2018 to April 30, 2019).

Fossil Free Lakehead Deputation Request

The Committee adopted a motion to invite Fossil Free Lakehead to attend an upcoming Board Finance and Operations Committee meeting (during the 2019-20 term), and that the Deputations by Appointment at Open Meetings of the Board of Governors apply to such deputation.

Policies Reviewed

During the year, the Committee reviewed the following policies:

- Approval Authority Policy

- Responsible Investment Policy
- Pension Plan Statements of Investment Policies and Procedures
- Responsible Investment Policy
- Endowment Management Policy
- Pension Plan for Professional Staff of Lakehead University

Other Reports, Updates and Presentations Received

- Strategic Enrolment Management update
- 2019-20 tuition fees and miscellaneous fees

Recommendations made to the Board of Governors

- Approval of amendments to the Approval Authority Policy
- Approval of the 2019-20 tuition fees
- Approval of amendments to the Statement of Investment Policies and Procedures, Lakehead University Pension Plan
- Approval of amendments to the Endowment Management Policy
- Approval of amendments to the Pension Plan for Professional Staff of Lakehead University text
- Approval of amendments to the Statement of Investment Policies and Guidelines for Trust and Endowment Funds
- Approval of amendments to the Statement of Investment Policies and Guidelines for Restricted Internal Funds

Received at Every Meeting

- Operating and ancillary update
- Investment report
- Workplan progress report
- Board meeting schedule

In Camera

The Committee discussed other items of business that were sensitive or confidential in nature that will be reported to the Board of Governors in an in camera annual report.



Statement of Investment Policies and Guidelines for Trust and Endowment Funds

Category: Financial;

Jurisdiction: Vice President, Administration and Finance; Board Finance & Operations Committee;

Approval Authority: Board of Governors;

Established on: February 2001;

Amendments: October 1, 2015; April 26, 2018; <<Insert Date 2019>>.

1. Introduction

This Statement of Investment Policies and Goals (the "Statement") replaces the Statement of Investment Policy and Goals for the Trust and Endowment Funds (the "Funds") of Lakehead University (the "University"). This policy statement is issued for the guidance of Fund fiduciaries, and investment managers. It is intended to be consistent with all federal and provincial legislation applicable to investments of the Trust and Endowment Funds.

The purpose of this policy statement is to provide guidelines for the segregation of funds held as trusts and endowments and for the investment, monitoring and reporting on the management of these funds.

The responsibilities of the Finance and Operations Committee (the "Committee") relating to the investment of Fund assets are included in the "Administrative Guidelines for the Finance and Operations Committee of the Lakehead University Trust and Endowment Funds" which is set forth in Appendix I.

This Statement will be reviewed annually and may be revised to reflect changes in objectives, Fund risk characteristics, and business and financial market conditions.

This Statement was revised as part of an exercise reviewing the overall asset mix of the Funds.

2. Identification of Fund Type and Liabilities

The Trust and Endowment Funds of Lakehead University comprise the following three funds which are described below:

Donor Endowment Fund: Funds received and invested for the purpose of financing an ongoing scholarship, award or other commitment from annual earnings, such as a donation designated to provide a scholarship award out of the earnings derived from the investment of the donation money.

Other Donations Fund: Funds received and invested for the purpose of meeting certain commitments not to be considered as endowments, such as donations to directly pay a scholarship award.

University Fund: Funds received and invested from general revenues, capital, or other resources for purposes determined by the Board of Governors, such as the prior accumulation of excess University capital monies designated for scholarship purposes.

C. Risk Tolerance

The University's tolerance for risk with respect to the Funds can be defined as 'slightly below average', where average is defined as a typical 60% equity / 40% fixed income portfolio. A permanent loss of capital is the most important risk to be managed.

D. Objectives

The Funds' objective is to maintain purchasing power after spending, inflation, and applicable fees. Emphasis should be placed on downside protection in the management of the Funds. The Funds have a long-term investment horizon and are to be managed on a going concern basis. Further details on the way in which the Funds are established, maintained, and

administered are outlined in the University's 'Endowment Management Policy' which applies to all University endowments unless specifically exempted by the Board.

Success of the investment program is to be measured in both terms of relative performance versus appropriate benchmarks and absolute performance. Specific performance goals are outlined in Section F.

D. Liquidity

The Funds require a level of liquidity necessary to meet the annual spending requirements as determined by the Board of Governors and is subject to change from time-to-time.

Spending must be sourced from ongoing income and capital gains. The original principal cannot be used for spending requirements.

E. Asset Allocation and Rebalancing

Asset allocation or mix refers to the allocation assets of the Funds among the major asset classes, including, but not limited to, Canadian and global equities, Canadian bonds and cash. The Funds are currently invested in a balanced pooled fund and as a result this Statement adopts the target mix and permissible ranges outlined in the pooled fund's policy statement. Asset classes, asset allocation targets and permissible ranges for the Fund are set forth below.

Asset Class	Target*	Permissible Ranges*
Canadian Equities	22%	10 - 40%
US Equities	16%	10 - 50%
International Equities	16%	0 - 40%
Emerging Markets Equities	2.5%	0 – 10%
Bonds	38.5%	30 - 50%

Cash Equivalents	5%	0 - 20%
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** As a percentage of the Total Fund*

In instances where the Funds are invested in a balanced pooled fund, the investment manager is responsible for rebalancing the pooled fund as necessary to ensure the minimum and maximum thresholds are not breached. In cases where pooled funds of multiple managers are invested in to create a balanced portfolio, rebalancing will be performed by the custodian with the assistance of the investment consultant.

F. Performance Goals

The absolute return objective of the Fund is to achieve a rate of return equal to or greater than the level of inflation (defined as the Canadian Consumer Price Index or 'CPI') after disbursements and expenses.

The benchmark relative return objective of the Funds is to exceed by 0.50% the rate of return that would have been earned by the passive management of the Policy Benchmark:

Asset Class	Policy Mix	Asset Class Benchmark
Canadian Equity	22%	S&P/TSX Composite Index
US Equity	16%	S&P 500 in C\$
International Equity	16%	MSCI EAFE (net dividend withholding tax) in C\$
Emerging Market Equity	2.5%	MSCI Emerging Market (net dividend withholding tax) in C\$
Canadian Bonds	38.5%	FTSE TMX Canada Universe Bond Index
Cash	5%	FTSE TMX Canada 91 Day T-Bill Index

Total Benchmark	100%	Blended Return
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~~Where appropriate, the investment options and~~ The underlying asset class components/funds should match or exceed the rate of return achieved by the identified Asset Class Benchmark above and the median investment manager in a universe of comparable peers (where such a universe is available).

G. Investment Guidelines

Allowable investments include all permitted securities outlined in the policy statements of the pooled funds that the University is invested in. Investment managers must comply with, and attest to compliance with, the policy statements of the pooled funds invested in by the Funds.

H. Performance Monitoring and Review

The Committee will monitor the performance of the Funds, relative to the objectives and performance goals specified in the Statement no less than quarterly. The risk profile will also be monitored as measured by the standard deviation of monthly returns as well as risk-adjusted returns as measured by the Sharpe Ratio.

If an investment manager fails to achieve the performance goal over six consecutive quarters, the Committee will place the investment manager 'on watch' and consider if a review is required. The Committee will also monitor the investment manager's performance in each underlying asset class and may put the manager 'on watch' if an underlying component fails to meet the above criteria.

The Committee will also consider reviewing an investment manager when one or more of the following circumstances prevail:

- the investment manager's short-term underperformance is found to be a result of a change in the investment manager's investment style, process or discipline or a change in the key investment personnel;

- there is a significant change in the risk profile of the investment manager;
- the investment manager's investment style is no longer appropriate given the Funds' requirements;
- the investment manager's reporting and client service are unsatisfactory; or
- the Committee has concerns regarding the investment manager's ethics.

Notwithstanding the above, the Committee may recommend to the Board of Governors that a manager be terminated for any reason that the Committee deems appropriate. The Board of Governors may terminate a manager for any reason in the Board's sole discretion.

A formal review triggered by any of the above criteria will be conducted by the Committee, or a delegated party, and the process will include the following:

- i. A qualitative review of the manager will be prepared addressing the following criteria;
 - Organizational structure / changes
 - Personnel changes
 - Investment style / process
 - Risk controls
- ii. A quantitative report will be prepared considering risk and return performance relative to any appropriate benchmarks and peer universes;
- iii. The Committee will consider whether the benchmark objective(s) continue to be appropriate;
- iv. The Committee will decide whether there has been a fundamental change at the investment manager's operation which renders them no longer appropriate for the Fund's mandate; and
- v. If required, the Committee will conduct an investment manager search for a replacement investment manager, or a replacement investment manager for the identified asset class(es).

I. Responsible Investing

Effective November 24, 2016 the Board of Governors adopted a Responsible Investment Policy. The purpose of the Lakehead University Responsible Investment Policy is to ensure the University exercises its fiduciary duty in achieving the best Return on Investments (ROI) within a tolerable risk profile, in its Restricted Internal Funds and Trust and Endowment Funds; with a view to the impact of governance, environmental and social responsibility factors on the macro political economy, the investment market, and the public interest.

To that end, Lakehead University incorporates environmental, social, and governance (ESG) factors, as defined in the UNPRI, into the investment of all Restricted Internal Funds and Trust and Endowment Funds. The Responsible Investment Policy should be reviewed in conjunction with this Statement.

J. Securities Lending

A Securities Lending Program may be permitted, subject to review of the procedures and processes of the Custodian and the investment manager(s).

K. Conflict of Interest

The assets of the Funds shall not be used for the purpose of making loans, including loans to officers or employees of the Employer or their family members.

The Trustees have responsibility to oversee, disclose and correct any actual or perceived conflicts of interest on the part of all parties associated with the Fund or the investment of the assets of the Fund.

The Administrator and any of its officers and employees engaged in the administration of the Funds, or any Trustee or agent appointed by the Administrator or by the Trustees, shall not knowingly permit his or her interest to conflict with his or her duties or powers relating to the Funds or the investment of the assets of the Funds. Any actual or perceived conflict of interest shall be reported to the Trustees immediately and the Trustees shall be the sole arbiter in

determining whether the conflict of interest exists and, if so, shall take the necessary measures to remedy the situation.

L. Adoption

Subsequent to a recommendation from the Finance and Operations Committee, the foregoing Investment Policy was adopted by the Board of Governors at its meeting held on February 15, 2001, retroactive to November 8, 1999 and amended on April 26, 2018.

Appendix 1

Administrative guidelines for the Finance and Operations Committee of the Lakehead University Trust and Endowment Funds

The Finance and Operations Committee is responsible to the Board of Governors of Lakehead University. The Committee's purpose is to oversee the investment management and related administration of the Trust and Endowment Fund of Lakehead University.

The functions and responsibilities of the Committee with respect to the Trust and Endowment Fund are to:

- Identify providers of investment management, custody, and/or fund record-keeping. Such services may be provided by a single organization or by multiple vendors, and after due consideration the Committee shall select and recommend to the Board of Governors the most appropriate offerings for the Plan.
- Identify investment vehicles, whether segregated or pooled or mutual funds, that will satisfy the requirements of the Fund given investment preferences and tolerances for risk.
- Recommend to the Board of Governors the appointment of an investment performance measurement service to monitor the performance of the managers on a periodic basis.
- Recommend to the Board of Governors the replacement of investment managers or vehicles if managers have not performed satisfactorily or are not able to address the needs of beneficiaries or requirements of the Committee.

- The Committee is to periodically review various alternatives for more cost effectively or efficiently managing and administering the Fund's investments.
- Recommend to the Board of Governors, one or more investment management consultants to assist in any of the foregoing or other related functions and approve the fees.
- Review this Statement on an annual basis and recommend to the Board of Governors, any appropriate changes.

These administrative guidelines are intended to provide direction to the Committee but may be varied or changed from time to time by the Committee. The Statement should be reviewed annually by the Committee.

Investment Manager Communication and Reporting

The investment manager(s) is expected to meet at least annually or upon request of the Committee. Additionally, the investment manager(s) are expected to provide:

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- 1) INITIALLY, a written statement acknowledging acceptance of the Statement of Investment Policy and Guidelines and the performance standards therein stated;
- 2) statements to be provided that include:
 - A. the monthly cost and market value of fund shares, the number of shares owned and all principal and income cash transactions for the various funds.
 - B. On a quarterly basis, in addition to the monthly report, the investment manager(s) will supply a statement showing for each fund offering:
 1. the fund holdings broken out, minimally, by equity, fixed income, cash equivalents and uninvested cash balances and
 2. fund positions, by individually-named securities
- 3) QUARTERLY, a report, within 30 days after the end of each calendar quarter, in the following format:

A. Review of Organizational Structure

- 1) Organizational changes of investment managers (i.e. ownership, staff, clients)
- 2) Assets and accounts under management for those firms in total and by product
- 3) Product asset growth, for product(s) utilized by the University, for each of the last three years

B. Summary of Investment Guidelines

- 1) Summarize guidelines and objectives
- 2) Discuss adherence to guidelines
- 3) Provide any comments and suggestions regarding policy constraints, guidelines, etc.

C. Review of Investment Process and Evaluation of Portfolio Management

Process for Investment Manager(s)

- 1) Brief review of investment process
- 2) Discussion of any changes to the investment process
- 3) Investment strategy used over the past year and underlying rationale
- 4) Evaluation of current strategy's success/ disappointments
- 5) Current investment strategy and underlying rationale

D. Performance Review

- 1) Present total fund and asset class returns for last quarter, year-to-date, last year, last four years and since inception versus benchmarks designated in the investment manager guidelines
- 2) Discuss performance relative to benchmarks
- 3) Provide portfolio characteristics relative to benchmarks

E. Listing of Portfolio Holdings

- 1) Present book value and current market value
- 2) List individual securities by sector

F. Other Business

Includes any other comments or information

4) UPON WRITTEN OR ORAL REQUEST

A. Copies of all documentation in support of any investment activity.

B. Evidence of suitable insurance coverage of the investment manager'(s) fiduciary responsibilities.

Review Period: Annually;

Date for Next Review: 2019 [\[insert new review date\]](#);

Related Policies and Procedures: None;

Policy Superseded by this Policy: None.

The University Secretariat manages the development of policies through an impartial, fair governance process, and in accordance with the Policy Governance Framework. Please contact the University Secretariat for additional information on University policies and procedures and/or if you require this information in another format:

Open: Monday through Friday from 8:30am to 4:30pm;

Location: University Centre, Thunder Bay Campus, Room UC2002;

Phone: 807-346-7929 or Email: univsec@lakeheadu.ca.



Statement of Investment Policies and Guidelines for Restricted Internal Funds

Category: Financial;

Jurisdiction: Vice President, Administration and Finance; Board Finance & Operations Committee;

Approval Authority: Board of Governors;

Established on: October 2015;

Amendments: April 26, 2018; <<Insert Date 2019>>.

A. Introduction

This Statement of Investment Policies and Goals (the "Statement") serves as the investment policy of the restricted internal funds (the "Funds") of Lakehead University (the "University") that fall outside the scope of the Statement of Investment Policies and Goals of the Trust & Endowment Funds. This policy statement is issued for the guidance of Fund fiduciaries, and investment managers. It is intended to be consistent with all federal and provincial legislation applicable to investments of these Funds.

The purpose of this policy statement is to provide guidelines for the segregation of funds held in certain accounts outlined in Section B and for the investment, monitoring and reporting on the management of these funds.

The responsibilities of the Finance and Operations Committee (the "Committee") relating to the investment of Fund assets are included in the "Administrative Guidelines for the Finance and Operations Committee of the Lakehead University Trust and Endowment Funds" which is set forth in Appendix I.

This Statement will be reviewed annually and may be revised to reflect changes in objectives, Fund risk characteristics, and business and financial market conditions.

This Statement was created as part of an exercise reviewing the overall asset mix of the Funds.

B. Identification of Fund Type and Liabilities

The Funds of Lakehead University covered under the scope of this Statement comprise the following five funds which are described below:

Excess Borrowings:

Excess borrowings resulting from the issue of bonds in Fall 2005 and invested for the purpose of financing certain capital projects. These funds can be used for purposes described in the University's 'Use of Excess Borrowings Policy'.

LU Endowment Trust:

Funds set aside for either the Finnish Chair which is an externally restricted endowment or a Board Internally Restricted Endowment. A portion of the annual return of the Funds set aside for the Finnish Chair is required for annual spending and a portion of the return is added to the endowment.

Sinking Fund:

Funds set aside by the University to pay down principal and interest payments of certain capital projects that run past their original life. The Sinking Fund is mandatory and imposed by the Board of Governors.

Research Chairs:

Funds set aside and invested for the purpose of financing the ground-breaking research grants of the Lakehead University Research Chairs.

Residence Reserve:

Funds set aside and earmarked for the purpose of financing emergency spending with respect to the University’s residences.

C. Risk Tolerance

The University’s tolerance for risk with respect to the Funds varies by entity. The LU Endowment Trust Sinking Fund and Research Chairs can be defined as ‘slightly below average’, where average is defined as a typical 60% equity / 40% fixed income portfolio. A permanent loss of capital is the most important risk to be managed. These entities will be invested according to Asset Mix A. The Excess Borrowings and Residence Reserve can each be defined as ‘below average’. Short-term volatility should be taken into consideration in the management of these entities. These entities will be invested according to Asset Mix B.

D. Objectives

The Committee acknowledges that each of the entities serves its own unique purpose. However, the Funds’ shared objective is to maintain purchasing power after spending, inflation, and applicable fees. Emphasis should be placed on downside protection in the management of the Funds. With the exception of the Sinking Fund, the entities will be managed on a going concern basis. The investment horizon of the Funds varies by entity and can be summarized by the following table:

	Excess Borrowings	LU Endowment Trust	Sinking Fund	Research Chairs	Residence Reserve
Investment Horizon	Long-term	Uncertain	Term of non-amortized debt. 10+ years	Long-term	Long-term

Success of the investment program is to be measured in both terms of relative performance versus appropriate benchmarks and absolute performance. Specific performance goals are outlined in Section F.

D. Liquidity

The liquidity requirements of the Funds vary by entity and can be summarized by the table below. The entities require a level of liquidity necessary to meet any spending requirements which can also be summarized by the table below and may change from time-to-time.

	Excess Borrowings	LU Endowment Trust	Sinking Fund	Research Chairs	Residence Reserve
Liquidity Requirements	High need for liquidity due to uncertainty in spending levels	Low	Specific upcoming obligations (principal repayment)	Low	Emergency Funding
Spending Requirements	Ad hoc and significant in magnitude	Spending in relation to Finnish Chair	Future principal repayments	\$300,000 Annually	Ad hoc and small in magnitude relative to account size

E. Asset Allocation and Rebalancing

Asset allocation or mix refers to the allocation assets of the Funds among the major asset classes, including, but not limited to, Canadian and global equities, Canadian bonds and cash. The Funds are currently invested in a balanced portfolio comprised of underlying pooled funds. Asset classes, asset allocation targets and permissible ranges for the Fund are set forth below as determined by the Committee with help from the investment consultant.

Asset Mix A

Asset Class	Target*	Permissible Ranges*
Canadian Equities	15%	5 - 25%
Global Equities	40%	30 - 50%
Bonds	45%	35 - 55%
Cash Equivalents	0%	0 - 15%

Asset Mix B

Asset Class	Target*	Permissible Ranges*
Canadian Equities	5%	0 - 10%
Global Equities	15%	5 - 25%
Bonds	75%	65 - 85%
Cash Equivalents	5%	0 - 20%

* As a percentage of the Total Fund

In instances where the Funds are invested in a balanced pooled fund, the investment manager is responsible for rebalancing the pooled fund as necessary to ensure the minimum and maximum thresholds are not breached. In cases where pooled funds of multiple managers are invested in to create a balanced portfolio, rebalancing will be performed by the custodian with the assistance of the investment consultant.

F. Performance Goals

The absolute return objective of the Funds is to achieve a rate of return equal to or greater than the level of inflation (defined as the Canadian Consumer Price Index or 'CPI') after disbursements and expenses.

The benchmark relative return objective of the entities invested in accordance with Asset Mix A is to exceed by 0.50% the rate of return that would have been earned by the passive management of the Policy Benchmark:

Asset Class	Policy Mix	Asset Class Benchmark
Canadian Equity	15%	S&P/TSX Composite Index
Global Equity	40%	MSCI ACWI Index (net dividend withholding tax) in \$C
Canadian Bonds	45%	FTSE TMX Canada Universe Bond Index
Cash	0%	FTSE TMX Canada 91 Day T-Bill Index
Total Benchmark	100%	Blended Return

The benchmark relative return objective of the entities invested in accordance with Asset Mix B is to exceed by 0.25% the rate of return that would have been earned by the passive management of the Policy Benchmark:

Asset Class	Policy Mix	Asset Class Benchmark
Canadian Equity	5%	S&P/TSX Composite Index

Global Equity	15%	MSCI ACWI Index (net dividend withholding tax) \$C
Canadian Bonds	75%	FTSE TMX Canada Universe Bond Index
Cash	5%	FTSE TMX Canada 91 Day T-Bill Index
Total Benchmark	100%	Blended Return

~~Where appropriate, the investment options and~~ The underlying asset class components/funds should match or exceed the rate of return achieved by the identified Asset Class Benchmark and the median investment manager in a universe of comparable peers (where such a universe is available).

G. Investment Guidelines

Allowable investments include all permitted securities outlined in the policy statements of the pooled funds that the University is invested in. Investment managers must comply with, and attest to compliance with, the policy statements of the pooled funds invested in by the Funds.

H. Derivatives Guidelines

The Committee is willing to accept the policies of the pooled funds which the Funds are invested in including any guidelines related to the use of derivatives.

The manager's equity strategies may selectively enhance yield with derivatives strategies such as covered calls, call spreads or put spreads, or hedge up to 100% of their foreign currency exposure.

I. Performance Monitoring and Review

The Committee will monitor the performance of the Funds, relative to the objectives and performance goals specified in the Statement no less than quarterly. The risk profile will also be monitored as measured by the standard deviation of monthly returns as well as risk-adjusted returns as measured by the Sharpe Ratio.

If an investment manager fails to achieve the performance goal over six consecutive quarters, the Committee will place the investment manager 'on watch' and consider if a review is required. The Committee will also monitor the investment manager's performance in each underlying asset class and may put the manager 'on watch' if an underlying component fails to meet the above criteria.

The Committee will also consider reviewing an investment manager when one or more of the following circumstances prevail:

- the investment manager's short-term underperformance is found to be a result of a change in the investment manager's investment style, process or discipline or a change in the key investment personnel;
- there is a significant change in the risk profile of the investment manager;
- the investment manager's investment style is no longer appropriate given the Funds' requirements;
- the investment manager's reporting and client service are unsatisfactory; or
- the Committee has concerns regarding the investment manager's ethics.

Notwithstanding the above, the Committee may recommend to the Board of Governors that a manager be terminated for any reason that the Committee deems appropriate. The Board of Governors may terminate a manager for any reason in the Board's sole discretion.

A formal review triggered by any of the above criteria will be conducted by the Committee, or a delegated party, and the process will include the following:

- i. A qualitative review of the manager will be prepared addressing the following criteria;
 - Organizational structure / changes
 - Personnel changes
 - Investment style / process
 - Risk controls
- ii. A quantitative report will be prepared considering risk and return performance relative to any appropriate benchmarks and peer universes;
- iii. The Committee will consider whether the benchmark objective(s) continue to be appropriate;
- iv. The Committee will decide whether there has been a fundamental change at the investment manager's operation which renders them no longer appropriate for the Fund's mandate; and
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The Administrator and any of its officers and employees engaged in the administration of the Funds, or any Trustee or agent appointed by the Administrator or by the Trustees, shall not knowingly permit his or her interest to conflict with his or her duties or powers relating to the Funds or the investment of the assets of the Funds. Any actual or perceived conflict of interest shall be reported to the Trustees immediately and the Trustees shall be the sole arbiter in determining whether the conflict of interest exists and, if so, shall take the necessary measures to remedy the situation.

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- Identify investment vehicles, whether segregated or pooled or mutual funds, that will satisfy the requirements of the Fund given investment preferences and tolerances for risk.
- Recommend to the Board of Governors the appointment of an investment performance measurement service to monitor the performance of the managers on a periodic basis.
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 2. fund positions, by individually-named securities
- 3) QUARTERLY, a report, within 30 days after the end of each calendar quarter, in the following format:
 - A. Review of Organizational Structure**
 - 1) Organizational changes of investment managers (i.e. ownership, staff, clients)
 - 2) Assets and accounts under management for those firms in total and by product
 - 3) Product asset growth, for product(s) utilized by the University, for each of the last three years
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 - 1) Summarize guidelines and objectives
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E. Listing of Portfolio Holdings

- 1) Present book value and current market value
- 2) List individual securities by sector

F. Other Business

Includes any other comments or information

- 4) UPON WRITTEN OR ORAL REQUEST

A. Copies of all documentation in support of any investment activity.

B. Evidence of suitable insurance coverage of the investment manager'(s) fiduciary responsibilities.

Review Period: Annually;

Date for Next Review: 2019;

Related Policies and Procedures: None;

Policy Superseded by this Policy: None

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ANNUAL REPORT TO THE BOARD OF GOVERNORS – October 3, 2019

From: Barbara Eccles, Secretary, Board of Governors and Secretary, Learning and Research Committee

Subject: Learning & Research Committee (BLRC) Annual Report

Committee Members: *Dr. Michel Beaulieu; Dr. Christine Gottardo; Dr. Moira McPherson; Mr. Sean Speer; Mr. David Tamblyn (Acting Chair); Nathan Wainwright*

Committee Chair, Ms. Catherine Siemieniuik resigned from the Board on July 22, 2019.

As of April 1, 2019, the Ogimaawin-Aboriginal Governance Council member seat became vacant following the resignation of Board member Elder Gerry Martin.

The BLRC met four times (November 7, 2019; January 16, 2019; February 13, 2019; September 11, 2019 - meeting held without quorum) during the 2018-19 term. Two schedule meetings (April 11, 2019; May 15, 2019) were cancelled due to not enough business coming forward.

Committee Overview/Orientation

During the first meeting, the Committee received and reviewed:

- Terms of Reference
- Committee Performance Evaluation (from the previous term 2017-18)
- 2018-19 agenda topics list
- 2018-19 proposed Workplan

The Committee approved their Workplan and the list of suggested agenda topics for the term and reports that all Workplan items not completed will be carried forward to the 2019-20 term.

Performance Evaluations

Members had an opportunity to complete the 2018-19 Committee Performance evaluation. It is planned that the results of this survey be reviewed by the 2019-20 Committee at their first meeting in November 2019. It was recommended that it may be beneficial to have all new Board members serve on the BLRC during their first year so that they can learn about the academic and research mandates of the University.

Outreach Events - Peoples Potato

A number of Board members committed to personally donating money to the Lakehead University Student Union (LUSU) People's Potato initiative. Moneys donated allowed for six hot lunches to be served to students during the months of March – April, 2019. Members volunteered in conjunction with the LUSU Board of Directors when possible.

Lakehead University Student Union (LUSU) Executive Session

The LUSU Executive joined the Committee for a luncheon on January 16, 2019 and visited the Committee on September 11, 2019. LUSU gave an update on several current and future student related initiatives and goals.

Presentations/Reports Received

- University Rankings: Re\$earch Infosource and Maclean's
- Lakehead University Agricultural Research Station (LUARS)
- 2019 Research and Innovation Week (schedule and agenda)
- Aboriginal Initiatives
- Lakehead University Research Plan Consultation
- Lakehead University Student Recruitment Videos
- Institutional Quality Assurance Process (IQAP) Annual Report
- Liaison Updates

Motions Approved

- Approval to recommend the new Student Code of Conduct – Non-Academic Policy and the Student Code of Conduct – Appeal Policy, as it relates to the Student Code of Conduct – Non-Academic Policy and to rescind the Code of Student Behaviour and Disciplinary Procedures, conditional upon Senate also approving the rescission of the Code of Student Behaviour and Disciplinary Procedures and the establishment of the Student Code of Conduct – Academic and the Student Code of Conduct – Appeal Policy as it relates thereto.

Received at Every Meeting

- Report from the President
- Workplan progress report
- Meeting schedule



MEMORANDUM

Board Meeting Date: October 3, 2019

From: Moira McPherson, President and Vice-Chancellor

To: Board of Governors of Lakehead University

Subject: **Recommendations for Appointment of Faculty Members to Judicial Panel**

Background: The *Student Codes of Conduct (Academic Integrity and Non-Academic)* (the “Codes”) are intended to ensure consistency and fairness for every student in the University through the consistent application of the procedures for the adjudication of cases of student academic and non-academic misconduct.

Judicial Panel members hear appeals of decisions made by Judicial Officers under the Codes. Article II, Sections 2.01 and 2.02 of the *Student Code of Conduct – Appeal Policy* require the Board to appoint 8 tenured faculty members to the Judicial Panel on the recommendation of the President, and 7 students on the recommendation of the Lakehead University Student Union (LUSU). The LUSU recommendations have been presented separately. The members of the Judicial Panel shall be appointed for up to three (3) year renewable staggered terms.

To fill the eight faculty member positions, a call for expressions of interest to serve was circulated.

RECOMMENDATION: To ensure continuity on the Judicial Panel as well as a balanced and diverse membership, I recommend the following five faculty members who have experience serving as Judicial Panel members:

- Kristin Burnett, Indigenous Learning (three (3) year term)
- Ron Davis, Psychology (three (3) year term)
- Susan Scott, School of Social Work (Orillia) (two (2) year term)
- Tamara Varney, Anthropology (three (3) year term)
- Gerald Walton, Faculty of Education (two (2) year term)

and the remaining three vacancies be filled with new members as follows:

- Mariette Brennan, Faculty of Law (one (1) year term)
- David Law, Biology (Orillia) (one (1) year term)
- Naqi Sayed, Faculty of Business Administration (one (1) year term)

Terms of all members shall commence immediately following the October 3, 2019 Board of Governors meeting to the close of the Board’s Annual meeting in the year their term expires.

Sexual and Gender-based Violence Adjudication Panel

Proposed Appointees for 2019 – 2020

Section 11.5. 2 of Lakehead University's *Sexual and Gender-based Violence Response Policy* provides that:

The Panel will be selected from a pool of up to fifteen (15) people who are: tenured members of the faculty of the University, senior administrators of the University, other Employees of the University or individuals of the community with knowledge and training with respect to sexual and gender based violence. The members of the pool shall be appointed in each year by the Board of Governors on the recommendation of the President of the University.

Section 11.5.3 provides that:

The Panel assembled by the Office of Human Rights and Equity shall have no conflict of interest with the Complainant or Respondent. All Panels must have University representation whereas Community representation is not mandatory. Expertise on sexual and gender based violence and procedure, as well as a legal advisor, will be available to the Panel and coordinated by the Office of Human Rights and Equity.

#	Name	Category	Position	Returning Member (Yes/No)	Details
1	CONWAY, Phil	Community Member	Contractor, Simcoe County District School Board (retired)	Yes	-
2	DAVIS, Ron	Tenured faculty	Associate Professor, Department of Psychology	Yes	-
3	GAGAN, Kimberley	Senior Administrator	Director, Community Legal Services	Yes	-

4	HOWELL, Julie	Employee	Education Programs Officer, Undergraduate Studies in Education	Yes	-
5	KORTES-MILLER, Kathy	Non-tenured Faculty	Assistant Professor, Department of Social Work	No	Trained as a social worker with courses related to sexual violence. Volunteered with a university sexual assault centre for six months.
6	LAREDO, Thamara	Tenured Faculty	Associate Professor, Centre of Excellence in Sustainable Mining & Exploration	No	Served as Chair on the 2017-18 Sexual and Gender-based Violence Adjudication Panel. Received training on sexual and gender-based violence from the OHRE.
7	MURPHY, Jodie	Non-tenured Faculty	Assistant Professor, Department of Social Work	No	Twenty-years as clinical social worker working with women, where the majority of work has been in the healthcare system. Current research in unfounded sexual assault.
8	ROTH, Jenny	Tenured Faculty	Professor, Department of Women's Studies	No	Seventeen years of experience teaching in publishing on sexual and gender-based violence from an intersectional perspective. Scholarship background in critical legal studies on gender.
9	ROUSSEL, Yvonne	Employee	Associate University Secretary, University Secretariat	Yes	-
10	SANDERSON, Kathy	Non-tenured Faculty	Assistant Professor, Faculty of Business Administration	Yes	-

11	SCHARF, Deborah	Non-tenured Faculty	Assistant Professor, Department of Psychology	No	Registered clinical and health psychologist with expertise working with people who have experienced trauma. Studied sexual assault and related policies in the U.S. military. Served as a peer educator on sexual violence mitigation at the McGill Sexual Assault Centre.
12	SCOTT, Bryanna	Employee	Indigenous Education Programs Coordinator, Department of Aboriginal Education	Yes	-
13	SCOTT, Susan	Tenured Faculty	Associate Professor, Department of Social Work	No	Clinical social worker with experience in child welfare system, and worked on cases of sexual violence. Worked with sexual violence issues in the context of domestic violence, human rights, justice system, and policing. Experience teaching in social work courses on sexual violence.
14	WAKEFIELD, Joy	Non-tenured Faculty	Contract Lecturer, Faculty of Law / Lawyer, Legal Aid Ontario	Yes	-
15	WARBURTON, Rachel	Tenured Faculty	Associate Professor, Graduate Coordinator, Department of English	Yes	-



REPORT TO THE BOARD OF GOVERNORS

From: Dr. Christine Gottardo

Board Meeting Date: October 3, 2019

Subject: Senate Report

September 16, 2019 Senate Meeting

Dr. Barnett spoke to the accomplishments of each Contribution to Teaching Award recipient being honoured at the Senate meeting. Dr. McPherson presented a certificate to each of the following recipients:

- Dr. Frances Chapman, Faculty of Law
- Dr. Kristen Jones-Bonofiglio, School of Nursing
- Dr. Aislin Mushquash, Department of Psychology

The following recipients joined the Senate meeting from the Orillia campus, and it was noted their certificates would be presented by Dr. Jobin-Bevans at a later date:

- Dr. Frederico Oliveira, Department of Anthropology
- Dr. Beth Visser, Department of Interdisciplinary Studies and Psychology

It was noted that Dr. Leonard Hutchison from the Faculty of Natural Resources Management was also a Contribution to Teaching Award recipient but was unable to attend the Senate meeting.

The Senate referred changes to academic programs, academic regulations and academic admission requirements (known as “calendar changes”) to the appropriate Senate committees for consideration. Before appearing on the Senate agenda for referral to a committee, each calendar change has already been approved by a Faculty Council and the appropriate Dean(s). If the proposed calendar changes are approved by the Senate committees, they will be brought back to Senate for final approval. This is a very thorough vetting process that includes input from academic units and the Registrar’s office as well as consideration of potential budgetary implications. The establishment and revision of academic programs, regulations and admission requirements is a primary function of Senate as set out in the Lakehead University Act, 1965.

The reports of the Senate Academic Committee, Senate Research Committee, and the Senate Teaching and Learning Committee were circulated in advance of the meeting.

The Senate Teaching and Learning Committee provided notice that a motion to approve the creation of a Teaching Support Award and its associated policy will be brought forward to the November 4, 2019 Senate meeting.

The Senate approved the following motions:

- MOVED that Dr. Michel Beaulieu be appointed to the Senate Honorary Degrees Committee as the Alumni Association Board of Directors member with the term commencing immediately to June 30, 2020.
- MOVED that Dr. Alexandra Drawson be appointed as an External Adjunct Professor in the Department of Psychology for the term commencing July 1, 2019 to June 30, 2023.
- MOVED that the following adjunct professor recommendations be approved:
 - Dr. Hui Qun Deng, be appointed as an External Adjunct Professor in the Department of Computer Science for the term commencing May 1, 2019 to April 30, 2023.
 - Dr. David Savage, be appointed as an External Adjunct Professor in the Department of Computer Science for the term commencing May 1, 2019 to April 30, 2023.
 - Dr. Gautam Srivastava, be appointed as an External Adjunct Professor in the Department of Computer Science for the term commencing May 1, 2019 to April 30, 2023.
- MOVED that the attached Lakehead University Student Union appointment recommendations be approved.

The Senate was provided with the following items for information:

- Adjunct Professor Renewals
- Late Additions to the List of Graduands
- Election Updates
- Board of Governors Report
- President's Report
- Report on Student Appeals 2018-2019
- Interim Provost & Vice-President (Academic) Report
- Council of Ontario Universities Academic Colleagues Report
- NOSM Activity Report

SEPTEMBER 2019



DEAN'S REPORT

TO THE **NOSM** BOARD OF DIRECTORS

DR. SARITA VERMA, DEAN, PRESIDENT, AND CEO

This first report of the Dean, President and CEO to the Board will be unusual as it represents a unique stage of the job, and with no previous discussion about performance goals, and is based on impressions over 2.5 months that may frame the next 5 years and the next NOSM Strategic Plan. This report is intended to keep the Board apprised of high level issues. In the past 79 days (since my start date of July 1), I have had a very productive time, meeting with many stakeholders, introducing myself and my vision, consulting with and listening to a multitude of voices in the North, across NOSM's campuses and with NOSM partners, faculty, students and staff. I met weekly with the exiting Dean and learned from him how decisions were made, what areas were at highest risk and what his priorities were in achieving the last Strategic Plan.

I became acquainted with the people at NOSM and learned the political dynamics of the senior group. I began to assess funding, hazardous files and how the culture works including how a system used to one way of 'doing things' may perceive me as a leader. Importantly, I am still assessing how it might receive any shifts in strategy and what internal and external changes will be necessary to support new directions for NOSM. I also began meeting with key partners, portfolios, politicians and government bodies. This report, I hope will establish a solid path toward productive relationships between the CEO and key stakeholders—including, most crucially, you, the Board members. I have identified 5 performance goals for this first year up to May 2020.

They are:

- 1. Transition as the new Dean, President and CEO**
- 2. Cultivating Northern Ontario Relationships with an emphasis on Indigenous Communities**
- 3. Advancing External and Government Relations for Growth and Sustainability**
- 4. Consultation and Development work on the new Strategic Plan**
- 5. Completing UME Accreditation and IQAP**

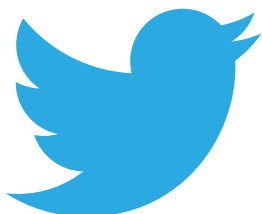
As part of goal # 4, strategies to achieve financial sustainability, increasing NOSM's role as a government initiative, and program expansion are being developed as are the plans for a fundraising campaign. The follow up and implementation of the Report of the Expert Panel on Indigenous Relations is a major priority as is a two-campus review for efficiencies, space planning and human resource capacity. Curricular renewal addressing the impact of technology, social determinants of health, climate change and artificial intelligence, a wellness task force and exploring new degree programs are also underway.

Goal	Timeline	Tactics	Outcomes
Transition as the new Dean, President and CEO	July 1 2019 – May 31 2020 First Report time frame July 2 2019 – September 18 2019	<ul style="list-style-type: none"> • Media • Social Media • Blog and Video • Public Presentations and Events Meets and Greets: <ul style="list-style-type: none"> • Open Houses • Meet Camp Med and student groups • Meet Board members 1-1 • Understand roles of senior portfolios, high risk files, financial sustainability and academic leadership continuity. 	<ul style="list-style-type: none"> • Established Name and Brand • Transparency on Policy and Procedures • Managed Role of outgoing Dean • Reframing of role of Dean President and CEO • Change management through consistent and accessible communication • PRESENCE on both campuses
Recruitment of Leadership Team	First Report time frame July 2 2019 – December 2019	<ul style="list-style-type: none"> • Portfolio reviews • Strategic Reorganization 	<ul style="list-style-type: none"> • Revised job descriptions and postings for Associate Dean Postgraduate Medical Education and Health Sciences Programs; Associate Dean Research, Innovation and International Relations; Associate Dean Undergraduate Medical Education. • Consultations about Associate Dean Faculty Affairs, CEPD and Health System Innovation; Associate Dean Equity, Diversity and Northern Ontario Relations. • Appointments of Chief of Staff Office of the Dean and Executive Assistant; Corporate Secretary & Manager of Policy Governance; • Recruitment Manager Advancement; Alumni Affairs Officer.
Cultivating Northern Ontario Relationships with an emphasis on Indigenous Communities	July 1 2019 – May 31 2020	<ul style="list-style-type: none"> • Outreach to all key partners Laurentian, Lakehead, Health Sciences North (HSN), Thunder Bay Regional Health Science Centre (TBRHSC), • Francophone Reference Group (FRG) • Indigenous Reference Group (IRG) • Council of Elders (COE) • Provincial Territorial Organizations (PTO) 	<ul style="list-style-type: none"> • Messaging of change in decanal leadership • Reestablished strategic commitment to Northern Ontario • Defused significant tension with Indigenous representatives (IRG and COE July 19 2019) • Clarification of roles of IRG, co-chairs, Council of Elders, Indigenous Health Committee of Academic Council, Indigenous Affairs Unit (IAU) and IAU Director

<p>Advancing External and Government Relations for Growth and Sustainability</p>	<p>July 2 2019 – May 31 2020</p>	<ol style="list-style-type: none"> 1. Ongoing advocacy efforts: Meetings with Ontario Ministers of Health (MOH) and Training, Colleges and Universities (TCU), Minister Crown Indigenous Relations, Minister Indigenous Services and Minister Intergovernmental and Northern Affairs Meetings with political representatives, MPs, MPPs, Ministers 2. Outreach to Municipalities (including Mayors/Reeves, Federation of Northeastern Ontario Municipal Association and Northwestern Ontario Municipal Association) 3. Work with/support local Ontario Health Teams (OHT) as they emerge in Northern Ontario 4. Working with AHSCs for integration 5. Meetings and representation with the Association of Faculties of Medicine of Canada (AFMC), Council of Ontario Faculties of Medicine (COFM), Canadian Medical Association (CMA), Ontario Medical Association (OMA), Ontario Hospital Association, Ontario Health, Ontario Mining Association 	<ol style="list-style-type: none"> 1. Application to MTCU's Northern Sustainability Fund (re: tuition reduction) <ul style="list-style-type: none"> • Achieve Collaborative Sustainability Assessment Phase 2 (led by MOH, MTCU) to help address NOSM's structural deficit • Business Case Submission of Proposed Business Plan for Health Human Resource Planning and Service Delivery • Confirmation from MOH/MTCU to explore opportunity for new (refreshed) Business Case (BC) for NOSM (i.e. NOSM still operates under original BC from 2002) • Forward planning for changes in health, education and workforce policy and working with the Northern Physicians Resources Task Force 2. Meetings with key individuals/ representatives of municipal associations to obtain their letters of support/endorsement to NOSM's new business case proposals 3. Ensure academic/medical education is interwoven in the fabric/ establishment of new governance/ health services at new "integrated" (OHT) organizations across Northern Ontario 4. Completion of bilateral affiliation agreements <ul style="list-style-type: none"> • Working Groups on tripartite integration and relationships across Northern Teaching Hospitals Council 5. Participation on national and provincial committees <ul style="list-style-type: none"> • Advocacy for national and provincial strategies on HHR, Indigenous Health, Social Accountability, Northern Health, Climate Change, Wellness • Preparations for next phase of Alternate Funding Plan (NOAMA) negotiations
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Consultation and Development work on the new Strategic Plan	First Report time frame July 2 2019 – September 18 2019	<ul style="list-style-type: none"> • See Proposed Process for new Strategic Plan 	<ul style="list-style-type: none"> • Process for new plan underway.
Completing UME Accreditation and IQAP	First Report time frame July 2 2019 – September 18 2019	<ul style="list-style-type: none"> • Reassignment of oversight from Vice Dean Academic to Dean • Comprehensive review of status of all accreditation documents and standards requiring attention 	<ul style="list-style-type: none"> • Reorganisation of staffing and resource allocation. Appointment of Director, Quality Improvement and Strategic Management. • Timelines and schedules for communications and preparation of whole school. • Managing high risk areas such as human rights complaints or legal issues

NEW DEAN ENGAGEMENT



Increased Twitter followers to 1,270
(8/23/2019)

AUGUST 2019 SUMMARY

Tweets	Tweet impressions	Profile visits	Mentions	New followers
21	30.9K	470	33	47

JULY 2019 SUMMARY

Tweets	Tweet impressions	Profile visits	Mentions	New followers
63	88.6K	3,091	136	164

5

blogs
(8/27/19)

3366
Subscribers

Open Rate
42%

vs. 14.5% Industry Avg.

Click Rate
4.3%

vs. 1.6% Industry Avg.

92

Internal stakeholder Meetings

34

Media Mentions

2

Meet and Greet

Partners, Organizations and Committees:

- NOSM Indigenous Reference Group and Council of Elders
- Monique Rocheleau, NOSM Francophone Reference Group
- NOSM OPSEU Unit 1 and 2
- Lakehead University
- Laurentian University
- Health Sciences North
- Thunder Bay Regional Health Sciences Centre
- Ashininabek Nation
- Shkagamik-Kwe Health Centre



CMA Health Summit Conference

Government Relations:

- Federal Health Minister and local MP's
- Nickel Belt and Sudbury MPP
- Sudbury Mayor
- Ministry of Health and Long-Term Care
- Ministry of Training, Colleges and Universities

Community Events:

- July 1 Canada day multicultural parade and event
- Pride Breakfast
- CMA Health Summit

Student Engagement:

- Camp Med X 2
- NODIP Grad
- Convocation X 2
- Student Society Teleconference
- Pride Breakfast
- Lunch with students and Fed MOH
- Planned pub nights
- O week
- Resident Orientation
- PGY 1 core seminar

STRENGTHENING OUR RELATIONS: MOVING FORWARD WITH INDIGENOUS PEOPLES

SEPTEMBER 2019 | **PROGRESS REPORT**

Moving Forward Together

This plan serves as a living document accountable to all communities in Northern Ontario. Designed as a framework for ongoing work, the generative process that emerges will measure progress with regular reporting to the NOSM community while creating space for ongoing input and guidance. The School will invite all collaborators for ongoing input as we continue to address the spirit and intent of the United Nations Declaration on the Rights of Indigenous Peoples, The Truth and Reconciliation Calls to Action, and our own Expert Panel Report on Indigenous Relations.

This progress report includes sections from the original report to the Board in May with updates and new actions in **blue font**. There are five major domains to be addressed in this update about ongoing development of Indigenous Relations in response to the Expert Panel Report and with the arrival of the new Dean:

- Learner Recruitment and Support
- Curriculum Development and Delivery
- Cultural Safety and Anti Racism Training
- Decision Making
- Policies and Procedures

September 2019 Progress on Goals and Actions Planned for the Two-Year Period

Connecting With All Our Relations

NOSM has been hosting a series of focused planning sessions on the implementation of the Expert Panel Report within the breadth of our Indigenous relations. This process involves the assessment and prioritization of the recommendations and facilitated planning with identified leads. We are utilizing a user-centered planning approach that focusses on working backwards from an ideal future state and develops a path forward. Together we are embarking on a generative planning process that will result in shared goals and metrics. As mentioned in our report in May, the plan for the next two years involves building on our assets by strengthening our relations and increasing our capacity through strategic actions. The new Dean has also been meeting with individuals, groups and organizations to learn from them about how best to hear from all stakeholders, engage all voices and to have the highest degree of participatory decision making in NOSM's education, research and administrative programs.

Learner Recruitment and Support

Our goal is to ensure all Indigenous learners have seamless academic and cultural support to maximize their likelihood of success as learners and physicians in the future.

Notes on Actions initiated:

- Broadening relations with Indigenous student groups of the partner universities, Lakehead University and Laurentian University.
 - Efforts to create a “no wrong door” approach so learners can access service quickly.
- Strengthening admissions processes to improve recruitment and support for Indigenous applicants.
 - Identified need for improved pathways for applicants from rural and remote First Nations
 - New collaborations with existing science camps in Indigenous communities to integrate exposure to health sciences careers associated with NOSM
 - Exploration of enhancements to existing MMI preparatory sessions underway
- Strengthening relations between Indigenous Affairs, Learner Affairs and the Postgraduate Resident Wellness Office for improved academic and cultural support to Indigenous learners during medical school and residency related to both informal help and formal remediation.
 - These units are collaborating on establishing a co-location model and improving supports for all learners.
- Involving Elders who are representative of the diverse Indigenous communities and ways of knowing in Northern Ontario.
 - Efforts are being made to repair relations with elders involved in the foundation of the school as well as expand relationship with underrepresented communities and ways of knowing.
- Establishing a Knowledge Keepers Circle and formal roles for Elders/Knowledge Keepers within NOSM to support ceremonial/ spiritual/ cultural support to all learners.
 - Transition from Elder on Campus to Knowledge Sharing Circles.
 - Exploration of creation of Cultural Faculty positions
- Support continued cultural and community connection for Indigenous learners.
 - Exploration of various means of meeting needs, i.e. curriculum development, content delivery, counselling, medicine and spiritual practices.

Actions to be initiated by: June 2020

- Facilitating formal mentorship of Indigenous medical students by Indigenous faculty and residents, while ensuring that the mentors and mentees are supported through policies, resources and faculty / professional development to maximize the impact of the mentorship.
 - Executive group has approved funding for learners and faculty to connect with mentors, e.g. travel support to Nourish for Health Symposium and Indigenous Physicians Association of Canada Annual General Meeting & National Mentorship Forum.
- Recruitment discussion with Indigenous graduates underway for engagement as faculty, tutors, and mentors

- The Executive Group has approved one-time funding to support leadership development and/or coaching for Indigenous leaders at NOSM

Actions to be initiated by: June 2021

- Exploring the potential for implementing a distinctions-based approach to learner recruitment which will mean enhancing pathways for First Nations and Inuit youth towards health professional careers

Curriculum Development and Delivery

Curriculum Development and Delivery focused on Indigenous history, tradition and culture will be undertaken by Indigenous peoples.

- Changes to the 106 Preparatory and Debriefing session are being undertaken by Indigenous faculty and leadership, including:
 - Orientation to traditional medicines and foods with community knowledge holders
 - A focus of helping the learner explore bias and culture
 - Content delivery by diverse Indigenous knowledge keepers
 - Focussed, regional and distinctions based preparatory sessions in collaboration with Local Community Coordinators
 - Thematic debriefing circles facilitated by Indigenous knowledge keepers.
- Academic Council is creating an Indigenous Health Committee which will oversee the:
 - Development and implementation of a longitudinal spiral Indigenous health curriculum throughout the four years of medical school.
 - Integration of the core requirements for Indigenous health into the formal curriculum, resident assessment system and program evaluation of all residency programs at NOSM as outlined by the College of Family Physicians of Canada (CFPC) and Royal College of Physicians and Surgeons of Canada (RCPSC) through the identification of key competencies that build upon the roles within the CanMEDS Framework.
 - Development of an Academic Network focused on Indigenous Health
 - Development and implementation of a formal network for Indigenous faculty
 - Ensure the continuing professional development (CPD) in Indigenous Health for all clinical and non-clinical faculty members must be made mandatory.
 - Work collaboratively with NOAMA and the Associate Deans to develop mandatory academic deliverables related to Indigenous Health for the Local Education Groups (LEGs).

The idea of the Indigenous Health committee and the draft terms of reference have been presented to Academic Council and 3 input sessions with Indigenous faculty, the IRG Co-Chairs, elders, and learners occurred throughout the spring. Feedback has been received and the revised TOR will be brought back to Academic Council for approval this fall.

NOSM will be convening a summit on Indigenous Medical Education to explore and share best practices nationally and internationally in 2020. The purpose of this summit is to bring together leadership, ex-officio and potential committee members to explore best practices and lessons learned from other medical schools in relation to five thematic areas: Recruitment Pathways, Admissions, Curriculum Content and Delivery, Learner Supports, as well as Transitions to Residency and Practice.

Cultural Safety and Anti Racism Training

Cultural Safety and Antiracism Training is an organized, systematic approach that will involve everyone in the school in a progressive program with a series of sessions over time that each builds on the previous one.

Actions initiated:

- Under the leadership of the Director of Human Resources NOSM has developed an Anti-discrimination and anti-racism policy that applies to learners, faculty members and staff and an accessible and supportive process for reporting and follow-up.
- Cultural safety and anti-racism training will be provided for all faculty members, staff, residents, medical students and other learners.
 - Identification of existing resources and best practices in other institutions. NOSM specific materials being developed where gaps exist.
- All people who participate on the Admissions Committee and in the Admissions process will complete Indigenous Cultural Safety training and Intrinsic Bias training.
 - NOSM specific training for members of the Admissions and Indigenous Admissions Committees are in development.
 - Recruitment efforts will increase for Indigenous interviewers for the 2020 MMI

Actions to be initiated by: June 2020

- All Indigenous and non-Indigenous facilitators who lead sessions in the Indigenous health curriculum to be trained in anti-racist / anti-colonial pedagogical approaches
 - Indigenous Health Committee will lead these efforts.
- Developing sufficient support to create a safe learning environment for learners and facilitators to debrief following difficult sessions.
 - Learners and faculty have been engaged to identify where difficult sessions exist. Proactive planning underway to ensure debriefing needs are met.

Actions to be initiated by: June 2021

- Engage senior leadership at the academic health science centres, hospitals, and other clinical institutions / spaces that are associated with NOSM to ensure that they are culturally safe and supportive clinical learning environments for all learners, faculty members and staff. Consideration will be given to the inclusion of assessment of cultural safety and anti-racism in clinical evaluations of learners and on annual performance reviews and reappointments for faculty.

Decision Making

Contribution to decision making within NOSM by Indigenous Peoples relates to ensuring the relevance and realization of our social accountability mandate. With a strong internal commitment to honouring our responsibilities to Indigenous communities, NOSM is evolving our structures to strengthen the integration of Indigenous peoples and knowledge in our decision making processes.

Actions initiated:

- Engaging in bilateral negotiations with key Indigenous partners focused on appropriate relationships, governance and accountability mechanisms.
 - Negotiations are progressing at a respectful and natural pace. Specifically, a draft agreement with the Métis Nation of Ontario is being finalized and expected to be signed this fall. Anishinabek Nation does not have a mandate from their communities to engage in negotiations on their behalf, though we have met with the leadership and are improving bi-lateral relations. Nishnawbe Aski Nation and Grand Council Treaty #3 are currently engaged in regional health transformation initiatives. We are awaiting the completion of this work to provide guidance for the changes we will need to make to train health professionals to help meet their visions of transformed health systems in their territories.
- Evolution of the IRG into a distinctions-based model reflective of the diverse Indigenous peoples, health practices, and ways of knowing.
 - The most recent meeting of the IRG took place on July 19th. This was held with the Council of Elders present. The IRG agreed that it was time for a change as well that the term of the current chairs was over. The outcome was not to discharge the IRG until they had the opportunity to provide input and feedback to the report of the expert panel, after which the Dean would pursue several other ways to engage advisory roles for herself and for NOSM.
 - Within our region there are 4 distinct Indigenous nations including Anishinabek, Mushkegowuk, Métis, and Oji-cree. A distinctions based approach is being integrated into all relations with Indigenous peoples, current examples include:
 - Diversifying our relationships with elders and knowledge keepers to increase our capacity to provide cultural and community connections for learners and faculty.
 - Respecting the complexity of Indigenous political representation through bi-lateral relations.
 - Seeking diverse participation in planning and decision making processes.
- The creation of an Indigenous Health Committee of Academic Council that embeds Indigenous peoples throughout the academic decision making process.
 - The responsibilities of this committee are larger than the roles previously played by IRG by formalizing decision making and leadership roles.
- Establishing a Knowledge Keepers Circle to support continued cultural and community connections.
 - Efforts to repair relations and create a safe environment for foundational elders and valued knowledge keepers to re-engage are underway.
 - The Dean to personally be working closely with the Council of Elders already in existence who were appointed by ceremony and represent the 8 directions.

Actions to be initiated by: June 2020

- The creation of a Dean's level senior administrative position focused on Indigenous Health
 - There will be a posting soon for an Associate Dean Equity Diversity and Northern Relations. Indigenous academic leaders will be encouraged to apply for this position

Policies and Procedures

All NOSM Policies and Procedures require revision and updating to ensure freedom from colonial practices and systemic racism. These include policies relating to learners, human resources, planning, and community relations.

Actions initiated:

- Revision and updating of NOSM HR policies and procedures for recruitment and appointment of staff and faculty members.
 - Policies in need of revision are being identified and an exploration of best practices is underway.
 - Need to ensure Indigenous faculty are engaged once recruited
- Ensure a fair and safe admissions process, including the development and use of selection tools that assess for attitudes and behaviours related to Indigenous peoples in all applicants.
 - Evolution of the MMI process being explored
 - Best practices will be explored at the upcoming summit.
- Emergencies procedures for CBM 106 are being updated and communicated to all those responsible in issues related to student wellbeing or lapses in professionalism during the placements.
 - Emergency procedures updated and implemented.
 - Confidential committee of ICEPIC increased responsibilities in relation to professionalism and student wellbeing.
- Involve elders who are representative of the diverse First Nations and Métis communities that are served.
 - Efforts are being made to repair relations with elders involved in the foundation of the school as well as expand relationship with underrepresented communities and ways of knowing.
- Establishing an Elders/ Knowledge Keepers Circle to support the IAU/ new Indigenous Health Academic Unit/Network.
 - Asset-based approach to identify who can help meet the needs of the school.
- Employ a Distinctions-based approach to community engagement and evolution of the current Indigenous Reference Group into a new Indigenous Advisory Group
 - Ensuring relevant representation from the diverse nations and ways of knowing in Northern Ontario.

- Identify resources to allow NOSM to have more of a visible presence in the Indigenous communities it serves, with opportunities for Senior Administration, the Board, faculty and staff to visit and engage local leaders.
- Regional travel planning being centrally co-ordinated in the Dean's office so as to ensure in-person visits occur and resources are leveraged

Actions to be initiated by: June 2020

- Mentorship and leadership coaching will be made available to Indigenous leadership.
- The Executive Group has approved one-time funding to support leadership development and/or coaching for Indigenous leaders at NOSM
- Develop and implement an Indigenous Health Workforce Development Plan, including policies which require specific recruitment of Indigenous peoples for job opportunities.
- Integrate Indigenous planning into the larger strategic plan
- Medical school applicants will acknowledge and commit to meaningful and respectful participation in CBM 106.
- Engagement of the unions in the development of supportive policies.
- Integrate the assessment of cultural safety and anti-racism in hiring.
- Provide culturally appropriate professional assistance in mediation and conflict resolution.
- Establish a Code of Conduct that is clear and that people are equally held accountable to.
- Explore means of reporting, while protecting confidentiality, the number of complaints, investigations, and the outcomes in order to send a clear message about the unacceptability of culturally unsafe or racist behavior.

UME ACCREDITATION 2020

SEPTEMBER 2019 | **UPDATE**

A new [SharePoint Site](#) has been created that will be used to track and monitor Accreditation 2020 progress. The site will be maintained on daily basis, and at any given time anyone with a NOSM account can track the school's progress towards 2020. See below for available features.

Key milestones achieved:

- GQ Data was received from the AFMC on August 19th
- [Communications Plan](#) has been developed
- Final draft of Site Visit Schedule is undergoing minor edits

Medical School Self-Study – Update

The Medical School Self-Study is progressing well. New tools have been launched to assist Sub-Committee members. These include a Request for Clarification process to communicate back to element leads and a [Q&A section](#) on the Accreditation SharePoint Site.

Communications is ramping up, and two information sessions are being held for any Sub-Committee member that requires further guidance and support. See attached for communications materials developed.

Key Milestones achieved:

- GQ Data has been entered and is now available to Sub-Committee members
- Only 5 elements outstanding
- 95% of Appendices have been received (in either draft or final format) and are now available to Sub-Committee members

Upcoming Key dates:

- Second set of MSS Sub-Committee meetings schedule for the week of Sept 3rd
- MSS Report from Sub-Committees due Oct 15th

Key Accreditation 2020 Site Features include:

[Home Page](#)

The screenshot shows the 'Home' page of the Accreditation 2020 system. On the left is a sidebar with navigation links: Home, Status Report, MSS - Request for Cla..., MSS - Q&A, Site contents, Workplan, Recycle bin, and Edit. The main content area has a 'News' section with a post titled 'GQ Data' by Mathieu Litalien, dated 3 days ago, with 4 views. Below this is a section for 'MSS - Request for Clarification' with a table of active requests. The table has columns for Name, SubCommittee, Element Lead, Accountable EG, Status, EG Sign Off?, and Date Sent. Two requests are listed: one for 'MSS - Request for Clarification - Element 1...' with status 'Response Submitted' and date '8/20/2019', and another for 'MSS - Request for Clarification for 4.1.docx' with status 'Awaiting Response' and date '8/16/2019'. A 'Quick links' section on the right lists: Workplan, Completed Elements (inc. Appendices), Accreditation History - Status Report, MSS - Q & A, and MSS - Request for Clarification.

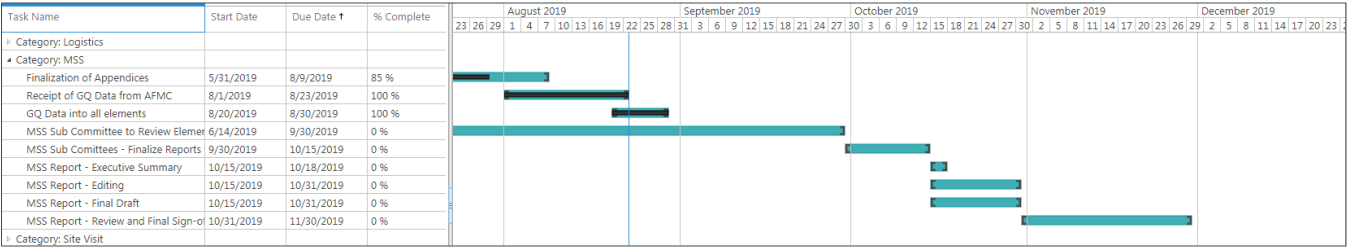
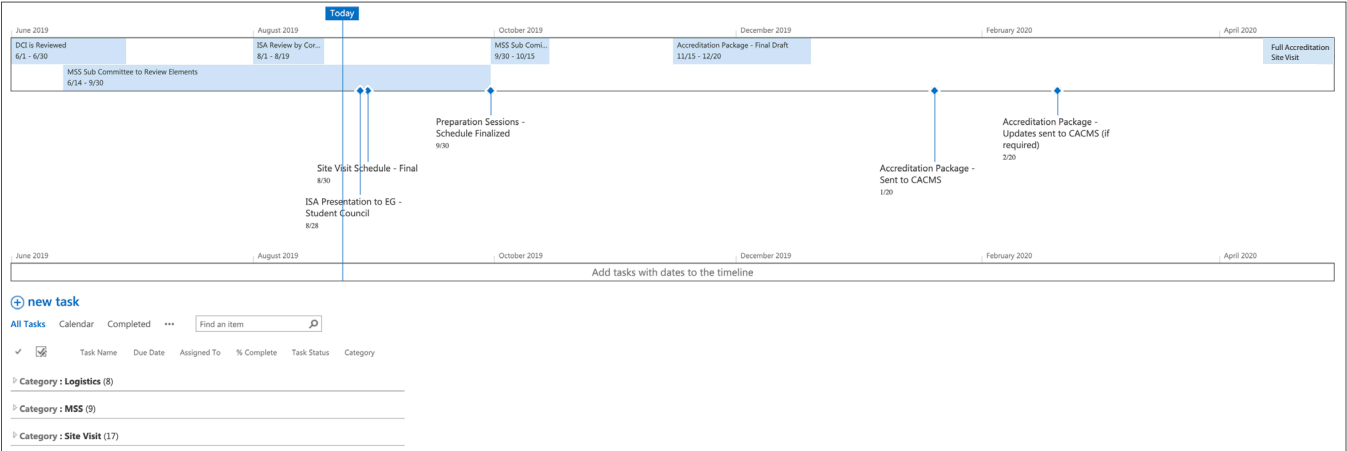
Name	SubCommittee	Element Lead	Accountable EG	Status	EG Sign Off?	Date Sent
MSS - Request for Clarification - Element 1...	Learning Env & Med Studi	John Friesen	Brian Ross	Response Submitted	No	8/20/2019
MSS - Request for Clarification for 4.1.docx	Administration	Anita Arella	Janice Willett	Awaiting Response		8/16/2019

[Status Report](#) – Comparing element ratings through the years up-until receipt of MSS ratings

Status Report

Title	Standard	2012 - Rating	2014 - Rating	2018 - Interim Revi...	2019 - MSS
Standard : Standard 01 (7)					
Standard : Standard 02 (6)					
Standard : Standard 03 (6)					
Element 3.1	Standard 03	N/A		No Issues	
Element 3.2	Standard 03	N/A		Requires Attention	
Element 3.3	Standard 03	N/A		Requires Attention	
Element 3.4	Standard 03	N/A		Requires Attention	
Element 3.5	Standard 03	NC	CM	No Issues	
Element 3.6	Standard 03	N/A		Requires Attention	

Workplan – A detailed listing of all action items, which includes start and end dates, staff accountable, and status. A timeline, detailed item listing and a Gantt chart view are all available depending on your preference.





Medical School Self-Study (MSS) Q&A Open Forums

Dear MSS Subcommittee Members,

Thank you to everyone who participated in our Q&A session poll and viewed the MSS support tools available on the [Accreditation UME – 2020 SharePoint page](#).

In response to the poll, we will be proceeding with two MSS Q&A Open Forums to be held:

- Wednesday, August 28 | 7:30 a.m. to 8:30 a.m.
- Thursday, August 29 | 12:00 p.m. to 1:00 p.m.

You will receive calendar invites with further details shortly.

Of note, most inquiries received thus far have pertained to the availability of GQ data and appendices.

Please be advised that the GQ data for 2019 has been received and is currently being inputted into the DCI with an expected completion date of August 30.

The appendices, both required and supplemental, for the elements are 95% complete. Some of the outstanding documents are still awaiting official approval, therefore, draft versions will be uploaded to provide you with the information necessary to complete your reports. Once the documents are approved, updated versions will be uploaded in SharePoint. Appendices are also hyperlinked directly in the Elements at the end of each document under Supporting Documentation for your ease of reference.

To check on the status of your assigned elements, you can visit this [SharePoint site](#) at any time to see the most up-to-date Element.

Should you have any questions or concerns please don't hesitate to contact us at MD.Accreditation@nosm.ca.

Thank you in advance for your time and dedication to quality improvement at NOSM.



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For immediate release – Wednesday, September 18, 2019

Media Release

NOSM Board Holds First Meeting with New Dean, President and CEO

Using a combination of web- and teleconference connectivity across Northern Ontario, the Northern Ontario School of Medicine (NOSM) held its Annual Members and Board of Directors meetings on Wednesday, September 18, 2019.

The Board welcomed the Chair, Dr. Robert Haché, President of Laurentian University and Dr. Sarita Verma, NOSM Dean, President and CEO for their first meeting of the NOSM Board.

Honorary Members Claude Lacroix, Laurentian Board of Governor's Chair and Ross Murray, Lakehead Board of Governor's Chair were in attendance for the Annual Meeting of Members.

In accordance with Board policy, Dr. Michel Bédard, Lucy Bonanno, Lori Flinders, Nancy Jacko, George Payne and Dr. William McCready were reappointed as Directors. The Board also welcomed two new Directors Juliette Denis and Donna Dorrington. They will each serve for a three-year term.

Juliette Denis born and raised in a small village of River Valley, Ontario is a retired Health Care Professional with an extensive career that spans over 35 years and now calls Hanmer, Ontario home. Juliette is a dedicated community volunteer, always striving to bring about positive changes. Juliette is a citizen of the Métis Nation of Ontario. She honours her mixed heritage and has played a leadership role in her Métis community as member of the Provisional Council of the Métis Nation of Ontario,

Donna Dorrington was born and raised in Sudbury, Ontario and attended Laurentian University for her undergraduate studies and later graduated from Queen's University Law School in 2003 and was called to the Bar in 2004. She began her legal career in Toronto, Ontario but within one year decided to move back to Northern Ontario and settled in Timmins, Ontario in 2006. She has practiced law in a number of small communities including the fly in communities of the James Bay Coast and areas along the Highway 11 and 17 corridor.

The audited financial statements for the year ending April 30, 2019 were approved as presented, and the Board approved the auditors for the fiscal year ending April 30, 2020.

Dr. Moira McPherson, Board Vice Chair presented Dr. Verma's 2019-2020 approved Performance Goals. Dr. Verma provided a Dean's Report for September that highlighted activities under her leadership since July 1, 2019, including an update on the Senior Academic Leadership recruitment, the Dean's Engagement Report, Strengthening our Relations Report, and the update on preparations for Undergraduate Medical Education Accreditation.

The Board approved the updated policy on Human Rights and Anti-Harassment Discrimination.



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"I'm happy to see an important policy like this applied across the whole school," says Dr. Haché. "It is critical in creating a culture of respect in working and learning environments and I look forward to seeing how NOSM will implement this in day-to-day practice."

During the meeting, the Board received an update on the development and work plan for the next Strategic Plan 2020-2025, including a report on the extensive work of Dr. Sarita Verma and Ray Hunt, COO on the emerging themes to support strategic planning from Dr. Verma's consultations, meetings and community visits since arriving on July 1, 2019.

Board members were reminded of important upcoming events being hosted by NOSM. The 14th annual [Northern Health Research Conference](#) is being held in Little Current, Ontario on September 20-21, 2019. A series of lectures in support of [Orange Shirt Day](#) on September 30th.

The next meeting of the Board of Directors is scheduled for November 27 & 28, 2019 in Thunder Bay.

For a complete list of Board members, please visit our website at nosm.ca/board.

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The Northern Ontario School of Medicine is committed to the education of high-quality physicians and health professionals, and to international recognition as a leader in distributed, learning-centered, community-engaged education and research.

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