



BOARD OF GOVERNORS MEETING

AGENDA

Date of Meeting:	October 1, 2020
Time:	9:00am – 1:00pm
Location:	Zoom Meeting Only
Zoom Meeting Information	
Remote participants can connect by clicking the link below and following the instructions to install and run the Zoom Client. Please remember to mute yourself when possible.	
Join Zoom Meeting: https://lakeheadu.zoom.us/j/96792388308 Meeting ID: 967 9238 8308	
For technical support phone 1-866-652-8657 or email multimed@lakeheadu.ca	
To test ahead of time visit https://zoom.us/test	
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WiFi Network: LUGuest / WiFi Password: LUGuest8	

Board of Governors Members: Robert Arnone; Michel Beaulieu; Ann Dumyn; Dr. Christine Gottardo; Angela Maltese; Brian McKinnon; Moira McPherson; Dawne Mowbray; Ross Murray (Chair); Anna Sampson; Sean Speer; David Tamblyn; Cathy Tuckwell; Maria Vasanelli; Murray Waboose; Wendy Walberg

Administrative Resources: Barbara Eccles (Secretary) - General Counsel & University Secretary; Marcie Morrison (Recorder) - Assistant University Secretary; Yvonne Roussel - Associate University Secretary

Invited Guests: Brandon Amoyt (Incoming Board of Governors Member); Claudine Cousins (Incoming Board of Governors Member); Debra Woods (Incoming Board of Governor); Michael Nitz (Incoming Board of Governors Member); Mark Smith (Incoming Board of Governors Member)

	Item	Presenter	Time
1.	Approval of Agenda MOVED that the agenda be approved.	Ross Murray	
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.	Ross Murray	
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.	Ross Murray	
4.	Approval of the June 5, 2020 Minutes	Ross Murray	
5.	Business Arising from the Minutes (not on the Agenda elsewhere)	Ross Murray	
6.	Chair's Report	Ross Murray	10min
7.	President's Report <ul style="list-style-type: none"> a. 2019-23 Strategic Plan Year End Implementation Report (Year 2) (WORKPLAN) b. Annual Report on Student Appeals 2019-20 c. Report on Appointments - for information 	Dr. Moira McPherson Dr. Heather Murchison Dr. Moira McPherson	10min 30min 5min
8.	Sexual and Gender Based Violence Adjudication Panel Pool Appointments (WORKPLAN, Deferred from June meeting) 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 2020 through to the close of the annual meeting in 2021	Dr. Moira McPherson	5min

	<p>pursuant to paragraph 11.5 of the Sexual and Gender Based Violence Response Policy:</p> <ol style="list-style-type: none"> 1. BUSET, Hope (new) 2. CHAPMAN, Frances (new) 3. CLIFFORD, Lorne (new) 4. GAGAN, Kimberley (returning) 5. LUKKAROINEN, Mari (new) 6. MacELHERON, Sabreena (new) 7. MURPHY, Jodie (returning) 8. NIITTYNEN, Miranda (new) 9. OINONEN, Kirsten (new) 10. ROUSSEL, Yvonne (returning) 11. TENIUK, Roy (new) 12. VAILLANCOURT, Anita (new) 		
9.	<p>2020-21 Judicial Panel Student Appointments (WORKPLAN, Deferred from June meeting)</p> <p>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 2020 through to the close of the annual meeting in 2021:</p> <ol style="list-style-type: none"> 1. Ritik Puri (new) 2. Shivam Khurania (new) 3. Clifford Mushquash (reappointment) 4. Tisha Kurmi (new) 5. Sarah Foulds (reappointment) 6. Cameo Sameshima (new) 7. Aria Kamal (new) 	Dr. Moira McPherson	5min
10.	<p>Executive Committee</p> <p><i>For information: The Board Executive Committee discussed items of business that were sensitive or confidential in nature. The approved minutes of the September 17, 2020 Board Executive Committee meeting were circulated to the Board of Governors for information with the in camera meeting package.</i></p>	Ross Murray	

11.	<p>Finance and Operations Committee</p> <p>a. Annual Report (WORKPLAN)</p> <p>b. Investment Resolution (WORKPLAN)</p> <p>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;</p> <p>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:</p> <ul style="list-style-type: none"> • 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 1, 2020 until the close of the annual meeting in 2021. <p>c. Responsible Investment Update (NEW)</p>	Angela Maltese	10min
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	<p>d. Lakehead University Employee Pension Plan (LUEPP) Text Amendment (NEW)</p> <ul style="list-style-type: none"> • Memo • Amendments/Resolution <p>MOVED to approve the resolution relating to the LUEPP Text Amendments 2020/23 that has been circulated with the meeting materials, conditional upon the said amendments also being recommended by the Pension Board and Pension Advisory Committee.</p>		
BREAK			
12.	<p>Audit and Risk Committee</p> <p>a. Annual Report (WORKPLAN)</p> <p>b. Approval of the 2019-20 Financial Statements of Lakehead University and the Independent Auditors' Report (WORKPLAN)</p> <ul style="list-style-type: none"> • Memo • 2019-20 Financial Statements of Lakehead University <p>MOVED to approve the 2019-20 Financial Statements of Lakehead University and accept the Independent Auditor's Report attached thereto.</p> <p>c. Appointment of Auditors (WORKPLAN)</p> <p>MOVED to appoint BDO Canada LLP as auditors of the University for the 2020-21 fiscal year.</p> <p>d. Research Ethics Board (REB) (WORKPLAN)</p> <ul style="list-style-type: none"> • Annual Report and Letter of Compliance <p>MOVED to accept the Research Ethics</p>	Ann Dumyn	10min

	<p>Board Annual Report and Letter of Compliance.</p> <ul style="list-style-type: none"> Proposed Amendments to the REB Terms of Reference MOVED to approve the amendments to the Research Ethics Board Terms of Reference. 		
13.	<p>External Relations Committee</p> <p>a. Annual Report (WORKPLAN)</p>	Brian McKinnon	10min
14.	<p>Learning and Liaison Committee</p> <p>a. Annual Report (WORKPLAN)</p>	Maria Vasanelli	10min
15.	<p>Governance and Nominating Committee</p> <p>a. Annual Report (WORKPLAN)</p> <p>b. Kathy Rippey Resignation (effective as of July 9, 2020) – for information (NEW)</p> <p>c. External Appointments (WORKPLAN)</p> <ol style="list-style-type: none"> MOVED that Angela Maltese be elected as an External Member commencing as of December 3, 2020 until the close of the 2023 annual meeting. MOVED that Ann Dumyn be re-elected as an External Member, for a three year term commencing at the close of the 2020 annual meeting until the the close of the 2023 annual meeting. MOVED to approve that Cathy Tuckwell's term as an External Member on the Board of Governors be renewed commencing at the close of the 2020 annual meeting until the the close of the 2023 annual meeting or until her LGIC appointment is approved, whichever comes first. 	David Tamblyn	10min

	<p>4. MOVED to approve that the following individuals be elected to fill External Member vacancies on the Board of Governors for three year terms, commencing immediately at the close of the 2020 annual meeting, through to the close of the 2023 annual meeting:</p> <ul style="list-style-type: none"> ○ Claudine Cousins ○ Mark Smith and ○ Michael Nitz <p>d. Appointments from Other Organizations (WORKPLAN)</p> <p>1. MOVED that Debra Woods be appointed as the Alumni Association of Lakehead University member for a two year term, commencing at the close of the 2020 annual meeting, through to the close of the 2022 annual meeting.</p> <p>2. MOVED that Murray Waboose be reappointed as the Ogimaawin Indigenous Education Council Member for a one year term commencing at the close of the 2020 annual meeting through to the close of the 2021 annual meeting.</p> <p>3. MOVED that Brandon Amyot be appointed as the Student Member for a one year term commencing at the close of the 2020 annual meeting through to the close of the 2021 annual meeting.</p> <p>e. Appointments to Other Organizations (WORKPLAN)</p> <p>MOVED that Cathy Tuckwell be recommended to the Senate as the Board of Governors member on the Senate for up to a one year term.</p> <p>MOVED that Ann Dumyn be recommended to the Ogimaawin Indigenous Education Council (OIEC) for reappointment as the Board of Governors</p>		
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	<p>member on the OIEC for a three year term.</p> <p>f. Other Recommendations for Appointments (WORKPLAN)</p> <p>1. 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 2020 through to the close of the annual meeting in 2021.</p> <p>2. MOVED that Cathy Tuckwell and 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 2020 through to the close of the annual meeting in 2021.</p> <p>g. Appointment of Standing Committee Membership (WORKPLAN)</p> <p>MOVED that the Standing Committee membership recommendations be approved as presented and that the term for each member listed be for one year, commencing at the close of the 2020 annual meeting, through to the close of the 2021 annual meeting.</p>		
16.	<p>In camera Session</p> <p>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 of and others approved by the Board may be present.</p>		
17.	Motions Arising from the In Camera Session	Barbara Eccles	

18.	Other Reports for Information <ul style="list-style-type: none">a. Ogimaawin Indigenous Education Council Reportb. Senate Report		
19.	Informational Items <ul style="list-style-type: none">• Next Meeting: November 26, 2020, 9:00am to 1:00pm		
20.	Other Business <ul style="list-style-type: none">• Acknowledgement of Outgoing Board Members and Welcoming Incoming Board Members	Ross Murray	
Adjournment			



BOARD OF GOVERNORS MEETING

DRAFT MINUTES

Date of Meeting:	June 5, 2020
Time:	9:00am – 1:00pm
Location:	Zoom Meeting Only

Board of Governors Members in Attendance: Dr. Michel Beaulieu; Ann Dumyn; Dr. Christine Gottardo; Angela Maltese; Dr. Moira McPherson; Dawne Mowbray; Ross Murray (Chair); Kathryn Rippey; Anna Sampson; Sean Speer; Cathy Tuckwell; Maria Vasanelli; Murray Waboose; Wendy Walberg

Regrets: David Tamblyn

Absent: Robert Arnone; Brian McKinnon

Administrative Resources in Attendance: 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)

Ann Brandt - Interim Vice-President, External Relations (Lakehead University)

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

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

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

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

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

The meeting was called to order at 9:04am.

	Item
1.	Approval of Agenda MOVED (M. Beaulieu) 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.	<p>Declaration of Conflict of Interest</p> <p>Members were reminded of their duty to declare a conflict of interest should awareness of conflict arise at any time during the meeting.</p>
4.	<p>Approval of the April 24, 2020 Minutes</p> <p>The minutes of the April 24, 2020 meeting were circulated in advance with the meeting materials.</p> <p>MOVED (C. Tuckwell) that the minutes of the April 24, 2020 meeting be approved. CARRIED</p>
5.	<p>Business Arising from the Minutes (not on the Agenda elsewhere)</p> <p>There was no business arising from the minutes.</p>
6.	<p>Chair's Report</p> <p>There was no open meeting report from the Board Chair.</p>
7.	<p>President's Report</p> <p>The President's June 2020 report was distributed in advance with the meeting materials and can be found on the Lakehead website at www.lakeheadu.ca.</p> <p>It was reported that the Ogimaawin-Aboriginal Governance Council recently approved major revisions to its Bylaws, including changing the name to the Ogimaawin Indigenous Education Council (OIEC).</p> <p>Dr. McPherson reported on recent University events that she attended and honoured Julia Pacifico, a member of the University community who recently passed away.</p> <p>a. Report on Appointments</p> <p>A memo from the President, dated May 22, 2020, listing recent Adjunct Professor and Professional Associate and Director appointments was circulated in advance with the meeting materials for information.</p>
8.	<p>Executive Committee Report</p> <p>The Board Executive Committee discussed items of business that were sensitive or confidential in nature. The approved minutes of the May 21, 2020 Board Executive Committee meeting were circulated to the Board of Governors for information with the</p>

	in camera materials.
9.	<p>Audit and Risk Committee Report</p> <p>A report of the May 21, 2020 Audit and Risk Committee meeting was circulated in advance with the meeting materials.</p> <p>a. Pension Investment Fund Annual Report</p> <p>A summary of the financial position of the Pension Plan for Professional Staff and the Lakehead University Employee Pension Plan as of December 31, 2019, with comparative data from 2018, based on the audited financial statements, was circulated in advance with the meeting materials for information.</p> <p>b. Approval of the Pension Investment Fund Audited Financial Statements</p> <p>The Lakehead University Pension Fund Financial Statements, for the year ending December 31, 2019, were circulated in advance with the meeting materials.</p> <p>MOVED (A. Dumyn) to approve the Lakehead University Pension Investment Fund Financial Statements. CARRIED</p> <p>Wendy Walberg joined the meeting.</p>
10.	<p>Finance and Operations Committee Report</p> <p>A report of the May 21, 2020 Finance and Operations Committee meeting was circulated in advance with the meeting materials.</p> <p>a. Review of the Statement of Investment Policies and Procedures</p> <ul style="list-style-type: none"> Summary <p>A memo received from Proteus, dated May 21, 2020 that provided a summary of the annual review of the Statement of Investment Policies and Procedures was circulated in advance with the meeting materials for information. It was reported that no amendments were being recommended to the Statement of Investment Policies and Guidelines for Trust and Endowment Funds and to the Statement of Investment Policies and Guidelines for Restricted Internal Funds at this time.</p>

	<ul style="list-style-type: none"> Statement of Investment Policies and Procedures for the Pension Plans (the 'SIPP') <p>The proposed amendments to the SIPP were circulated in advance with the meeting materials.</p> <p>MOVED (A. Maltese) that the amendments to the Statement of Investment Policies and Procedures for the Pension Plans be approved. CARRIED</p> <p>b. Letter from Fossil Free Lakehead</p> <p>A letter from Fossil Free Lakehead to the Chair of the Finance and Operations Committee and to Board of Governors members, dated June 3, 2020 was circulated in advance with the meeting materials for information.</p> <p>The Chair of the Finance and Operations Committee acknowledged and thanked members of Fossil Free Lakehead who were in attendance and reported that the Lakehead continues to take these issues very seriously and work though the Finance and Operations Committee continues. The Committee plans to report in more detail in fall 2020.</p>
11.	<p>Governance and Nominating Committee Report</p> <p>A report of the May 20, 2020 Governance and Nominating Committee meeting was circulated in advance with the meeting materials.</p>
12.	<p>Learning and Liaison Committee Report</p> <p>A report of the May 20, 2020 Learning and Liaison Committee meeting was circulated in advance with the meeting materials.</p> <p>a. Honorary Professor Policy</p> <p><i>For information: The Senate approved the recommendation to rescind this policy at its March 2, 2020 meeting, as it is no longer relevant.</i></p> <p>The Honorary Professor Policy was circulated in advance with the meeting materials.</p> <p>MOVED (M. Vasanelli) that the Honorary Professor Policy be rescinded. CARRIED</p>

	<p>b. Adjunct Professor Policy</p> <p><i>For information: the Senate approved the proposed recommendations at its May 11, 2020 meeting.</i></p> <p>The proposed amendments to the Adjunct Professor Policy were circulated in advance with the meeting materials.</p> <p>MOVED (M. Vasanelli) to approve the proposed amendments to the Adjunct Professor Policy.</p> <p>CARRIED</p>
13.	<p>2nd 2019-20 Progress Report on Implementation of the Strategic Plan</p> <p>The 2019-20 Strategic Plan Progress Report presentation was circulated in advance with the meeting materials. Highlights included:</p> <ul style="list-style-type: none"> ● context - year two interim report two ● overview of the five pillars of the Strategic Plan ● overview of the annual reporting cycle ● report on the following metrics: <ul style="list-style-type: none"> ○ Metric 2: Achieve 100% participation rate of senior-year students in experiential learning - actual target achieved ○ Metric: Indigenous student enrolment at both baccalaureate and graduate levels will increase - trending in right direction ○ Metric: the number of Indigenous faculty members and staff will increase - actual target achieved ○ Metric: increase participation in Achievement Program and Aboriginal Mentorship Program - actual target achieved ○ Metric: increase enrolment of under-represented student groups in specific programs - actual target achieved ○ Metric 18: Increase in number of work integrated learning opportunities across disciplines - actual target achieved ○ Metric 20: Increase in societal impact of Lakehead - actual target achieved ○ Metric 24: Improve employee engagement - actual target achieved <p>It was noted that the results of the Employee Engagement Survey will be presented at the Committee of the Whole meeting following this meeting.</p> <ul style="list-style-type: none"> ● 2018-23 Strategic Plan report card ● highlights of achievements to date in alignment with the <i>Times Higher Education Impact Ratings</i> <p>Members had the opportunity to ask questions during the presentation.</p>

14.	<p>Judicial Panel Faculty Appointment Recommendations</p> <p>A memo from the President, dated June 5, 2020, outlining the appointment process and role of the Judicial Panel was circulated in advance with the meeting materials.</p> <p>MOVED (M. McPherson) that the following faculty members of the University be appointed to the Judicial Panel for three year terms, commencing at the close of the annual meeting in 2020 through to the close of the annual meeting in 2023:</p> <ol style="list-style-type: none"> 1. Mariette Brennan 2. David Law 3. Naqi Sayed <p>CARRIED</p>
15.	<p>Other Reports for Information</p> <p>a. Northern Ontario School of Medicine Report</p> <p>A report from the Dean of NOSM, dated May 2020, was circulated in advance with the meeting materials.</p> <p>b. <u>Senate Report</u></p> <p>A report of the May 11, 2020 Senate meeting was circulated in advance with the meeting materials.</p>
16.	<p>In Camera Session</p> <p>MOVED (M. Beaulieu) 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.</p> <p>CARRIED</p> <p>Dr. David Barnett, Ann Brandt, Dr. Andrew Dean, Barbara Eccles, Toby Goodfellow, Dr. Dean Jobin-Bevans, Dr. Heather Murchison, Marcie Morrison and Kathy Pozihun were invited to remain for the in camera session.</p> <p>The Board took a ten minute recess at 9:58am.</p> <p>Wendy Walberg and members of Fossil Free Lakehead left the meeting.</p> <p>The Board returned to the open meeting at 12:58pm.</p>

17.	<p>Information Arising from the In Camera Session</p> <p>The following appointments to Full Professor were reported during the in camera session:</p> <ul style="list-style-type: none">• Dr. Kristin Burnett, Department of Indigenous Learning• Dr. Jennifer Jarman, Departments of Interdisciplinary Studies and Sociology• Dr. Sandra Jeppesen, Department of Interdisciplinary Studies• Dr. Rhonda Koster, School of Outdoor Recreation, Parks & Tourism• Dr. Robert Mawhinney, Department of Chemistry• Dr. Kirsten Oinonen, Department of Psychology• Dr. Mirella Stroink, Department of Psychology
18.	<p>Next Board of Governors Meeting</p> <p>Date: Thursday, October 1, 2020 (Annual Meeting) Time: 9:00am - 1:00pm Location: Senate Chambers (UC1001) or Zoom Meeting</p>
19.	<p>Other Business</p> <p>There was no other business.</p>
The meeting adjourned at 1:00 pm.	

Mr. Ross Murray, Chair

Ms. Barbara Eccles, Secretary



President's Report to Board of Governors

October
2020





Office of the President



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

For the second year in a row, Lakehead University has been included in the top half of the Times Higher Education's list of top universities from around the world.

The 2021 Times Higher Education World University Rankings has Lakehead University in the 601-800 category out of more than 1,500 universities from 93 countries.

This is the second year that Lakehead University has participated in the rankings and, once again, Lakehead was the only primarily undergraduate university from Ontario to have participated. The University ranked in the same bracket as a number of larger Canadian universities, and ranked above the worldwide median in three of the five categories: Research, Citations, and International Outlook.

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Lakehead Researchers Continue to Combat COVID-19

Over the summer, Lakehead University researchers secured approximately \$590,000 to support COVID-19 related projects. Funding was awarded from such agencies as the Canadian Institutes of Health Research, Natural Sciences and Engineering Research Council, MITACS, and the Ontario Centres of Excellence to support a wide-range of disciplinary-spanning projects. In one such project, Dr. Kathryn Sinden from our School of Kinesiology is investigating mental health resources that are available to support first responders during COVID-19. Other projects explore solutions for expanding hospitals' capacities during the COVID-19 pandemic, the application of artificial intelligence to assess infrastructure safety, the use of Google Classroom to facilitate remote learning in K-12, and the development of reusable N95 masks.



Graduate receives the Robert Poulin Award for her outstanding citizenship

Laura Deschamps is the recipient of this year's Robert Poulin Award, presented to a full-time Lakehead University student for outstanding citizenship. Laura made many contributions during her time at Lakehead – to the university and to Thunder Bay. She proposed the creation of a peer-mentoring program in Kinesiology after volunteering as a teacher's assistant during her fourth year at Lakehead University. She felt having a program where students could get advice from peers who have gone through the same experiences as them would be incredibly helpful.

[*Click here for full story...*](#)

Lakehead University's annual Alumni Homecoming Weekend is going virtual

Lakehead's Alumni Homecoming Weekend celebration will look a little bit different for 2020 with three days of virtual festivities happening from October 1-3. The annual festivities usually involve a weekend of in-person activities for students, staff, alumni and friends between Lakehead Orillia and Lakehead Thunder Bay, however this year Lakehead will offer a virtual program directly to participants – wherever they are around the world. Due to the ongoing COVID-19 pandemic, Lakehead University recognizes the need to come together now more than ever to re-connect and celebrate, while looking forward to brighter days ahead. The staff at Alumni House, as well as the Alumni Association are excited to put on a number of informative and fun events, sure to appeal to everyone.

[*Click here for full story...*](#)



Orientation 2020

Orientation is Lakehead's introduction and official welcome of our students to our communities of Thunder Bay and Orillia. A **special web page was developed**, and continues to be a source of information and resources, to help ensure our students' successful academic, social, and personal transition to the university experience.

One the past week we have welcomed over 300 students to our Orillia and Thunder Bay residences. We have had the pleasure of meeting some of them and their families, in person, as they toured our beautiful campuses and made themselves familiar with the many things we have put in place for the new academic year.



Once of the events included the opportunity I had to meet with several of our students and their parents along the shores of Lake Tamblyn. Accompanied by staff from Residence Services, the Registrar's Office, and other student-related service units, these sessions offered students and their family members the chance to ask questions about what life will be like at Lakehead from those who know best.

Another notable event that wrapped up Orientation 2020 was our virtual Commencement Procession and President's Welcome. During this occasion, which took place entirely via Zoom, we were able to continue this annual tradition with students around the world.



Academic Excellence

Dr. Chris Mushquash named a 2020 Champion of Mental Health

The Canadian Alliance of Mental Illness and Mental Health (CAMIMH) named Dr. Christopher Mushquash a Champion of Mental Health for the Innovation – Researcher or Clinician category.

Dr. Mushquash is a Canada Research Chair in Indigenous Mental Health and Addiction, an Associate Professor in the Department of Psychology at Lakehead University and the Division of Human Sciences at the Northern Ontario School of Medicine, and the Director of the Centre for Rural and Northern Health Research at Lakehead University. He is a registered clinical psychologist providing assessment, intervention and consultation services for First Nations children, adolescents and adults at Dilico Anishinabek Family Care.



Dr. Mushquash is Ojibway and a member of Pays Plat First Nation. He is a generous volunteer, frequently meeting with First Nations communities, organizations and students to discuss mental health and addiction. Through his work, he champions culturally and contextually appropriate mental health and addiction services for First Nations peoples, and for individuals living in rural and northern communities.

[*Click to view CAMIMH's video about Dr. Mushquash and his award...*](#)

New NSERC Discovery and Discovery Development Grants (DDG)

The Discovery Grants Program supports ongoing programs of research with long-term goals rather than a single short-term project or collection of projects. These grants recognize the creativity and innovation that are at the heart of all research advances.

The DDG program provides resources to researchers from small universities whose DG applications were deemed to be of appropriate quality to merit research support, but were not funded in the DG Competition.

- 11 Discovery Grants, awarded for five years worth a total of \$1,875,000.
- 5 Discovery Development Grants awarded for two years with a total of \$150,000.

The above represents a total of \$2,025,000 in new NSERC funding. This is a 21.4% increase in NSERC funding this year, compared to last year.



Lakehead receives \$1.2 million 500 MHz Bruker Avance NEO Liquid & Solid-State NMR Spectrometer

Lakehead University has taken delivery of a new 500 MHz Bruker Avance NEO Liquid & Solid-State NMR Spectrometer. The purchase of this Spectrometer was made possible through the largest ever CFI-JELF award to two Lakehead University principal investigators (Drs Pedram Fatehi and Stephen Kinrade). The spectrometer will be installed in CB 0012C in August/September 2020. NMR spectroscopy is used to study the physical, chemical, and biological properties of matter. Chemists use it to study the structure of molecules, molecular interactions, kinetics or molecular dynamics, and the composition of biological mixture, synthesized solution, or composite. The advantages of this new NMR Spectrometer over the current 17-year-old 500 MHz Varian liquid-based spectrometer is the ability for non-destructive analysis of the solid and liquid samples thus facilitating quantitative determination of concentration of molecules even in complex mixtures.

\$50,000 grant from the Canada Research Chairs Equity, Diversity and Inclusion program

The Canada Research Chairs (CRC) Secretariat has awarded Lakehead University a one-time grant of \$50,000 to expand equity, diversity and inclusion (EDI) training opportunities for senior leadership, faculty researchers and staff who are integral in supporting and implementing the University's implementation of the CRC EDI Action Plan and the University's EDI Action Plan. The program will be jointly developed and delivered by Lakehead University's Office of Research Services and Office of Human Rights and Equity. The grant will provide our faculty and students with access to training offered by the Canadian Centre for Diversity and Inclusion and an EDI workshop series for researchers and graduate students. Researchers who participate in the program will be eligible to receive a Lakehead University Certificate in Inclusive Research Leadership.

Dr. Sabah Mohammed named an Outstanding Associate Editor with IEEE Access

Congratulations to Lakehead University's **Dr. Sabah Mohammed**, a Computer Science professor who was recently recognized by the Institute of Electrical and Electronics Engineers along with other outstanding associate editors for their contributions to Access, the organization's flagship research journal. "These associate editors have directly contributed to the tremendous growth of IEEE Access with their exceptional efforts, and assisted the journal in upholding high publication standards. Thank you all again for your hard work and dedication," the announcement said.

For a complete list of Outstanding Associate Editors of 2019, please visit <http://bit.ly/3cMcZA9>.





Lakehead earns bronze at CCAE Prix d'Excellence Awards

At this year's Canadian Council for the Advancement of Education Prix d'Excellence Awards, Lakehead University took home the Bronze for Best Student/Young Alumni initiative. This year's win marks the second alumni award in three years, and third straight year of award recognition for Lakehead. The award this year recognized the building of the Lakehead University Student Alumni Association at Lakehead Orillia. This dedicated group of students, under the guidance and leadership of External Relations Associate Jacquie Kent, has become an integral part of the campus community; often being called upon to support and participate in University-wide events, in addition to their student outreach activities.

[Click here for full story....](#)

Team of Canadian and Italian researchers breaking new ground in materials science

In May, a team of researchers from Canada and Italy published a paper in Nature Materials journal that could usher in a revolutionary development in materials science, leading to big changes in the way companies create modern electronics.

The goal was to develop two-dimensional materials, which are a single atomic layer thick, with added functionality to extend the revolutionary developments in materials science that started with the discovery of graphene in 2004.

In total, 19 authors worked on this paper from INRS, McGill, Lakehead, and Consiglio Nazionale delle Ricerche, the national research council in Italy.

"This work represents an exciting development in the realization of functional two-dimensional materials beyond graphene," said Dr. Mark Gallagher, a Physics professor at Lakehead University. "I found it particularly rewarding to participate in this collaboration, which allowed us to combine our expertise in organic chemistry, condensed matter physics, and materials science to achieve our goals."

[Click here for full story...](#)



NOSM and Lakehead receives \$330k from Ontario Human Capital Research and Innovation Fund

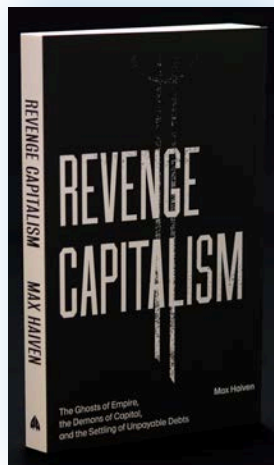
Researchers from the Northern Ontario School of Medicine (NOSM) and Lakehead University are receiving more than \$330,000 from the Ontario Human Capital Research and Innovation Fund (OHCRI) for projects that will benefit health-care workers and immigrants.

Dr. Erin Cameron, Dr. Diana Uranijik, Dr. Brianne Wood and John Hogenbirk have received \$250,000 from the OHCRI. Their study, Working models for human capital planning in Northern Ontario: a model for the primary healthcare workforce, will focus on human capital planning in Northern Ontario's primary care sector.

On another project, Dr. Kathy Sanderson and her team are receiving \$83,093 for research that examines how community and organizational welcoming affects the retention and recruitment of new immigrants.

[Click here for full story...](#)

Dr. Max Haiven publishes new book on *Revenge Capitalism*



We typically think of economic systems as dispassionate machines. But in Dr. Max Haiven's new book, *Revenge Capitalism: The Ghosts of Empire, the Demons of Capital, and the Settling of Unpayable Debts*, Lakehead's Canada Research Chair in Culture, Media and Social Justice asks us to recognize the vindictive dimensions to the global capitalist economy.

Arguing that an economy can be vengeful even if no one intends it to be, he traces its structural and economic violence to its roots in colonialism, slavery and the immiseration of workers.

With eclectic chapters on topics ranging from the ongoing prescription opioids epidemic to Shakespeare's *Merchant of Venice*, from the scourge of aquatic dead zones to the reality TV series *Revenge Body* with Khloé Kardashian, this is a book that makes an urgent call for the radical imagination.

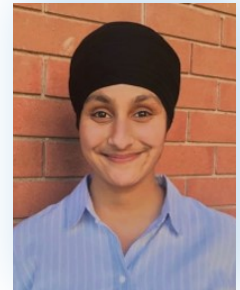
[More information can be found, and books can be purchased, via the publisher, Pluto Press.](#)



BEd Grad Awarded Ontario Secondary School Teachers' Federation's *Faculty of Education Award*

Congratulations to **Rupinder Grewal (graduate of the BEd program, 2020)**, who has received the Ontario Secondary School Teachers' Federation (OSSTF) Faculty of Education Award, valued at \$1,000. The award, announced in May, is granted to a graduating Intermediate/Senior Teacher Candidate who is seeking employment with a public secondary board and who exemplifies values of importance to the OSSTF, including being an advocate of unionism, engaging in social activism to promote the professional nature of teaching, and showing leadership among Teacher Candidates.

Rupinder's dedication to activism and the teaching profession is evidenced by her leadership and support shown in various capacities, such as school breakfast programs, teachers' unions, the Climate Strike Rally in Thunder Bay, and the Ontario Teacher Candidates' Council.



[Click here for full story...](#)

Lakehead professors awarded \$500,000 for important research

Two Lakehead University professors have been awarded \$250,000 each from the federal New Frontiers in Research Fund – Exploration to pursue important work that will benefit Canada and beyond.



Dr. Zubair Fadlullah, associate professor in Computer Science and Research Chair at the Thunder Bay Regional Health Research Institute, is receiving \$250,000 over two years to investigate the use of drones to address the lack of reliable internet access and health-care connectivity in rural areas in Northern Ontario. The aim of this research is to address both the urban-rural digital and health-care gaps in an interdisciplinary manner.

Dr. Maryam Ebrahimi, assistant professor in Chemistry and Tier 2 Canada Research Chair in Low-Dimensional Nanomaterials, is receiving \$250,000 over two years to address the enduring mystery of life's origin in the cosmos. In collaboration with her co-applicants at the Technical University of Munich, Dr. Ebrahimi and her team will study the peptide bonds formation from non-amino acid reactants under ultra-high vacuum (UHV) conditions, which resembles outer space.



[Click here for full story...](#)



Researcher developing resources to support firefighter mental health

The Canadian Institutes of Health Research has awarded Lakehead University's **Dr. Kathryn Sinden** with a \$49,968 Knowledge Synthesis COVID-19 rapid response grant to spend six months developing resources to support the mental health of firefighters working during COVID-19.

Due to the important work that they perform, firefighters are often “first-on-scene” and have a higher chance of being exposed to transferable diseases including COVID-19, said Dr. Sinden, an Assistant Professor in Kinesiology.

[*Click here for full story...*](#)

Lakehead University research team receives funding to explore the Midcontinent Rift

A Lakehead University researcher is receiving \$300,000 from the Natural Sciences and Engineering Research Council of Canada and \$150,000 from Clean Air Metals Inc. (TSXV:AIR) to investigate the mineralized intrusions of the Thunder Bay North igneous complex, part of the 1.1 billion-year-old Midcontinent Rift.

Dr. Pete Hollings, a Geology professor and the department's chair, will examine a portion of the nearly 3,000 km rift in the earth's surface that nearly split apart North America to aid Clean Air Metals in its exploration efforts at the Escape Lake and Thunder Bay North deposits.

This project will compare the mineralized intrusions of the Thunder Bay North igneous complex with barren and weakly mineralized intrusions. Three Master of Science students, three honours Bachelor of Science students, and one post-doctoral fellow will complete an integrated research program over three years, working closely with the geological team at Clean Air Metals and Dr. Derek Wilton from Memorial University on three key objectives.

[*Click here for full story...*](#)



Lakehead professor's research could prevent burnout in health-care workers fighting COVID-19

A Lakehead University professor's research could help prevent burnout in more than a million health-care workers around the world as they assist patients who have become ill with COVID-19.

"Workforce shortage is the number one problem in health care globally," said **Dr. Salimur Choudhury**, an Assistant Professor in Computer Science at Lakehead University whose graduate student Mahzabeen Emu was recently awarded a \$15,000 Mitacs research internship for the next four months.

Dr. Choudhury's research with the [MeshAI.io](#) platform proposes an automated staff scheduler in the health-care industry that ensures stress-free task delegation and smarter staff scheduling decisions in a very short time.

Mesh Scheduling Inc. is a Kingston-based Canadian corporation that is the leader of a novel category of socially intelligent staff scheduling.

[Click here for full story...](#)



Royal Society of Canada inducts Pauline Sameshima into College of New Scholars, Artists and Scientists

The Royal Society of Canada (RSC) and its members have included Lakehead University's **Dr. Pauline Sameshima** among the incoming class of the College of New Scholars, Artists and Scientists.

Dr. Sameshima, Canada Research Chair in Arts Integrated Studies and Professor in the Faculty of Education, is one of 50 new Members of the College of New Scholars, Artists and Scientists, which includes top mid-career leaders in Canada.

The College provides the RSC with a multi-generational capacity to help Canada and the world address major challenges and seize new opportunities including those identified in emerging fields.

Dr. Sameshima is the second Lakehead professor to be included in the incoming class of New Scholars, Artists and Scientists. The RSC inducted Dr. Chris Mushquash, from Psychology, into the class in 2017. Recognition by the RSC is the highest honour an individual can achieve in the Arts, Social Sciences and Sciences.

[Click here for full story...](#)





Dr. Kristen Jones-Bonofiglio publishes new book

Congratulations to Assistant Professor (School of Nursing) and Director (Centre for Health Care Ethics), **Dr. Kristen Jones-Bonofiglio** on the publication of her new book entitled *Health Care Ethics through the Lens of Moral Distress*. The book is her first peer-reviewed monograph and was published on August 28, 2020 by Springer International (see www.springer.com/book/9783030561550).

Set against the context of a Canadian nursing perspective, she positions health-care providers as 'wounded healers' and acknowledges their suffering amidst the messiness of everyday ethical issues in various practice settings. As such, this is a timely publication in light of the recent COVID-19 pandemic.

[Click here for full story...](#)

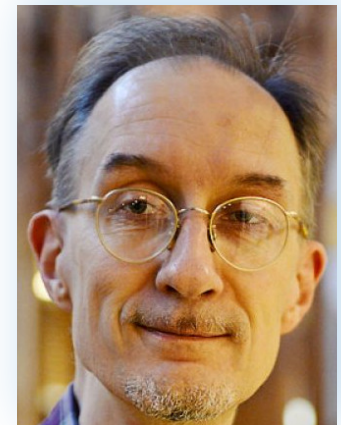


Announcing the new Finnish Chair

The Finnish Chair Advisory Committee is pleased to announce the appointment of **Dr. Aappo Kähönen** as the 10th Lakehead University Chair in Finnish Studies. He is an expert on foreign policy, as well as national state- and border building with a particular emphasis on Soviet-Finnish relations. Dr. Kähönen has taught a wide variety of courses at University of Helsinki, and has given courses in University of Warsaw and in Moscow Lomonosov University (MGU).

Dr. Kähönen will be in Thunder Bay until the end of April. During his time at Lakehead University, he will be conducting a research project entitled "Mobilization, Participation and State relation: Case of a Finnish Community in Canada, 1900–1960." He will be collecting data on the role of religious, social and political activities, providing a means of participation in the Canadian society for Finnish Canadians.

[Click here for full story...](#)





Lakehead professors receiving more than \$73k for COVID-19 research

The Social Sciences and Humanities Research Council of Canada has granted more than \$73,000 to Lakehead University professors for important research related to the COVID-19 pandemic. These Partnership Engage Grants will allow research teams to work for approximately one year on their projects.

Dr. Rebecca Schiff, Associate Professor and Chair of Health Sciences, is receiving \$24,740 to examine the unique challenges of addressing homelessness in rural and remote Canada during a pandemic. The primary research partner for this project, National Alliance to End Rural and Remote Homelessness, is a sub-alliance with the Canadian Alliance to End Homelessness, which leads a national movement of individuals, organizations and communities working together to end homelessness in Canada. Until recently, there was little acknowledgement that homelessness existed in rural and remote areas in Canada.

Dr. Kathy Kortes-Miller, Assistant Professor in Social Work, is receiving \$24,512 to explore the experience of family caregivers of Ontario residents in long-term care (LTC) during the COVID-19 pandemic. Dr. Kortes-Miller, who is also the Associate Director of the Centre for Education and Research on Aging and Health, will work with CanAge: Canada's National Seniors' Advocacy Organization to increase knowledge about the questions, concerns, and expectations that family and friends have of LTC, the health system and social support networks.

Dr. Karl Skogstad, Assistant Professor in Economics, is receiving \$24,305 to learn more about the economic impact of COVID-19 on the economy of Ontario's northern regions.

[*Click here for full story...*](#)

Local and Global Partnerships

New HBA English transfer program from Confederation College

In May, Lakehead University's Department of English announced a new transfer program in cooperation with Confederation College. Students who now complete Confederation College's Film Production Diploma and have an overall average of 70% or higher can be considered for admission to Lakehead's HBA English program with the potential to complete their HBA English in two years.

Project guides climate change communication strategies

That climate change is one of the greatest challenges facing humanity is not news. This awareness, however, does not always translate into action. To move people to action, governments and organizations need to understand how best to communicate climate change information.

Earlier this year, **Dr. Lindsay Galway**, Associate Professor in the Faculty of Health and Behavioural Science at Lakehead University and her team completed a project that sought to understand how citizens in Thunder Bay, Ont., and Prince George, BC, can become better engaged with climate change. Northern communities are particularly vulnerable to the effects of climate change. Although research has been conducted in the arctic, until now, little was known about public responses to climate change in the provincial norths.

The two-year project, funded the Social Sciences and Humanities Council of Canada, involved three components: representative postal surveys in Thunder Bay and Prince George; interviews with “climate champions” in each community who are engaged in climate change education and action; and lastly, the development of climate change communication strategies based on the gathered data.

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Bioenterprise Signs MOU with Lakehead University

The promise of research and innovation commercialization in the agriculture and food sectors is front and centre thanks to a new Memorandum of Understanding signed between Lakehead University and Bioenterprise Corporation, showcasing the value of Canada's Food & Agri-Tech Engine (The Engine) in northern Ontario. Lakehead is taking a very active role in the development of technologies, which will have specific benefit to the agricultural sector and has seen success in providing useful tools to primary producers and the processing sector.

Whether it is the evaluation of formulations of fertilizer on new crops, small plot research studies for industry, biotechnological analytical services, or the evaluation of technologies which have positive environmental implications, Lakehead University is making a statement that it is strongly focused on providing value and service back to the agricultural sector.

[*Click here for full story...*](#)



Charting a Course to Treat Issues Stemming From Childhood Trauma



(left to right) Dr. Chris Mushquash, Lakehead University professor and a registered clinical psychologist, is overseeing research with Dilico Anishinabek Family Care. photo credit: Thunder Bay Regional Health Sciences Centre; Elaine Toombs is a PhD student in Clinical Psychology. submitted photo; Jessie Lund is a PhD student in Clinical Psychology. submitted photo.

A partnership between Lakehead University and a First Nations organization that is examining the links between childhood trauma and adult physical and mental health issues may lead to wellness programs that could improve the lives of clients from all walks of life.

The collaboration with Dilico Anishinabek Family Care is looking at the areas of abuse, neglect, and the resulting personal challenges. The aim is to develop appropriate services for treatment.

The project involves the Adult Residential Treatment Centre, located on the Fort William First Nation. Two graduate students are working on this venture, which consists of interviews with staff and more than 100 clients, as well as data collection and analysis.

[Click here for full story...](#)



Zehbe Research Group Steps Up Work into HPV-Associated Cancers and Treatments

A team of scientists and students affiliated with Lakehead University, the Thunder Bay Regional Health Sciences Centre (TBRHSC) and the Northern Ontario School of Medicine has been conducting research related to certain types of cancers springing from a common infection. The efforts of members of the Zehbe Research Group has earned them a sterling reputation.

Zehbe is a Lakehead University Thunder Bay Regional Health Research Institute Research Chair and an associate professor with the Northern Ontario School of Medicine. The Zehbe Research Group focuses on cancers related to human papillomavirus (HPV), potentially leading to cancers such as head and neck, cervical and anal.

[*Click here for full story...*](#)

eHealth app for Northern maternal health care being developed

A program for mobile devices may provide access to the health care and education that mothers-to-be in Northwestern Ontario feel they often don't receive. Supported by the Thunder Bay District Health Unit, an eHealth app is being adapted by researchers at Lakehead University to fit the needs of women in this region, particularly Indigenous and immigrant women. This will hopefully help close this gap in maternal care and education. Moeller, who is also associate director of the Centre for Rural and Northern Health Research, has a long-standing interest in equity in access to health and health care as well as Northern, Indigenous and women's health.

[*Click here for full story...*](#)

New Canada Life *Ingenuity* Community Room named at Lakehead University

On September 22, Lakehead University announced a \$75,000 gift from Canada Life to support Lakehead Thunder Bay's Ingenuity Community space – part of *Ingenuity*, the new business incubator and makerspace located in the University's Centre for Advanced Studies in Engineering and Sciences (CASES) building.

While many study groups, events, and project meetings this fall will be virtual given the COVID-19 pandemic, Lakehead is excited that this space will be available to students when the time comes to head back to campus. As a designated space within the *Ingenuity* business incubator, the room is a comfortable open spot for students from all faculties to meet, study, and work on start-ups. A privacy phone booth and lockers offer students security when working on projects, and a whiteboard wall calendar lists a variety of on-campus and community business development activities and events.

[*Click here for full story...*](#)



Lakehead University researcher studying the use of body-worn cameras with Guelph Police



Dr. Alana Saulnier, an Assistant Professor in Interdisciplinary Studies at Lakehead University, is receiving a \$25,000 Partnership Engage Grant from the Social Sciences and Humanities Research Council of Canada to collaborate with Guelph Police to contribute to the overall knowledge surrounding body-worn cameras (BWC).

Dr. Saulnier will use the funds to complete a suite of three projects over one year, with each project contributing to the overall goal of building evidence related to police use of BWCs in Canada by addressing the following research questions:

- Does using BWCs enhance public perceptions of police following a traffic stop?
- What concerns do victims have with BWCs and what policies might address these concerns?
- Does BWC-use increase pro-prosecution resolutions of Provincial Offences Act tickets?

[Click here for full story...](#)

Social Responsibility

2020 Lloyd Dennis Award recipient connects people, food, and learning on campus

Jacob Kearey-Moreland was contributing to campus life long before he was a Lakehead University student. As this year's recipient of the Lloyd Dennis Award for outstanding citizenship, he's been a driving force behind local community gardening initiatives for over a decade – from Toronto during his undergraduate degree, through community advocacy in Orillia, and now as a graduate student at Lakehead. A grassroots champion for social and ecological justice, he's helping secure people's right to collectively produce and access food, while also preserving public, multi-generational spaces to gather, learn, exercise, and interact.

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Entrepreneurship and Innovation

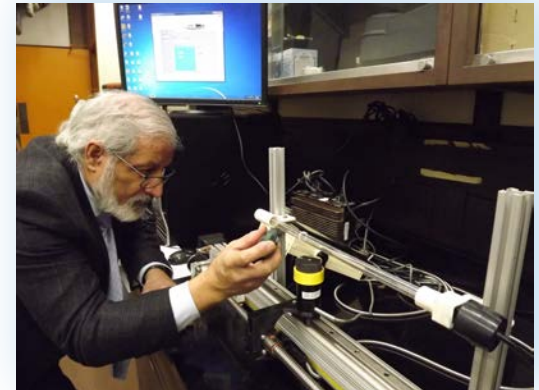
Testing shines a light on effectiveness of UV lamps

A study being undertaken by Lakehead University to analyze the performance of ultraviolet lamps used to disinfect wastewater before being released into Lake Superior is moving to the next phase of testing. The aim is not just to determine which lamps perform better, but how to improve the process and optimize costs.

“The City of Thunder Bay is looking to gain a better understanding of the aging process of the ultraviolet lamps,” explains Lindsay Menard, process engineer at the City’s Water Pollution Control Plant. “The intended goal of this project is to optimize the UV system and decrease operating costs.”

The study is a collaboration with **Dr. Siamak Elyasi, an associate professor in Chemical Engineering**. Elyasi’s broad interest is drinking water and wastewater treatment.

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Lakehead
UNIVERSITY

**Risk
Management**

MEMORANDUM

TO: Barbara Eccles, General Counsel and University Secretary

Cc: Dr. T. Varney, Chair of the Judicial Panel, and Dr. B. Vernier, 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 4, 2020

RE: ***Report on Student Appeals, 2019-2020***

Code of Student Behaviour and Disciplinary Procedures

Twelve appeals were considered by the Judicial Panel under the *Student Code of Conduct - Appeal Policy* (accessible on-line via the “APPEALS” link at <https://www.lakeheadu.ca/students/student-life/student-conduct>) during the 2019-2020 Board of Governors year (October 3, 2019 to October 1, 2020). All twelve involved breaches of academic integrity. Four of the appeals were dismissed, in two sanctions were reduced, and six are ongoing.

Senate Academic Appeals Committee (SAAC)

During the 2019-2020 academic year (July 1, 2019 to June 30, 2020) two appeals were considered by the SAAC under the *Senate Policy Regarding Academic Appeals* (accessible on-line via the link at: <https://www.lakeheadu.ca/about/policies-procedures/policies/list/node/51853>). One was an appeal from a final course mark and the other concerned an academic decision other than a final course mark. In one appeal the Appeal Tribunal concluded that the SAAC did not have jurisdiction to hear the appeal and the other appeal is ongoing.

MEMORANDUM

Date: September 23, 2020

From: Moira McPherson – President and Vice Chancellor

To: The Board of Governors

Meeting Date: October 1, 2020

Agenda Item: 7c – Report on Appointments

Research Ethics Board Appointments

- Dr. Claudio Pousa was reappointed to the Research Ethics Board, effective July 1, 2020 to June 30, 2023.
- Ms. Donnas Stuart was reappointed to the Research Ethics Board, effective July 1, 2020 to June 30, 2023.
- Dr. Frederico Oliveira was reappointed to the Research Ethics Board, effective July 1, 2020 to June 30, 2023.
- Dr. Kristin Burnett was reappointed to the Research Ethics Board, effective July 1, 2020 to June 30, 2023.
- Dr. Ryan Tonkers was reappointed to the Research Ethics Board, effective July 1, 2020 to June 30, 2023.
- Dr. Tanya Kaefer was reappointed to the Research Ethics Board, effective July 1, 2020 to June 30, 2023.

Sexual and Gender-based Violence Adjudication Panel
Proposed Members for 2020-2021

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)
1	BUSET, Hope	Senior Administrator	Director of Student Services and Skills, Bora Laskin Faculty of Law	No
2	CHAPMAN, Frances	Tenured Faculty	Associate Professor, Bora Laskin Faculty of Law	No
3	CLIFFORD, Lorne	Senior Administrator	Director of Security	NO
4	GAGAN, Kimberley	Senior Administrator	Director, Community Legal Services	Yes

5	LUKKAROINEN, Mari	Community Member	Women's Addiction Counsellor, Counselling Centre of Thunder Bay	No
6	MacELHERON, Sabreena	Senior Administrator	Director of International Student Services	No
7	MURPHY, Jodie	Non-tenured Faculty	Assistant Professor, Department of Social Work	Yes
8	NIITTYNEN, Miranda	Employee	Contract Instructor, Department of Women's Studies	No
9	OINONEN, Kirsten	Tenured Faculty	Professor and Clinical Psychologist, Department of Psychology	No
10	ROUSSEL, Yvonne	Employee	Associate University Secretary, University Secretariat	Yes
11	TENIUK, Roy	Employee	Senior Technician, Technology Services Centre	No
12	VAILLANCOURT, Anita	Non-tenured Faculty	Assistant Professor, Department of Social Work	No

ANNUAL REPORT TO THE BOARD OF GOVERNORS – October 1, 2020

From: Angela Maltese - Chair, Finance & Operations Committee

Subject: Finance & Operations Committee (BFOC) Annual Report

Report Time: 10 minutes

Committee Members: Robert Arnone; Dr. Michel Beaulieu; Ann Dumyn; Dr. Christine Gottardo; Angela Maltese (Chair); Dawne Mowbray; Ross Murray; Dr. Moira McPherson; Anna Sampson; Cathy Tuckwell; Maria Vasanelli

The BFOC met seven times (November 9, 2019; January 9, 2020; February 13, 2020; March 27, 2020 (special meeting); April 9, 2020; May 21, 2020; September 17, 2020) during the 2019-20 term.

Committee Overview/Orientation

During the first meeting, the Committee received and reviewed:

- Board Finance and Operations Committee Terms of Reference
- 2019-20 Committee workplan – the committee approved its workplan

Reports, Updates and Presentations Received

- 2020-21 Annual Integrated Planning and Budget Development Process – updates received November 2020, March 2020, April 2020 - the Committee made a recommendation to the Board of Governors regarding the 2020-21 budget
- Infrastructure Funding update (Community Culture and Recreation Funding Stream application)
- Community, Culture and Recreation Infrastructure funding application update
- Responsible Investment update
- Annual Strategic Enrolment Management update
- Annual Fall Enrolment update
- Annual Capital Projects update
- Council of Chairs of Ontario Universities (CCOU) quarterly meeting update
- Investment performance update from investment advisor and fund managers
- Strategic Mandate Agreement 3 (SMA3) Update
- Review of investment performance reports with investment advisor
- Human Resources annual update
- Budget scenarios presentation
- Moody's annual report
- Annual report on Significant Targeted Funding Agreements (over \$1 million)
- The Endowment Plans second quarter 2020 performance report
- Integrated Planning and Budgeting Update: Preliminary Enrolment

Responsible Investment

Fossil Free Lakehead gave a presentation on responsible investing in accordance with the Board of Governors Deputation by Appointment Policy on November 7, 2019.

The Committee reviewed the Responsible Investment Policy and discussed policy compliance, fiduciary and ethical responsibilities, and other internal/external impacts to contemplate during divestment considerations. The fund managers provided an answer the following questions related to responsible investment:

- Do you take environmental, social and governance (ESG) criteria into account?
- Are you investing in sustainable funds?

The Committee determined the next steps with regards to responsible investing.

Responsible Investment Status Report – Administration has been actively working to prepare a comprehensive report on responsible investment scheduled to come forward during the next Board term.

Tuition Fees and Miscellaneous Fees

The Committee reviewed the proposed tuition and miscellaneous fees for 2020-21 and made a recommendation to the Board of Governors.

Lakehead University Employee Pension Plan (LUEPP) Text Amendments

November 2020: The Committee reviewed the proposed change to the LUEPP as drafted by the Plan's Actuary, Eckler Ltd., arising as a result of the Memorandum of Understanding dated June 21, 2019 between the University and the United Steelworkers Local #5294 (USW). The Committee made a recommendation to the Board of Governors.

January 2020: The Committee reviewed the LUEPP text amendment 2019/2. The Committee made a recommendation to the Board of Governors.

September 2020: The Committee reviewed the proposed change to the LUEPP as drafted by the Plan's Actuary, Eckler Ltd., arising as a result of the Memorandum of Agreement between the University and the International Union of Operating Engineers and Lakehead University Faculty Association - Contract Lecturers. The Committee will be making a recommendation to the Board of Governors.

Pension Plan for Professional Staff of Lakehead University Amendment 2019/2

January 2020: The Committee reviewed the Pension Plan for Professional Staff at Lakehead University amendment 2019/2. The Committee made a recommendation to the Board of Governors.

Pension Plan for Technical, Clerical and Maintenance Staff Amendment 2020/2

April 2020: The Committee reviewed the proposed change as drafted by the Plan's Actuary, Eckler Ltd., arising as a result of the Memorandum of Agreement dated January 21, 2020 between the University and the Ontario Public Service Employees Union #716 (OPSEU). The Committee made a recommendation to the Board of Governors.

Policies Reviewed

- Health and Safety Policy – the Committee made a recommendation to the Board of Governors
- Statement of Investment Policies and Procedures for the Pension Plans (the 'SIPP') – the Committee made a recommendation to the Board of Governors
- Statement of Investment Policies and Guidelines for Trust and Endowment Funds - no amendments were recommended
- Statement of Investment Policies and Guidelines for Restricted Internal Funds - no amendments were recommended
- Trust Account Management Policy - no amendments were recommended

Prior Recommendations to the Board of Governors

- Approval to recommend that the Board approves the amendments to the Lakehead University Employee Pension Plan Text.
- Approval to recommend that the Board support the Community Culture and Recreation Funding Stream application.
- Approval to recommend to the Board that the Lakehead University Employee Pension Plan be amended.
- Approval to recommend to the Board that the Pension Plan for Professional Staff of Lakehead University be amended.
- Approval to recommend that the Board approves the proposed tuition fees for 2020-21.
- Approval to recommend to the Board that the Pension Plan for Technical, Clerical and Maintenance Staff be amended.
- Approval to recommend to the Board that the proposed changes to the Health and Safety Policy be approved.
- Approval to recommend to the Board that the proposed amendments to the Statement of Investment Policies and Procedures for the Pension Plans be approved.

Recommendations to the Board of Governors for the Annual Meeting

- Approval to recommend to the Board the resolution relating to the LUEPP Text Amendments 2020/3 that was circulated, conditional upon the said amendments also being recommended by the Pension Board and Pension Advisory Committee be approved.

Informational Items Received

- Statement of Investment Policies and Guidelines for Trust and Endowment Funds
- Statement of Investment Policies and Guidelines for Restricted Internal Fund
- Lakehead University Sustainability Action Plan 2019-2024
- Jarislowsky Fraser Climate-Related Financial Disclosures

Received at Every Meeting

- Report from the President
- Operating and ancillary update
- Investment report
- Committee workplan progress report
- Board meeting schedule

Due to the sensitive and/or confidential nature of some of the agenda items, a confidential in camera annual report has been submitted to the Board.

AMENDMENT 2020/3

RESOLUTION OF THE BOARD OF GOVERNORS OF LAKEHEAD UNIVERSITY

- WHEREAS** Lakehead University (hereinafter referred to as the “University”) has established the Pension Plan for Technical, Clerical and Maintenance Staff of Lakehead University (hereinafter referred to as the “Plan”) effective September 1, 1966;
- AND WHEREAS** the University wishes to make clarifications to the Plan to reflect collectively bargained provisions that apply to level 2 and 3 contract lecturers;
- AND WHEREAS** the University wishes to amend the Plan to change the contribution rate for level 2 and 3 contract lecturers;
- AND WHEREAS** Article 23.01 permits the University to amend the Plan;

NOW THEREFORE BE IT AND IT IS HEREBY RESOLVED THAT THE PLAN SHALL BE AMENDED EFFECTIVE MAY 1, 2020 AS FOLLOWS:

1. Section 2.16 is hereby added as follows and all subsequent sections of Article 2 are renumbered.:

“2.16 “Contract Lecturer Member” has the same meaning as stated in the Lakehead University Faculty Association collective agreement, which is a faculty member, who teaches four or more half course equivalents or having eighteen or more contact hours per week of performance instruction during the academic year.”
2. Paragraph 3.01(c) is hereby renumbered paragraph 3.01(d) and new paragraph 3.01(c) is added as follows:

“(c) A Level 2 or 3 Contract Lecturer Member is eligible for Membership in the Plan starting January 1, 2007. For avoidance of doubt, membership for such an employee is voluntary.”
3. Section 4.01 is hereby deleted in its entirety and replaced as follows:

Member Required Contributions

- (a) In accordance with the employee group as identified in the following table, the Member contribution rate is the percentage, as indicated below, of Normal Salary, less the Member's contribution to the Canada Pension Plan. Starting January 1, 2020, contributions for Members in USW and COPE, and all non-union Members are not reduced by their contributions to the Canada Pension Plan. Starting May 1, 2020, contributions for Members in OPSEU are not reduced by their contributions to the Canada Pension Plan. Starting **[NB to be confirmed November 1, 2020]**, contributions for Contract Lecturer Members and Members in IUOE are not reduced by their contributions to the Canada Pension Plan.”:

Effective Date	Percentage (%) Contribution Rates by Employee Group ^(a)								
	Schedule II and Technical Staff	COPE	USWA	Unifor	IUOE	OPSEU	Contract Employee	Contract Lecturer Member	Part-time
Prior to Jul 1, 1991	5.00	5.00	5.00	5.00	5.00	N/A	N/A	N/A	5.00
Jul 1, 1991	5.50	5.50	5.50	5.50	5.50	N/A	N/A	N/A	5.00
Jul 1, 1992	5.75	5.75	5.50	5.75	5.75	N/A	N/A	N/A	5.00
Sep 1, 1995 ^(b)	N/A	N/A	N/A	N/A	N/A	N/A	5.00	N/A	N/A
Jan 1, 1998	6.15	6.15	5.50	6.15	6.15	N/A	5.40	N/A	5.40
Jan 1, 1999	6.45	6.45	5.80	6.45	6.45	N/A	5.70	N/A	5.70
Jan 1, 2000	6.85	6.85	6.20	6.85	6.85	N/A	6.10	N/A	6.10
Jan 1, 2001	7.25	7.25	6.60	7.25	7.25	N/A	6.50	N/A	6.50
Jan 1, 2002	7.65	7.65	N/A	7.65	N/A	N/A	6.90	N/A	6.90
Nov 1, 2002	N/A	N/A	7.25	N/A	N/A	N/A	N/A	N/A	N/A
Jan 1, 2003	7.90	7.90	7.50	7.90	7.90	N/A	7.15	N/A	7.15
Jul 1, 2003	N/A	N/A	7.90	N/A	N/A	N/A	N/A	N/A	N/A
Jan 1, 2007	N/A	N/A	N/A	N/A	N/A	N/A	N/A	6.50	N/A
July 1, 2015	N/A	N/A	N/A	N/A	N/A	7.90	N/A	N/A	N/A

N/A = means Not Applicable

^(a) Employee Groups of the Technical, Clerical and Maintenance Staff:

- Schedule II Band 5 and below, and Technical Staff A and B
- COPE: Canadian Office and Professional Employees Union (prior to June 20, 2004 Office and Professional Employees' International Union [OPEIU])
- USWA: United Steelworkers Union of America (prior to July 1, 1993, Canadian Guards Association)
- Unifor: (prior to August 31, 2013 Canadian Auto Workers [CAW], prior to May 11, 2001 Service Employees' International Union [SEIU])
- IUOE: International Union of Operating Engineers

- OPSEU: Ontario Public Service Employees' Union
- Contract Employees (other than Contract Lecturer Members)
- Contract Lecturer Members
- Part-time

(b) Applicable only to Contract Employees, the effective date of their participation in the Plan

- (b) Such Required Contributions shall be deducted from the Member's Normal Salary by the University, and may not be discontinued while the Member remains an active employee eligible for the Plan. The University shall deposit such contributions to the Fund within thirty (30) days of the end of the calendar month for which the contributions are made.
- (c) Notwithstanding the foregoing, in the event a Member is not in receipt of Normal Salary while absent due to personal injury and/or illness arising out of or in the course of employment with the University, as defined in the Ontario Workers' Compensation Act or maternity or parental leave, as defined in the applicable Employment Standards legislation the Member may elect to remit Required Contributions during such absence on the basis of his Normal Salary immediately prior to the commencement of the absence. In the event of such election, the University shall make Matching University Contributions on behalf of the Member in accordance with Article 4.03.
- (d) Notwithstanding the foregoing, in the event a Member is receiving a partial salary from the University and a partial benefit under the University's Long Term Disability plan the member's contributions shall be determined based on the partial salary only and not the Normal Salary."

4. Section 4.03 is deleted in its entirety and replaced as follows:

"4.03 Matching University Contributions

The University shall contribute to the Plan for each Plan Year, on account of current service in the year, Matching University Contributions equal to the sum of:

- a) For all employee groups, except for United Steelworkers (USW), Canadian Office and Professional Employees Union (COPE), Ontario Public Service Employees Union (OPSEU), non-union employees, International Union of Operating Engineers (IUOE), and Contract Lecturer Members amounts equal to the total Required Contributions made by Members;
- b) For the USW, COPE, OPSEU and IUOE employee groups, non-union employees, amounts equal to the total Required

Contributions made by the Members, less Canada Pension Plan contributions made by the University on behalf of the Members; and

- c) For Contract Lecturer Members, amounts equal to 7.90% of the Member's Normal Salary, less Canada Pension Plan contributions made by the University on behalf of Members.

except that, if after June 30, 1996, the Excess Funding Account has a positive balance, the University shall cease contributions and the Excess Funding Account shall fund the University's contributions until that Account is exhausted.

Matching University Contributions shall be made monthly. The University shall deposit such contributions to the Fund within thirty (30) days of the end of the calendar month for which such contributions were made."

Certified to be a true copy of a resolution passed by the Board of Governors on the _____ day of _____, 2020.

Secretary, Board of Governors



OFFICE OF THE VICE-PRESIDENT
(ADMINISTRATION & FINANCE)

Date: September 17, 2020

To: Finance & Operations Committee

From: Kathy Pozihun, Vice-President (Administration & Finance)

Subject: Lakehead University Employee Pension Plan Text Amendment

Attached is the proposed change to the Lakehead University Employee Pension Plan as drafted by the Plan's Actuary, Eckler Ltd., arising as a result of the Memorandum of Agreement between the University and the International Union of Operating Engineers (IUOE) and Lakehead University Faculty Association - Contract Lecturers.

Amendment to the Plan Text

The Plan Text is the legal document that governs the operation of the Employee Plan. Amending the Plan Text requires Board of Governors approval, as well as a submission subject to review, to the Financial Services Regulatory Authority (FSRA).

Effective November 1, 2020, the proposed amendment will increase the employee portion of the pension contributions of each member of IUOE by their regular CPP contributions for the year up to the maximum Canada Pension Plan (CPP) contribution. The employer portion of the pension contributions will remain unchanged.

Effective November 1, 2020, the proposed amendment will increase the employee portion of the pension contributions of each Contract Lecturer member by their regular CPP contributions for the year up to the maximum Canada Pension Plan (CPP) contribution. The employer portion of the pension contributions will remain unchanged. In addition, Contract Lecturers eligibility criteria and contribution rates have been clarified in this amendment.

These changes will be discussed at the September 18, 2020 Joint Pension Meeting of the Pension Board and Advisory Committee and will be approved for recommendation to the Board of Governors. Once the amendment has received Board approval, it must be submitted to the pension regulator FSRA.

ANNUAL REPORT TO THE BOARD OF GOVERNORS – October 1, 2020

From: Ann Dumyn - Chair, Audit and Risk Committee

Subject: Audit and Risk Committee (BARC) Annual Report

Report Time: 10 minutes

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

The BARC met four times (November 7, 2019; February 13, 2020; May 21, 2020; September 10, 2020) during the 2019-20 term. Two scheduled meetings (January 9, 2020 and April 9, 2020) were not necessary and were cancelled by the Committee Chair at the beginning of the term with consent of the Committee. All Board of Governors members were invited to attend the September 10, 2020 meeting for the Auditors' final report to the Committee.

Committee Overview/Orientation

During its first meeting on November 7, 2019, the Committee reviewed:

- Audit and Risk Terms of Reference
- 2019-20 proposed workplan

The Committee completed all workplan items.

Annual Items Completed

- Sexual and Gender Based Violence Response Policy Report
- Auditors Engagement Letter and Audit Fees
- Auditors Planning Report
- Enterprise Risk Management Review
- Top Risks Facing the University Report
- Lakehead University Pension Investment Fund Report
- Pension Investment Fund Audited Financial Statements
- Update on Litigation Matters
- Audit of Financial Statements and Capital Debt Reports
 - BDO Canada LLP Final Report – 2020 Audit Results
 - 2019-20 Audited Financial Statements and
 - Internally Restricted Net Assets
 - Sustainability Metrics Report
 - Auditor's In camera Session
 - Appointment of Auditors'
- Research Ethics Board Report and Letters of Compliance
- 2019-20 Operating and Ancillary Budget Actual Results

Policies Reviewed

- Capital Debt Policy (no amendments were recommended)
- Policy Framework for Research Ethics Involving Humans at Lakehead University (no amendments were recommended)

Terms of Reference Reviewed

- Audit and Risk Committee Terms of Reference (recommended amendments to the Governance and Nominating Committee)
- Research Ethics Terms of Reference (recommended amendments to the Board)

Received at Every Meeting

- Management Assurance Letter (with respect to compliance with all statutory requirements)
- Report from the President
- Committee Workplan Progress Report
- Board Meeting Schedule

Motions Approved by the Committee

- Acceptance of the Auditors Engagement Letter and recommend that the Chair of the Board and the President sign the letter
- 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

Prior Recommendations to the Board of Governors

- Approval to recommend that the Governance and Nominating Committee consider recommending Board approval of the proposed amendments to the Audit and Risk Terms of Reference
- Approval to recommend that the Board approves the proposed amendments to the Research Ethics Board Terms of Reference.
- Approval to recommend that the Board approves the Lakehead University Pension Investment Fund Financial Statements

Recommendations to the Board of Governors for the Annual Meeting

- Approval to recommend that the Board approves the 2019-20 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 2020-21 fiscal year
- Acceptance of the Research Ethics Board Annual Report and Letter of Compliance

MEMORANDUM

Date: September 10, 2020

To: Members of the Audit & Risk Committee

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

Subject: **2019/20 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 10, 2020.

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, 2020, 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, 2020. 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 \$200.193 million and expenses of \$198.651 million. The excess of revenue over expenses was \$1.542 million before the unrealized loss on the interest rate swaps of \$3.729 million for a total deficit of revenue over expenses of \$2.187 million. The University's net assets decreased from \$111.516 million to \$103.257 million, an \$8.259 million decrease from the prior year.

Balance Sheet

The cash balance at April 30, 2020 is \$27.566 million (\$31.341 million – 2019). Operating activities provided cash in the amount of \$4.214 million in 2020 (\$16.917 million – 2019). Financing activities, including the repayment of long-term debt, used cash of \$2.322 million in 2020 (\$1.540 million – 2019). Cash in the amount of \$5.667 million (\$16.333 million - 2019) was used for investing activities in 2020 which included the internal financing of the new Athletics Building during the construction period. The decrease in cash for the fiscal year was \$3.775 million.

Accounts receivable decreased from \$13.214 million in 2019 to \$12.536 million in 2020. Note 3 of the Financial Statements provides detail of the accounts receivable. The allowance for doubtful accounts was increased by \$0.580 million to reflect the uncollectible nature of domestic and international student receivables representing the financial impact to students from the ongoing outbreak of COVID-19.

Investments at April 30, 2020 totalled \$129.116 million (\$128.521 million – 2019). Investments consisted of \$58.965 million in endowments, (\$58.858 million - 2019), and \$70.151 million in other investments (\$69.663 million – 2019). Other investments include \$18.179 million invested from the excess borrowings (including original principal of \$7.046 million and accumulated investment income), created when the debenture was negotiated, and \$21.228 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 \$151.835 million in 2019 to \$149.848 million in 2020. Purchases of equipment, furnishings, and library acquisitions amounted to \$1.827 million; the construction in progress of the Athletics Building increased by \$4.155 million.

Accounts payable and accrued charges decreased from \$20.182 million in 2019 to \$17.831 million in 2020. Note 6 provides detail of the accounts payable and accrued charges. The decrease in accounts payable is due to amounts owing for capital projects at April 30, 2019 compared to amounts owing for capital projects at April 30, 2020 and a general decline in trade payables.

The University records its pension obligation net of the fair value of plan assets on its balance sheet. The pension plan's deficit increased from \$3.072 million in 2019 to \$9.818 million in 2020. This increase is due mainly to actual investment returns being less than the expected returns on assets of the pension plan, offset by going concern special payments into the plan of \$0.407 million. 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 \$5.222 million at April 30, 2019 to \$8.951 million at April 30, 2020. The change in the fair value of \$3.729 million loss (\$1.487 million recovery in 2019) is shown as a separate line item at the bottom of the Statement of Operations. Note 10.6 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 \$12.600 million to \$16.042 million. Of the total deficit, \$8.951 million is attributable to the unrealized loss of the Interest Rate Swaps, \$3.090 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 \$3.066 million more in government funding for general operations in 2020 compared to 2019; the Northern Sustainability Grant received in 2020 accounted for this increase. Government and other grants for restricted purposes decreased from \$24.928 million to \$18.166 million; funding from two Green House Gas Retrofit Programs in 2019 represents the majority of this decrease.

The Statement of Operations reports total student fees increasing from \$84.733 million in 2019 to \$85.712 million in 2020; an increase of 1.16%. In fiscal 2020, domestic tuition fees were reduced by 10% in accordance with the tuition fee framework set by the Provincial government. The 1.16% growth is attributable to increases in approved tuition fee rates for both international students and the growth in year-over-year enrolment of international students.

Investment earnings decreased from \$10.244 million in 2019 to \$3.411 million in 2020. The COVID 19 pandemic contributed to significant volatility in the equity markets at April 30, 2020. Income earned on bank balances throughout fiscal 2020 accounted for 25% of the investment income in 2020. Non-endowed investments earned \$2.051 million. Zero investment income was available for capitalization to endowments in fiscal 2020. 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 that fiscal year.

The sales of goods and services decreased from \$19.544 million in 2019 to \$18.156 million in 2020; these sales include residence room revenue, meal plans, and retail sales. As a result of COVID-19 residence operations closed early resulting in partial rebates to students. The retail and food operations were closed for the last six weeks of the fiscal year which effectively reduced the revenue potential to near zero for that period. Parking services also experienced a revenue decline. However, there was also a decrease in the cost of sales and services from \$6.922 million in 2019 to \$5.702 million in 2020 which offset some of the impact from the decline in revenues.

Salaries and benefits increased from \$122.265 million in 2019 to \$127.510 million in 2020; this 4.3% increase reflects the annual increases associated with the collective agreements in place with university personnel.

Operational supplies and expenses increased from \$9.548 million in 2019 to \$9.693 million in 2020.

Building and equipment maintenance decreased from \$15.499 million in 2019 to \$11.028 million in 2020. The decrease of \$4.471 million is attributable to the funding from two Green House Gas Retrofit Programs received in 2018/19.

Scholarships, bursaries, and awards paid out decreased from \$13.793 million in 2019 to \$13.251 million in 2020. The decrease of \$0.542 was equally attributable to less requirement for pay out under the Tuition Set Aside formula and a decrease in the pay out rate for Endowments from 4% in 2018/19 to 3.5% in 2019/20.

Other expenses increased from \$7.691 million in 2019 to \$9.039 million in 2020. Bad debt expense as related to the increase in allowance for doubtful accounts was \$0.655 million higher in 2020, International Agent fees were \$0.370 higher in 2020 and memberships were \$0.103 million higher. In addition to these three line items, other expenses include insurance, legal, audit and various marketing and advertising costs.

The University completed the 2020 year with a deficit of revenue over expenses of \$2.187 million compared to \$7.516 million excess of revenue over expenses for the 2019 year – a decrease of \$9.703 million.

Sincerely,

LAKEHEAD UNIVERSITY

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

Lakehead University
Financial Statements
For the year ended April 30, 2020

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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 Organization), which comprise the balance sheet as at April 30, 2020, 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 Organization as at April 30, 2020, 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 Organization 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 Organization'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 Organization or to cease operations, or has no realistic alternative but to do so.

Those charged with governance are responsible for overseeing the Organization'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 Organization'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 Organization'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 Organization 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 1, 2020

Lakehead University Balance Sheet

April 30	2020	2019
Assets	(in thousands of dollars)	
Current		
Cash	\$ 27,566	\$ 31,341
Accounts receivable (Note 3)	12,536	13,214
Inventories and prepaid expenses	1,036	1,145
	41,138	45,700
Long-term investments (Note 4)	129,116	128,521
Capital assets (Note 5)	149,848	151,835
	\$ 320,102	\$ 326,056
Liabilities and Net Assets		
Liabilities		
Current		
Accounts payable and accrued charges (Note 6)	\$ 17,831	\$ 20,182
Deferred revenue (Note 7)	27,022	28,379
Current portion of long-term debt (Note 10)	2,358	2,322
	47,211	50,883
Faculty early retirement program costs (Note 8)	661	1,057
Accrued pension liability (Note 9)	9,818	3,072
Long-term debt (Note 10)	98,536	100,894
Interest rate swaps (Notes 10.5 and 10.6)	8,951	5,222
Deferred capital contributions (Note 11)	51,668	53,412
	216,845	214,540
Net Assets		
Internally restricted (Note 12)	60,334	65,258
Endowments (Note 13)	58,965	58,858
Unrestricted	(16,042)	(12,600)
	103,257	111,516
	\$ 320,102	\$ 326,056

Contingent Liabilities (Note 16)

On behalf of the Board of Governors:

Chair

President

Lakehead University Statement of Operations

For the year ended April 30	2020	2019
	(in thousands of dollars)	
Revenue		
Government grants for general operations	\$ 65,950	\$ 62,884
Government and other grants for restricted purposes	18,166	24,928
Student fees	85,712	84,733
Sales of goods and services	18,156	19,544
Investment income (Note 4)	3,411	10,244
Donations	3,357	2,804
Contract research	1,497	1,053
Sundry	2,083	1,835
Amortization of deferred capital contributions (Note 11)	1,861	1,863
	200,193	209,888
Expenses		
Salaries and benefits	127,510	122,265
Operational supplies and expenses	9,693	9,548
Cost of sales and services	5,702	6,922
Amortization of capital assets	7,970	10,550
Amortization of debenture issuance costs	117	117
Building and equipment maintenance	11,028	15,499
Scholarships, bursaries and awards	13,251	13,793
Utilities	4,613	4,312
Travel	4,142	4,527
Other	9,039	7,691
Interest on long term debt	5,586	5,661
	198,651	200,885
Excess of revenue over expenses before the undernoted	1,542	9,003
Unrealized loss on interest rate swaps	(3,729)	(1,487)
Excess (deficit) of revenue over expenses for the year	\$ (2,187)	\$ 7,516

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

Lakehead University Statement of Changes in Net Assets

For the year ended April 30

2020 2019

(in thousands of dollars)

	Internally Restricted	Endowments	Unrestricted	Total	Total
	(Note 12)	(Note 13)			
Balance , beginning of year	\$ 65,258	\$ 58,858	\$ (12,600)	\$ 111,516	\$ 106,259
Excess (deficit) of revenue over expenses for the year	—	—	(2,187)	(2,187)	7,516
Post-employment benefit recovery - remeasurement (Note 9)	(6,983)	—	—	(6,983)	(3,704)
Change in internally restricted net assets	1,255	—	(1,255)	—	—
Transfer from endowments	804	(804)	—	—	—
Endowment contributions	—	911	—	911	643
Capitalization of investment income in endowments	—	—	—	—	802
Balance , end of year	\$ 60,334	\$ 58,965	\$ (16,042)	\$ 103,257	\$ 111,516

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

Lakehead University Statement of Cash Flows

For the year ended April 30	2020	2019
	(in thousands of dollars)	
Cash Flows from Operating Activities		
Excess (deficit) of revenue over expenses for the year	\$ (2,187)	\$ 7,516
Items not involving cash		
Amortization of capital assets	7,970	10,550
Amortization of debenture issuance costs	117	117
Amortization of deferred capital contributions	(1,861)	(1,863)
Net change in accrued pension liability	(237)	(715)
Interest rate swaps	3,729	1,487
Net change in non-cash working capital balances related to operations (Note 18)	(3,317)	(175)
Cash provided by operating activities	4,214	16,917
Financing Activities		
Long term debt principal repayments	(2,439)	(2,379)
Deferred capital contributions received	117	839
	(2,322)	(1,540)
Investing Activities		
Endowment contributions	911	643
Capitalization of investment income in endowments	—	802
Purchase of capital assets	(5,983)	(8,461)
Change in long term investments, net	(595)	(9,317)
	(5,667)	(16,333)
Decrease in cash for the year	(3,775)	(956)
Cash, beginning of year	31,341	32,297
Cash, end of year	\$ 27,566	\$ 31,341

Lakehead University Notes to Financial Statements

April 30, 2020 (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, 2020 (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, 2020 (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, 2020 (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, 2017, 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:

	2020	2019
Tuition and residence fees	\$ 2,703	\$ 2,095
Interest and sundry accounts	7,185	7,283
Sponsored research monies	3,938	4,546
Allowance for doubtful accounts	(1,290)	(710)
	\$ 12,536	13,214

4. Long-Term Investments and Investment Income

Long-term investments consist of the following:

	2020	2019
Pooled funds	\$ 125,086	\$ 124,708
Marketable securities carried at fair value	4,030	3,813
	\$ 129,116	\$ 128,521

Lakehead University Notes to Financial Statements

April 30, 2020 (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, 2020 was \$125,086 (2019 — \$124,708). The increase in the investment during the fiscal year of \$378 includes receipts of \$751, withdrawals of \$2,599 and investment gains of \$2,226. 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, 2020 is \$18,179. Also included in the pooled funds is \$21,228 (2019 — \$22,134) 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 \$3,988 (2019 — \$3,781), life insurance policies of \$32 (2019 — \$31), and other of \$10 (2019 — \$1). The market value of the marketable securities as at April 30, 2020 was \$4,030 (2019 — \$3,813). 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:

	2020	2019
Net investment income	\$ 3,411	\$ 11,046
Amount attributed to endowment capital preservation	—	(802)
Investment income recognized during the year	<u>\$ 3,411</u>	<u>\$ 10,244</u>

5. Capital Assets

	2020			2019		
	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	8,148	34	8,182	8,126	56
Buildings	257,229	131,732	125,497	257,229	126,575	130,654
Furniture and equipment	140,309	135,145	5,164	138,601	132,815	5,786
Leasehold improvements	1,655	1,655	—	1,655	1,655	—
Library books	54,401	53,930	471	54,282	53,470	812
Construction in progress	4,553	—	4,553	398	—	398
	<u>\$480,458</u>	<u>\$330,610</u>	<u>\$149,848</u>	<u>\$474,476</u>	<u>\$322,641</u>	<u>\$151,835</u>

Lakehead University Notes to Financial Statements

April 30, 2020 (in thousands of dollars)

6. Accounts Payable and Accrued Charges

The accounts payable and accrued charges consist of the following:

	2020	2019
Trade accounts	\$ 9,558	\$ 11,898
Payroll liabilities	5,031	4,723
Vacation pay liability	2,422	2,029
Current portion faculty early retirement (Note 8)	396	396
Capital projects	424	1,136
	\$ 17,831	\$ 20,182

As at April 30, 2020 accounts payable and accrued charges include government remittances payable of \$1,619 (2019 — \$1,616).

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:

	2020	2019
Research	\$ 11,879	\$ 12,253
Other restricted purposes	15,143	16,126
	\$ 27,022	\$ 28,379

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:

	2020	2019
2020	\$ —	\$ 396
2021	396	396
2022	396	396
2023	236	236
2024 and beyond	29	29
Subtotal	1,057	1,453
Current portion (Note 6)	396	396
Total	\$ 661	\$ 1,057

Lakehead University Notes to Financial Statements

April 30, 2020 (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:

	2020	2019
Accrued benefit obligation	\$ (78,912)	\$ (83,120)
Fair value of plan assets	69,094	80,048
Plan deficit	\$ (9,818)	\$ (3,072)

The significant actuarial assumptions in calculating the University's liability accrued as at April 30, 2020, were a discount rate of 5.90% (2019 — 5.90%), a general salary increase assumption of 4.55% (2019 — 4.55%) per annum and the CPM2014 Public Sector mortality table. See Note 16 (c) for the description of a contingency relating to this Plan.

Remeasurements, which are recorded in the consolidated statement of changes in net assets, rather than in the consolidated statement of operations, are as follows:

	2020	2019
Expected return less actual return on plan assets	\$ 8,196	\$ (517)
Actuarial (gains) losses	(1,213)	4,221
	\$ 6,983	\$ 3,704

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.

Lakehead University Notes to Financial Statements

April 30, 2020 (in thousands of dollars)

9. Accrued Pension Liability (continued)

b. Lakehead University Employee Pension Plan (continued)

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. Employer contributions are integrated with the Canada Pension Plan.

The employee benefits expense for the year includes pension expense of \$4,830 (2019 – \$5,213).

10. Long-Term Debt

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.

	2020	2019
	\$ —	\$ 87

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.

1,372	1,485
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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.

18,415	19,127
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Lakehead University Notes to Financial Statements

April 30, 2020 (in thousands of dollars)

10. Long-Term Debt (continued)

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 \$21,228 (2019 — \$22,134) of a debt repayment sinking fund for project loans being amortized over their initial terms. The fair value of the debenture at April 30, 2020 was \$108,046 (2019 — \$99,748).

	81,107	82,517
	100,894	103,216
Current portion	2,358	2,322
	\$ 98,536	\$ 100,894

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>
2021	\$ 2,358
2022	2,485
2023	2,621
2024	2,761
2025	2,910
Thereafter	87,759
	\$ 100,894

10.5 Interest Rate Swaps

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 \$1,873 (2019 — \$606) is recorded in the Statement of Operations as unrealized loss on interest rate swap. The interest rate swap agreement will expire on October 1, 2036.

10.6 New Financing Agreement and Interest Rate Swaps

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.

Lakehead University Notes to Financial Statements

April 30, 2020 (in thousands of dollars)

The University entered into an interest rate derivative agreement to manage the volatility of interest rates on this loan. The University converted floating rate debt for fixed rate debt of 3.10%. The change in the fair value of this interest rate swap of \$1,856 (2019 – \$881) is recorded in the statement of operations as unrealized loss on interest rate swap. This interest rate swap agreement will expire on September 1, 2045.

The notional loan amounts and fair value of the swaps are as follows:

	2020		2019	
	Notional Loan Amount	Fair Value of Swap	Notional Loan Amount	Fair Value of Swap
Interest rate swaps:				
Note 10.3 and 10.5	\$ 18,415	\$ 6,214	\$ 19,127	\$ 4,341
Note 10.6	—	2,737	—	881
	\$ 18,415	\$ 8,951	\$ 19,127	\$ 5,222

10.7 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 (2.45% 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:

	2020	2019
Balance , beginning of year	\$ 53,412	\$ 54,436
Add: contributions received for capital asset purchases	117	839
Less: amortization of deferred capital contributions	(1,861)	(1,863)
Balance , end of year	\$ 51,668	\$ 53,412

Lakehead University Notes to Financial Statements

April 30, 2020 (in thousands of dollars)

12. Internally Restricted Net Assets

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

	2020	2019
Operating Fund		
Repairs and replacements	\$ 2,660	\$ 1,971
Self-insurance	250	250
Unexpended budgets and departmental incomes	16,834	11,846
Future year's budget	500	500
Employee pension benefits	(9,818)	(3,072)
Ancillary Enterprises	640	894
Restricted Funds		
Trust funds	14,189	15,653
Interest earned on investment from excess borrowing	7,561	7,226
Research funds	1,886	1,516
Bond Sinking Fund	21,228	22,134
Investment in Capital Assets	(2,616)	(680)
Land Appraisal Reserve	7,020	7,020
	\$ 60,334	\$ 65,258

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 \$58,965 (2019 — \$58,858).

14. Ontario Student Trust Funds

Externally restricted endowments of \$58,965 (2019 — \$58,858) 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.

Lakehead University Notes to Financial Statements

April 30, 2020 (in thousands of dollars)

14. Ontario Student Trust Funds (continued)

OSOTF (Phase I)	2020	2019
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	\$ 8,016	\$ 6,675
Unrealized Investment Income (loss)	(68)	1,480
Bursaries Awarded	(219)	(139)
Expendable Funds , end of year	\$ 7,729	\$ 8,016
Number of Bursaries Awarded	223	106
Market Value of Endowment	\$ 14,692	\$ 14,979
 OSOTF (Phase II)	 2020	 2019
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	\$ 1,389	\$ 1,171
Unrealized Investment Income (loss)	(43)	251
Bursaries Awarded	(57)	(33)
Expendable Funds , end of year	\$ 1,289	\$ 1,389
Number of Bursaries Awarded	28	13
Market Value of Endowment	\$ 2,918	\$ 3,018

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.

Lakehead University Notes to Financial Statements

April 30, 2020 (in thousands of dollars)

14. Ontario Student Trust Funds (continued)

The following is the schedule of donations received for the period from April 1, 2019 to March 31, 2020 (April 1, 2018 to March 31, 2019).

	2020	2019
Donations eligible for matching	\$ —	\$ —
Donations not yet eligible for matching	—	—
Total cash donations	\$ —	\$ —

The following is the schedule of changes in endowment fund balance for the period from April 1, 2019 to March 31, 2020 (April 1, 2018 to March 31, 2019).

	2020	2019
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, 2019 to March 31, 2020 (April 1, 2018 to March 31, 2019).

	2020	2019
Expendable Funds , beginning of year	\$ 5,655	\$ 4,895
Unrealized Investment Income	(690)	925
Bursaries Awarded	(282)	(165)
Expendable Funds , end of year	\$ 4,683	\$ 5,655
Number of Bursaries Awarded	118	56
Market Value of Endowment	\$ 13,238	\$ 14,210

Lakehead University Notes to Financial Statements

April 30, 2020 (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, 2020, 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 \$1,592 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, 2020 (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>
2021	\$ 479
2022	303
2023	288
2024	288
2025	193

The estimated cost to complete the construction project in progress as of April 30, 2020, which will be funded by long-term debt (Note 10.6), is \$6,447.

18. Statement of Cash Flows

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

	2020	2019
Accounts receivable	\$ 678	\$ (1,660)
Inventories and prepaid expenses	109	155
Accounts payable and accrued charges	(2,351)	(2,408)
Deferred revenue	(1,357)	4,130
Faculty early retirement program	(396)	(392)
	<u>\$ (3,317)</u>	<u>\$ (175)</u>

Lakehead University Notes to Financial Statements

April 30, 2020 (in thousands of dollars)

19. Related Party Transactions

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

	2020	2019
Recoveries and charges for goods and services	\$ 1,880	\$ 1,845

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, 2020 the University had \$336 (2019 — \$384) receivable from the School and had a payable of \$69 (2019 — \$172) 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, 2020 (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.

21. COVID-19 ("Coronavirus")

In March 2020, the World Health Organization declared the spread of coronavirus ("COVID-19") outbreak as a pandemic. As a result of this, on March 23, 2020, the government of Ontario ordered the closure of all non-essential businesses effective March 24, 2020. In addition, the Canadian government imposed travel restrictions to Canada until further notice. These restrictions impacted the operations of the University and resulted in the closure of physical premises of all post-secondary institutions. The impact of COVID-19 also adversely impacted global commercial activity and contributed to the significant volatility in certain equity and debt markets. This led to significant volatility and declines in the global public equity markets, and it is uncertain how long this volatility will continue.

The extent of such adverse effects on the University's business and financial and operational performance are uncertain and difficult to assess. The financial impacts will depend on future developments, including the duration, spread and severity of the outbreak; physical distancing requirements; the duration and geographic scope of related travel advisories and restrictions; and the extent of disruptions to businesses globally and its related impact on the economy.

As the impacts of COVID-19 continue, there could be further impact on the University, its students and funding sources. Management is actively monitoring the effect on its financial condition, liquidity, operations, suppliers, and workforce. Management has assessed the going concern assumptions and believes there are no issues, given the University has a strong working capital base to support operations in the coming year.

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

May 1, 2019 to April 30, 2020

Submitted by the Chair of the REB:
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, 2019 to April 30, 2020.

COVID-19 and the REB

Lakehead University suspended all in-person face-to-face research with human participants in March 2020 due to the COVID-19 pandemic. Research which was already planned to be done online (i.e., surveys or questionnaires) or by electronic means (i.e., telephone/Zoom interviews) was allowed to continue.

The REB immediately enacted the Standard Operating Procedure (SOP) for [REB Review During Publicly Emergencies](#). In accordance with these procedures, the REB deemed the level of impact as "moderate" and proceeded with new reviews, renewals, and modifications as long as the requests followed all Lakehead University, District Health Units, and provincial guidelines. No in-person research was approved.

The REB followed Section 5.5 of the SOP regarding expedited review of research related to COVID-19. As of April 30, 2020, 4 research projects had been submitted to the REB related to COVID-19.

Researchers who wished to continue their research who were not currently using online or electronic data collection methods were required to submit amendments to their protocols to the REB for the change to online/electronic research. Research could not re-start until the REB approved of the changes.

As of April 30, 2020 (end date of this report), in-person face-to-face research remains suspended.

2019 - 2020 MEMBERSHIP OF THE REB:

MEMBERSHIP CRITERIA	VOTING 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.	Ryan Tonkens, (Bioethicist, Centre for Health Care Ethics)
Minimum of six full time faculty members who have expertise in relevant research disciplines, fields and methodologies covered by the REB.	Frederico Oliveira (Anthropology) Claudio Pousa (Business Administration) - Vice Chair Asad Aman (Business Administration) Tanya Kaefer (Education) Kristin Burnett (Indigenous Studies) – CHAIR

	Paolo Sanzo (Kinesiology) Eryk Przysucha (Kinesiology) Dwight Mazmanian (Psychology) Monica Flegel (English) Teresa Socha (Education) Erin Cameron (NOSM)
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:

No breaches of research integrity were reported in 2019-2020.

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 2019-2020.

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 members elected to the Vice-Chair and/or Chair roles to serve longer than the limit of 2 3-year terms if needed. Limited to one additional 3-year term. This ensures continuity of leadership on the REB.
- 2) Change of language from "Aboriginal" to "Indigenous" throughout.
- 3) Removal of "2014" identifying version of TCPS2 unless referencing a specific Article in which case 2014 has been changed to 2018.

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, manages 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. A half-time Research Ethics Coordinator assists with the clerical and administrative tasks associated with the operation of the REB. The Office of Research Services is currently in the process of recruiting a new Research Ethics Coordinator.

USE of TECHNOLOGY:

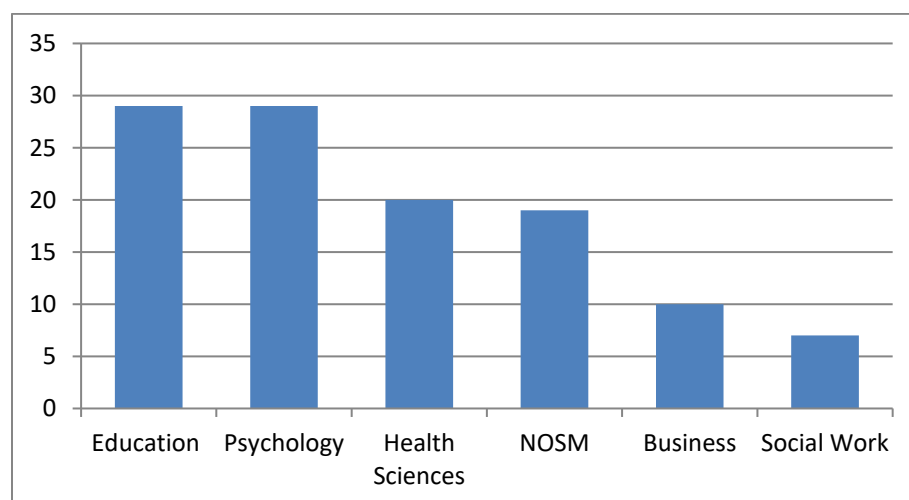
The Office of Research Services' software system (Process Pathways "Romeo"), continues to enable on-line submissions of ethics applications and their review by members. Protocol amendments, renewals, and final reports are also submitted through this system.

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 in September, November, January, and February. No meetings were held in March and April 2020 due to COVID-19.

Top 6 Submitting Departments to the REB:



New submissions to the REB – 173 (represents a 13% increase from the previous year)

- Number of submissions approved – 148
- Number of submissions withdrawn by the researcher - 10
- Number of submissions still under review – 15
- Minimal risk projects (delegated review) – 147
- More than minimal risk projects (full Board review) – 1
- Review by Chair only (already approved at another Canadian TCPS compliant University) - 10
- 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)
- Final Reports are reviewed by the REAO. If there are unusual responses to the Final Report questions, i.e., a high rate of participant drop out, the REB Chair will review the Final Report and communicate with the researcher should the need arise.

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 3-4 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.

In the fall of 2019, the Research Services Office held a full day research ethics workshop for graduate students, faculty, and interested researchers. The workshops featured a panel of researchers engaged in

challenging and unique research projects, breakout groups, and presentations. Those who attended the workshop received a certificate.

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 cancelled due to the COVID-19 pandemic.

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 holds its annual meeting each fall. The meeting serves as a forum for discussion around processes for reciprocal review and administrative procedures between the two REBs.

Reciprocity Reporting for 2019-2020:

Number of protocols in which Lakehead University REB is the REB of Record: **12**

Number of protocols in which TBRHSC REB is the REB of Record: **10**

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

NORTHERN ONTARIO RESEARCH ETHICS HARMONIZATION INITIATIVE

Lakehead University's Office of Research Services and the Northern Ontario School of Medicine are working on an initiative that would expand our current reciprocity ethics review model to all universities and major hospitals in northern Ontario. The successful implementation of the Lakehead University-TBRHSC reciprocity agreement is being used as the foundation for expanding the model. The Northern Ontario Research Ethics Harmonization Initiative will increase research productivity by eliminating multiple REB reviews for multi-site projects.

CONTINUING ETHICS REVIEW PROGRAM:

The REB is continuing to finalize the new 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 process includes random compliance audits of projects greater than minimal risk.

ACHIEVEMENTS FOR 2019-2020

Research Ethics Education: Workshop held on November 16, 2019

Led by Sue Wright, Office of Research Services and Kristin Burnett Chair, REB, Lakehead University, in collaboration with the ethics offices of the TBRHSC, and St. Joseph's Care Group, and the Research Office at NOSM, a Workshop titled, *"Research Ethics: Best Practices and How to Apply"* was successfully delivered. The Workshop was well attended and took place on Saturday, Nov 16, 2019 and was tailored to graduate level students and emerging researchers. The morning session consisted of a Panel of experts from the TBRHSC, LU and NOSM, with the afternoon a review of ethics case studies, ethical best practices, and research integrity. Nearly 60 participants attended the day-long Workshop. Evaluations were distributed with very positive feedback received.



Other achievements include:

- S. Wright presented on the Lakehead/TBRHSC REB Reciprocity Agreement at the Ontario Council on University Research which has a membership of Ontario University Vice-President's of Research. As a result of the panel presentations that day, OCUR struck a working group to assess multi-jurisdictional research ethics review on Ontario and how it could be made more efficient. S. Wright along with colleagues from Western University, the University of Toronto, Brock University, and Laurier University are leading this provincial initiative. The first step will be a provincial survey of current practices regarding multi-jurisdictional ethics review at Ontario Universities.
- S. Wright co-presented at two Indigenous Research Workshops (Thunder Bay and Orillia campuses) regarding best practices when working with Indigenous people and communities
- S. Wright provided an educational workshop titled, "Research Ethics and Beyond" at the TBRHSC Annual Research Day
- S. Wright was a guest speaker at three research methodology courses – Nursing, Health Sciences, and NOSM.
- Anne Klymenko, Director Research Services and Dr. Gautam Das, delivered a joint Research Integrity workshop that included content focused on prevention of research misconduct related to non-compliance with research ethics guidelines.
- Two new members were invited to join the REB and accepted – Dr. Ryan Tonkens (Bioethicist, Centre for Health Care Ethics), and Dr. Erin Cameron (NOSM)
- REB reviewed and adopted the Canadian Association for Research Ethics Board (CAREB) SOPs
- Office of Research Services/REB supported the Kim Anderson Talk – Dr. Anderson is the Canada Research Chair in Indigenous Relationships
- REB amended its Application Form and Final Report Form to ensure that researchers disseminate their research in an appropriate and timely manner when requested by participants

New/continuing Initiatives for 2020-2021

- Develop COVID-19 Phase 2-Stage 3 protocols to re-start in-person research in situations where remote research methodologies are not possible and the research is critical and time sensitive
- Renewal of REB Appeal Agreement with Laurentian University
- Discussions continue with St. Joseph's Care Group REB to enter into a reciprocity arrangement
- NOSM and TBRHSC to procure Romeo research ethics module to enable sharing of research information related to multi-site research ethics reviews.
- Implement the Continuing Review program
- Update to the Guidelines on the Use of Students as Research Subjects
- Create new guiding principles regarding privacy and online research
- Continue to develop resources for researchers working with Indigenous participants and communities – a new webpage was created by the Office of Research Services in 2019-2020.

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 of the REB for 2019-2020.

A handwritten signature in black ink, appearing to read 'Kristin Burnett', with a long, sweeping underline.

Dr. Kristin Burnett
REB Chair

Appendix A – Letters of Compliance



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

May 15, 2020

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 my knowledge for the period May 1, 2019 to April 30, 2020, 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).

Sincerely,

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

Dr. Kristin Burnett,
Chair, Lakehead University REB



Thunder Bay Regional
Health Sciences
Centre

980 rue Oliver Road
Thunder Bay, ON
P7B 6V4 Canada

Tel: (807) 684-6000
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September 2, 2020

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, 2019 to March 31, 2020, 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, October 2020

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 2018~~4~~, and hereinafter referred to as the TCPS2. 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~~.

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 201~~8~~4 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 201~~8~~4 (*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.

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 (*TCP2 2014*⁸⁴ 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.

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 self-identifies as Indigenous or 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 Indigenous or Aboriginal peoples.
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.

In accordance with the TCP2 2014⁸⁴ (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.

Terms

Appointments are for three-year terms, renewable once. An exception to the term of an appointment can be made for the members elected to the Chair and/or Vice-Chair positions; this will enable a member to serve 3 years as Vice-Chair, then 3 years as Chair to ensure continuity of leadership on the REB.

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 2018⁴ 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, 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.

E) Administrative Support

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 1, 2020

From: Brian McKinnon - Chair, External Relations Committee

Subject: External Relations Committee Open Report

Report Time: 10 minutes

Committee Members: Robert Arnone; Dr. Michel Beaulieu; Dr. Christine Gottardo; Brian McKinnon (Chair); Dr. Moira McPherson; Ross Murray; Anna Sampson; Sean Speer; David Tamblyn

The Board External Relations Committee (BERC) met five times (November 6, 2019, January 8, 2020, February 12, 2020, April 8, 2020 and September 16, 2020). One scheduled meeting (May 20, 2020) was cancelled.

Committee Overview/Orientation

During the first meeting, the Committee reviewed:

- Board External Relations Committee Terms of Reference
- 2019-20 proposed workplan

Institutional Philanthropic Campaign

The Committee continued its work on the Institutional Philanthropic Campaign throughout the term. KCI attended a meeting to provide the Committee with a status report on campaign work to date and to discuss the next steps. The Committee engaged in a planning study working session with KCI, endorsed the key recommendations arising from the KCI Campaign Planning Study and made a recommendation to the Board of Governors on April 24, 2020 in camera.

Reports/Updates and Presentations Received

- Athletics Facility Expansion Campaign presentation
- Alumni Geographical Data update
- 2019-20 quarterly reports (on gifts accepted or declined)
- 2019-20 quarterly financial reports and year end financial report
- Institutional Philanthropic Campaign year end report
- Committee's final workplan progress report (for 2019-20 term) - the Committee reports that all workplan items are complete

Fellow of the University

- The Committee agreed to accept the recommendation from the Board Governance and Nominating Committee to consider transferring the Fellow of the University work from the Governance and Nominating Committee to the External Relations Committee. The Governance and Nominating Committee will be reviewing this transfer during the 2020-21 term.

Received at Every Meeting

- Vice-President/Interim Vice-President, External Relations Report
- President's Report
- Committee Workplan Progress Report
- 2019-20 Board Meeting Schedule

Due to the sensitive and/or confidential nature of some of the agenda items, a confidential in camera annual report has been submitted to the Board.

ANNUAL REPORT TO THE BOARD OF GOVERNORS – October 1, 2020

From: Maria Vasanelli - Chair, Learning and Liaison Committee

Subject: Learning and Liaison Committee Report

Report Time: 10 minutes

Committee Members: *David Tamblyn; Dr. Moira McPherson; Dr. Christine Gottardo; Sean Speer; Maria Vasanelli (Chair); Wendy Walberg*

The BLLC met five times (November 6, 2019; January 8, 2020; April 8, 2020; May 20, 2020; September 16, 2020). One scheduled meeting (February 12, 2020) was cancelled. The Committee made revisions to its Terms of Reference during the 2019-20 term to allow for all Board of Governors members to participate in BLLC meetings (as non-voting members). All Board members were invited to the May 20, 2020 and September 16, 2020 meetings.

Committee Overview/Orientation

During the first meeting, the Committee reviewed:

- Learning and Research Committee Terms of Reference
- 2019-20 proposed workplan

Terms of Reference Review – New Focus and Name Change

During the term, the Committee worked on making significant changes to its mandate, including changing its name to the Board Learning and Liaison Committee (BLLC). The rationale for these changes:

1. To clarify and transform the role of the Committee
2. Allow more manageable workload for the Governance and Nominating Committee
3. Reduce the role of the Executive Committee
4. Create more cohesive and robust Board professional development
5. Promotion of collegial governance

The revised Terms of Reference became effective as of March 12, 2020. It was determined that the new composition of the BLLC (as of March 12, 2020) be implemented in October 2020 for the new 2020-21 term.

Reports/Updates and Presentations Received:

- Report on Research and Innovation Week planning
- Update on Remote Course Delivery
- Institutional Quality Assurance Process (IQAP) annual report
- Patents and Commercialization - The University Reality presentation
- Committee's final workplan progress report (for 2019-20 term) - the Committee reports that all workplan items are complete

Summary of Other Workplan Items Completed

- Made minor amendments to the Board of Governors Mentorship Program Guidelines and Process,
- Reviewed Board professional development planning and Committee of the Whole topics
- Planning for Board fall retreat and orientation
- Incorporated into the Committee's workplan a one year plan on Research Education topics for the 2020-21 term
- Lakehead University Student Union (LUSU) Executive annual visit

Policies Review

- Professor Emeritus Policy
- Honorary Professor Policy
- Adjunct Professor Policy

Received at Every Meeting

- Committee Workplan Progress Report
- 2019-20 Board Meeting Schedule

Recommendations Made to the Board of Governors During the 2019-20 Term

- Approval to recommend removing the Board of Governors as an approval authority body for the Professor Emeritus Policy.
- Approval to recommend amendments to the BLRC Terms of Reference to the Board Governance and Nominating Committee for consideration.
- Approval to recommend that the Honorary Professor Policy be rescinded. The Senate approved the recommendation to rescind this policy at its March 2, 2020 meeting, as it is no longer relevant.
- Approval to recommend that the proposed amendments to the Adjunct Professor Policy be approved.

ANNUAL REPORT TO THE BOARD OF GOVERNORS – October 1, 2020

From: Barbara Eccles – Secretary, Governance and Nominating Committee

Subject: Governance and Nominating Committee (BGNC) Annual Report

Committee Members: *Ross Murray; Angela Maltese; David Tamblyn (Acting Chair); Dr. Moira McPherson; Anna Sampson; Wendy Walberg; Maria Vasanelli; Cathy Tuckwell*

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

NOTE: *Kathryn Rippey, BGNC Committee Chair, resigned from the Board of Governors on July 9, 2020. David Tamblyn was appointed Acting Chair for the remainder of the term during the September 2020 meeting.*

The BGNC met eight times (November 6, 2019; January 6, 2020 (special-Bylaws); January 8, 2020; February 12, 2020; April 8, 2020; May 20, 2020; June 18, 2020 (special); September 16, 2020) during the 2019-20 term. All Board members were invited to attend the June 18, 2020 and September 16, 2020 meetings.

Committee Overview/Orientation

During the first meeting, the Committee reviewed:

- Board Governance and Nominating Committee Terms of Reference
- 2019-20 proposed workplan

The following three workplan items were not completed during the 2019-20 and will be carried forward for consideration for the 2020-21 committee workplan:

1. Evaluate Board in camera meeting process pilot project
2. Review performance evaluation reports for the 2019-20 Board term
3. Review first draft of revised Bylaws

2018-19 Board Performance Evaluation Report

Annually the Board conducts a performance evaluation for the Board of Governors, the Board Chair, Standing Committees and Standing Committee Chairs. The Committee received and discussed the results of the 2018-19 survey.

2019-20 Board Performance Evaluation Survey

The Committee made amendments to the Board performance survey. The survey was launched on June 8, 2020. The survey summary has not yet been reviewed by the Committee.

Evaluation of Orientation Sessions

Annually, the BGNC evaluates the Board of Governors orientation program and review the feedback that was received. The Committee also reviewed the Joint Committee Chair Orientation Session that was held in September 2019.

Notice of Terms Expiring

Annually, the Board is advised in writing by the Secretary of the names of those members whose terms expire during the current year [Bylaws: Article 7]:

- Angela Maltese (term ends December 3, 2020)
- Ann Dumyn (eligible for one more three year term)
- Cathy Tuckwell (eligible for two more three year terms)
- Sean Speer (eligible for two more three year terms)
- Michel Beaulieu (eligible for one more two year term)

Evergreen List and Board Recruitment/Appointments

November 2019:

- The Committee received a summary of members whose terms expire during the current year and decisions that the Committee has made in the past few months.
- The Committee received and reviewed nominations for student candidates recommended by the Lakehead University Student Union and made a recommendation to the Board to appoint Dawne Mowbray for the remained of the term.
- The Committee established the Interview Sub Committee for the 2019-20 term.

January and February 2020:

- The Committee continued to reviewed nominations and determined the next steps for each.
- The Committee will be making a recommendation to the Board of Governors to approve two additional external Board members and to amend future Board meeting schedules.

April 2020:

- At its February 12, 2020 meeting the Committee decided to recommend that the Board approves two additional external members. Filling these new positions was delayed due to the current LGIC applications process.
- The Committee received a reminder summary of members whose terms expire during the current year and decisions that the Committee has made in the past few months.
- The Committee reviewed and discussed a new nomination that was received and a list of external nominations on the interview list and those under evaluation.
- A report on Evergreen List member engagement was provided. It was suggested that participation at Lakehead events be tracked if possible.

June 2020:

- New nominations that were received since the last meeting, nominations on the interview list and those under evaluation were reviewed.
- The Committee approved appointments to fill the upcoming Ogimaawin-Indigenous Education Council Member and Alumni Association Member vacancies and will be making a recommendation to the Board at the annual meeting.
- Members received an update on LGIC applications.
- The results of the 2020-21 Committee Preference and Other Opportunities questionnaire was reviewed.

- The Committee continues its work on Board Officer, Standing Committee Chair, and Committee membership assignment, and appointments to external organizations (OIEC, Alumni Association, Lakehead Pension Plan) for the 2020-21 term and will be making a recommendation to the Board at the annual meeting.
- It was determined that Ross Murray and Angela Maltese will conduct the 2020 exit interviews.

September 2020:

- The Secretary gave a report on the status of Evergreen List members.
- Members receive a report from the Board Interview Sub committee regarding interviews that were conducted over the summer.
- An update on LGIC appointments/reappointments was provided.
- The Committee approved to recommend that Cathy Tuckwell's term as an External Member be renewed until her LGIC appointment is approved and will be making a recommendation to the Board at the annual meeting.
- The Committee approved to recommend that Angela Maltese be recommended to the Board for election to fill one External Member vacancy for a term, commencing December 3, 2020 to the close of the annual meeting in Fall 2023.
- It was determined that the Committee defer making a recommendation to the Board regarding new LGIC recommendations until after the new external members have been elected.
- The Committee approved to recommend that the following individuals be recommended to the Board for election to fill External Member vacancies for three year terms: 1. Claudine Cousins; 2. Mark Smith; 3. Michael Nitz
- The Committee will be making a recommendation to the Board at the annual meeting regarding the Student Member appointment.
- The Committee will be making a recommendation to the Board regarding Board Officers at the annual meeting.
- The Committee will be making a recommendation to the Board at the annual meeting regarding Standing Committee membership for the Audit and Risk, External Relations, Finance and Operations, Governance and Nominating, and Learning and Liaison Committees.
- The Committee approved recommendations for appointments to the organizations listed below and will be making a recommendations to the Board at the annual meeting:
 - Ogimaawin Indigenous Education Council
 - Board of the Professional Staff Pension Plan
 - Lakehead University Employee Pension Plan Advisory Committee
- The Board Chair indicated that each Standing Committee will appoint its Chair at its first meeting following the Board annual Meeting.

Board Standing Committee Terms of Reference Review

- The Committee adopted a Terms of Reference Review timeline.
- The Committee reviewed proposed amendments to the Terms of Reference for the Learning and Research, Governance and Nominating, Executive Committee and Audit and Risk Committees and made recommendations to the Board.

2020-21 Board Meeting Schedule

The Committee reviewed and discussed the proposed Board meeting schedule for the 2020-21 term and made a recommendation to the Board.

Size of Board and Number of Meetings

The Committee made a recommendation to the Board to approve two additional external Board members and to amend future Board meeting schedules.

Board of Governors Chair/Vice Chair Election Procedures

During the term, the Committee determined the need for the adoption of procedures for the Chair and Vice-Chair elections during the annual meeting. The Board Chair/Vice-Chair Election Procedures document was approved by the Board on August 31 2020.

Transfer of Work to other Standing Committees

November 2019:

- The BGNC Chair was invited to attend a Learning and Research Committee meeting on November 6, 2019 to participate in a discussion regarding the purpose and mandate of the BLRC and possibly amending the Terms of Reference. The BGNC Chair indicated that she would be willing to recommend that the BGNC delegates some of their tasks to the BLRC.

January 2020:

- The Committee reviewed the Fellow of the University process, the criteria, and suggested a review of the Fellow of the University Procedures and Guidelines. The group discussed the relevance of this item falling under the purview of the Board External Relations Committee.

February 2020:

- Members approve to recommend amendments to the Terms of Reference for the Governance and Nominating Committee, Learning and Research Committee (newly named the Learning and Liaison Committee), and the Executive Committee that would allow work from each of these Committee's to be transferred to the new Learning and Liaison Committee.

Board of Governors Comprehensive Bylaw Review

During the 2018-19 term, the BGNC initiated the Board Comprehensive Bylaw Review.

November 2019:

- The Committee reviewed and discussed proposed amendments recommended by the General Counsel and University Secretary for consideration.

January 2020:

- The Committee held a special meeting on January 6, 2020 that focused on the Board Comprehensive Bylaw Review. All members of the Board were invited to participate in the meeting. Members received Amendments for Consideration (a document prepared by the General Counsel and University Secretary that outlines proposed amendments for consideration from the Good to Great Governance Review (Bonnie Patterson)), from the University Secretariat, other technical amendments for consideration, and a Bylaw legal review in comparison with the Lakehead University Act and the Corporations Act. Recommendations were made that will be incorporated into the first draft of the Bylaws.

February 2020:

- The Committee appointed Kathryn Rippey, Angela Maltese and Cathy Tuckwell, plus one other Board member (to be recruited) to constitute the Board of Governors Bylaw Review Sub Committee. The sub committee will report to the BGNC and the BGNC will determine the final recommendations to make to the Board regarding any proposed amendments to the Board Bylaws.

June 2020:

- It was reported that the Bylaw Review Sub Committee still has some work to do and that the revised Bylaws will come forward to the BGNC as soon as they are ready. It was determined that it is not necessary at this time to have external legal counsel review the revised Bylaws.

Board Chair Succession Planning Process

(recommendation coming from the Report to the Board of Governors on Governance Best Practices (Benchmark 15.6))

The Committee reviewed and recommended amendments to the draft Board Chair Selection Procedures document, prepared by the University Secretary and made a recommendation to the Board.

Anonymity of Board Standing Committee Survey

Members discussed the process of the newly formatted Board of Governors evaluation survey that was implemented this term. The Committee made recommendation to the Board.

2020 Fellow of the University

January 2020:

- In accordance with the Fellow of the University Procedures and Guidelines, the Committee reviewed the nominations submitted during the 2020 Fellow of the University Call for Nominations. The Committee made a recommendation to the Board regarding new candidate(s) to be added to the Board approved "Fellow Nominees List".

February 2020:

- In accordance with the Fellow of the University Guidelines and Procedures, the Committee reviewed the Board Approved Fellow Nominees List and ranked potential candidate(s). The Committee made a recommendation to the Board of Governors for an addition to the Board Approved Fellow list.

April 2020:

- It was reported that two individuals have accepted the offer to be conferred Fellows at the spring 2020 Convocation ceremonies. As it will not be possible to hold the spring Convocation ceremonies originally planned to take place in May/June 2020 due to the COVID-19 pandemic, the University is hoping to reschedule Convocation ceremonies for sometime this fall. The Committee adopted a motion to extend the offer to the two individuals to be conferred Fellows at the 2021 Convocation ceremonies, or any earlier ceremonies that might be planned.

Policies Reviewed

- Professor Emeritus Policy – a recommendation was made to the Board.

Other Updates/Reports Received

- Board of Governors Diversity Annual Report - It was reported that the Board has met all diversity criteria as set out in the Board of Governors Diversity Policy.
- 2018-19 annual record of attendance report
- Report on exit interview conducted

Informational Items Received

- Detailed workflow tracking chart
- Report on upcoming 2019-20 Board performance survey
- Completed skills matrix
- 2020-21 Committee Preference Form
- Kathryn Rippey's resignation letter

Received at Every Meeting

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

Motions Approved by the Committee

- Approval to interview the student candidates as soon as possible.
- Approval of the membership of the 2019-20 Interview Sub Committee.
- Approval to add new candidate(s) to the Board approved "Fellow Nominees List" for future consideration.
- Approval of the individual(s), who have been ranked in order of preference, be conferred Fellow of Lakehead University at on of the 2020 Convocation ceremonies, subject to their acceptance.
- Approval to amend future Board of Governors meeting schedules so that the annual Orillia meeting in June is moved to align with another Orillia event (not in June), if possible.
- Approval to delay Board interviews until after the Board has considered the recommendation to add two additional external members.
- Approval that an offer be extended to the two individuals to be conferred Fellows at the 2021 Convocation ceremonies, or any earlier ceremonies that might be planned.
- Approved that Ross Murray and Angela Maltese conduct exit interviews.
- By consensus, to adopt the Standing Committee Terms of Reference Review timeline.

Recommendations Made to the Board of Governors During the 2019-20 Term

- Approval to recommend the proposed amendments to the Executive Committee Terms of Reference.
- Approval to recommend Dawne Mowbray for appointment as the Student Member immediately until the annual meeting 2020.
- Approval to recommend the proposed amendments to the Audit and Risk Committee Terms of Reference.
- Approval to recommend that the size of the Board increase by two additional external members.
- Approval to recommend that the Board remove itself as an approval authority of the Professor Emeritus policy.

- Approval to recommend the 2020-21 Board meeting schedule with a June 2021 Board meeting in Orillia.
- Approval to recommend that the following Board Committee Terms of Reference be recommended to the Board for approval: 1. Board Learning and Research Committee (newly named the Board Learning and Liaison Committee); 2. Board Governance and Nominating Committee; 3. Board Executive Committee (contingent upon BEC approval of this recommendation); and that in the event the BEC does not approve the proposed amendment to their Terms of Reference that the proposed amendments to the BLRC and BGNC Terms of Reference be recommended to the Board of Governors for approval without the addition of the Board Retreat to the BLRC Terms of Reference.
- Approval to recommend the Board approves the draft Lakehead University Board of Governors Board Chair, Vice-Chair and Past Chair Selection Guidelines and Process.

Recommendation Coming Forward During the October 1, 2020 Board of Governors Meeting

- Approval to recommend that Ann Dumyn be reappointed for a three year term.
- Approval to recommend that Cathy Tuckwell's term as an External Member on the Board be renewed for a three year term or until her LGIC appointment is approved, whichever comes first.
- Approval to recommend that Murray Waboose be reappointed as the OIEC Member for a one year term.
- Approval to recommend that Debra Woods be appointed as the Alumni Association Member for a two year term.
- Approval to recommend that Cathy Tuckwell be recommended as the Board of Governors member on Senate for a 1 year term.
- Approval to recommend that Angela Maltese be recommended for election to fill one External Member vacancy for a term commencing December 3, 2020 and ending at the close of the Annual Meeting in fall 2023.
- Approval to recommend that the following individuals be nominated for the election or appointment as Officers of the Lakehead University Board of Governors for a one year term: Chair - Angela Maltese; Vice-Chair - Ann Dumyn; Past-Chair - Ross Murray; President - Dr. Moira McPherson; Secretary - Barbara Eccles
- Approval to recommendation that the Board approves the proposed Standing Committee membership for the Audit and Risk, External Relations, Finance and Operations, Governance and Nominating, and Learning and Liaison Committees.
- Approval to recommend that the Board appoints the following individuals to the Board of the Professional Staff Pension Plan for a one year term: Cathy Tuckwell; John Guerard.
- Approval to recommend to the Board 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 a one year term.

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.

Board of Governors of Lakehead University
Proposed 2020-21 Committee Structure

CONFIDENTIAL THIRD DRAFT

As of 28-Sep-20

<u>Board Officers</u>		=denotes proposed Board member
Required: Chair, VC, PC, President, Secretary		
Name	Office	
Angela Maltese	Chair	
Ann Dumyn	Vice-Chair (VC)	
Ross Murray	Past Chair (PC)	
Moira McPherson	President	
Barbara Eccles	Secretary	

<u>Board Executive Committee</u>			Chair: Angela Maltese
Required: Chair, VC, PC, President, BFOC Chair, BGNC Chair, BARC Chair, 7 external people (including President)			
Name	Title	Rationale	
Angela Maltese	Chair	Required	
Ann Dumyn	Vice-Chair	Required	
Ross Murray	Past Chair	Required	
Moira McPherson	President	Required	
TBD	BFOC Chair	Required	
TBD	BGNC Chair	Required	
TBD	BARC Chair	Required	
TBD		7th external member	May be necessary

<u>Board Finance and Operations Committee</u>			Chair: TBD
Required: Chair, VC, President, Faculty Senator, Staff Member, Student Member, 4 external members (one from BARC); at least 2 members financial experience, one property construction or planning experience			
Name	Title	Rationale	
Angela Maltese	Chair	Required	
Ann Dumyn	Vice-Chair	Required - BARC	
Moira McPherson	President	Required	
Christine Gottardo	Faculty Senator	Required	3rd choice
Anna Sampson	Staff Member	Required	
Brandon Amyot	Student Member	Required	New
Cathy Tuckwell		external - BARC	1st choice
Maria Vasanelli		external	2nd choice
Robert Arnone		external - BARC	1st choice
Michael Nitz		external	New

Board of Governors of Lakehead University
Proposed 2020-21 Committee Structure

CONFIDENTIAL THIRD DRAFT

<u>Board Audit and Risk Committee</u>			Chair: TBD
Required: VC, President, 4 external members (one from BFOC)			
Name	Title	Rationale	
Ann Dumyn	Vice-Chair	Required	
Moira McPherson	President	Required	
Robert Arnone		external - BFOC	
Brian McKinnon		external	2nd choice
Cathy Tuckwell		external - BFOC	
Mark Smith			New

<u>Board Governance and Nominating Committee</u>			Chair: TBD
Required: Chair, VC, PC, President, Senator OR Staff, 3 external			
Name	Title	Rationale	
Angela Maltese	Chair	Required	
Ann Dumyn	Vice-Chair	Required	
Ross Murray	Past Chair	Required	
Moira McPherson	President	Required	
Anna Sampson	Staff Member	either Staff or Faculty	
Maria Vasanelli		external	1st choice
Wendy Walberg		external	1st choice
Claudine Cousins		external	New

<u>Board Learning and Liaison Committee</u>			Chair: TBD
Required: PC, President, Student, Faculty Senator, OIEC Member, Alumni Member, at least 3 external (preference to new members)			
Name	Title	Rationale	
Ross Murray	Past Chair	Required	
Moira McPherson	President	Required	
Christine Gottardo	Faculty Senator	Required	
Brandon Amyot	Student member	Required	New
Maria Vasanelli		external	3rd choice
Debra Woods	Alumni member	external	New
Mark Smith	new member	external	New
Michael Nitz	new member	external	New
Claudine Cousins	new member	external	New
Murray Waboose	OIEC member	external	
Wendy Walberg		external	2nd choice

Board of Governors of Lakehead University
Proposed 2020-21 Committee Structure

CONFIDENTIAL THIRD DRAFT

Board External Relations Committee

Chair: TBD

Required: Chair, President, Faculty Senator, Staff Member, 3 external

Name	Title	Rationale	
Angela Maltese	Chair	Required	
Maira McPherson	President	Required	
Christine Gottardo	Faculty Senator	Required	1st choice
Anna Sampson	Staff member	Required	
Brian McKinnon	City member	external	1st choice
Robert Arnone		external	2nd choice
Mark Smith		external	New
Debra Woods	Alumni member	external	New
Claudine Cousins		external	New
Michael Nitz		external	New
Murray Waboose	OIEC member	external	

OTHER APPOINTMENTS

Member on Senate	Cathy Tuckwell		
Member on OIEC	Ann Dumyn		
Pension Advisory Board	Cathy Tuckwell	John Guerard	2nd Pension rep needed

REPORT TO THE BOARD OF GOVERNORS – October 1, 2020

From: Barbara Eccles – General Counsel and University Secretariat

Subject: Ogimaawin Indigenous Education Council (OIEC) Report

Voting Members in Attendance: Kathy Beardy; Matthew Bombardier; Nancy Bouchard (Chair); Anna Fern Kakegamic (Alternate for Kathy Beardy); Dr. Rhonda Koster (Alternate for Dr. David Barnett); Dr. Paul Cormier; Ann Dumyn; Dr. Moira McPherson; Tim Pile

Non Voting Members in Attendance: James Aldridge; Denise Baxter; Barbara Eccles (Secretary); Dr. Julia Hughes; Jerri-Lynn Orr; Dr. Lana Ray; Valerie Stortini (Vice-Chair); Robin Sutherland; Dr. Cynthia Wesley-Esquimaux

The OIEC met on May 25, 2020. The following items of business were on the agenda:

Approval of O-AGC Bylaw Revisions

Following a thorough review of the O-AGC Bylaws that included comprehensive research and consultation, the O-AGC Bylaw Review Committee's final version of the revised Bylaws was approved at the May 25, 2020 O-AGC meeting. Substantive amendments were enacted to enhance the work of this significant group.

The following substantive amendments, many of which were identified in promising practices from the Academics review of Aboriginal education councils in Ontario, are intended to strengthen external member engagement, ensure meaningful agendas for all members, improve experiences and outcomes for Indigenous students, and recognize the growth of internal resources.

- Renaming the O-AGC to the **Ogimaawin Indigenous Education Council (OIEC)**
- Clarification and focusing of the OIEC's Mission and Mandate
- Senior institutional leadership engagement: External Caucus meetings with the President and external OIEC members prior to each meeting
- Senior institutional leadership at the table: OIEC Advisory to the President; Provost and Vice-President (Academic), President, Principal of the Orillia campus and the Vice Provost (Indigenous Initiatives) are all members
- Ensuring meaningful agendas for all members including through consultation in agenda building
- Majority membership from External community
- Better use of internal members time and efforts by reducing duplication of work and meeting time through modifications to OIEC composition (e.g removing non-voting internal OIEC members) while maintaining a meaningful connection through the OIEC Advisor's Committee key role in the functioning of the OIEC
- Sharing of data and research: Review of University initiatives affecting Indigenous post-secondary education; Review of the admission, recruitment, retention, and graduation rates for Indigenous students

O-AGC Advisors Committee Terms of Reference

It was determined that the role of the Advisors Committee may need to be reviewed as a result of the significant revisions to the O-AGC Bylaws that came into effect July 1, 2020. Dr. David Barnett, Denise Baxter and Dr. Paul Cormier agreed to meet over the summer to review the Committee's Terms of Reference.

Joint SAC/O-AGC Sub Committee Terms of Reference

The OIEC reviewed and approved proposed amendments to the Joint SAC/O-AGC Sub Committee Terms of Reference.

Presentations, Reports and Updates Received

- Report from the President
- Indigenous Self-Identified Student Statistics Presentation
- Updates from external Indigenous Organizations (Anishinabek Employment & Training Services; Metis Nation of Ontario; Matawa First Nations Management)
- OIEC Advisors Committee Update
- Joint SAC/O-AGC Update
- Chair on Truth and Reconciliation Report
- Office of Indigenous Initiatives Report
- Board of Governors Report
- Native Nurses Entry Program Report

REPORT TO THE BOARD OF GOVERNORS

From: Barb Eccles

Board Meeting Date: October 1, 2020

Subject: Senate Report

September 14, 2020 Senate Meeting Summary

Prior to the meeting being called to order Dr. McPherson and the appropriate faculty and Deans acknowledged some friends and members of the Lakehead University community who passed away, including Dolores Wawia, Dr. S. Richard MacGillivray, Bill Zonnefeld, Neetu Bhal, Dr. John Holmes Kelleher, Dr. Clement Fisher Kent, and Emile “Gonzo” Jean. This was followed by a moment of silence.

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

- Dr. Liang Cui, Assistant Professor in the Department of Civil Engineering
- Daniel Dylan, Assistant Professor in the Faculty of Law
- Dr. Ryan McVeigh, Assistant Professor in the Departments of Sociology and Interdisciplinary Studies
- Dr Julie Rosenthal, Assistant Professor in the School of Outdoor Recreation, Parks and Tourism
- Dr. Will Zhao, Assistant Professor in the Faculty of Business Administration

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, Joint Senate Committee for NOSM, Senate Research Committee, and the Senate Teaching and Learning Committee were circulated in advance of the meeting.

The Senate adopted the following Senate Committee recommendations:

- MOVED that the attached amendments to the Professional Associate policy be approved.

- MOVED that the attached amendments to the Adjunct Professor policy be approved.
- MOVED that the NOSM Graduate Studies Academic Appeals Policy and Procedure be approved as attached.
- MOVED that the revised 2020-2021 MD Program Calendar of Academic Events is approved as attached.
- MOVED that the revised 2020-2021 MD Program Calendar of Academic Events is approved as attached.
- MOVED that the attached amendments to the Distinguished Researcher Award guidelines be approved.
- MOVED that the Retention of Examinations policy and the Students' Right to View Final Examinations policy be rescinded; and that the attached policy on Final Examinations: Retention and Viewing be approved.

In addition, the Senate adopted 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, 2021.
- MOVED that the attached Lakehead University Student Union appointment recommendations be approved.
- MOVED that the attached Adjunct Professor recommendation be approved.

The Senate was provided with the following items for information:

- Late Additions to the List of Graduands
- Calendar Change Deadline Reminder
- Northern Ontario School of Medicine Report
- Council of Ontario Universities Academic Colleagues Report
- Ogimaawin Indigenous Education Council Report
- Board of Governors Report
- President's Report
 - Report on Student Appeals 2019-2020
 - Integrated Planning and Budgeting presentation
- Provost & Vice-President (Academic) Report

Access to the September 14, 2020 Senate meeting materials is available on the [Senate section of the website](#).