

**NOTICE OF MEETING**

**There will be a meeting of the  
Board of Governors  
Tuesday, May 23, 2023  
at 4:00 pm  
Freed-Orman Commons, Assumption Hall**

**AGENDA**

<b>ITEM</b>	<b>DOCUMENT/ACTION</b>
<i>Land Acknowledgement</i>	
<i>Declaration of conflict of interest</i>	
<b>1 Approval of the Agenda</b>	
<b>2 Minutes of the meeting of April 25, 2023</b>	<b>Reidel-Approval BG230425M</b>
<b>3 Business arising from the minutes</b>	
<b>4 Outstanding Business/New Business</b>	
<b>4.1 Reports:</b>	
<b>4.1.1 Remarks from the Chair</b>	<b>Reidel-Information</b>
<b>4.1.2 President's Report</b>	<b>Gordon-Information</b>
<b>4.1.3 Questions Arising from Vice-Presidents' Reports (p. 3)</b>	<b>Vice-Presidents-Information BG230523-4.1.3</b>
<b>4.2 Audit Committee</b>	
<b>4.3 Executive Committee</b>	
<b>4.4 Governance Committee</b>	
<b>4.5 Human Resources Committee</b>	
<b>4.5.1 2022 Employee Engagement Survey: Turning Survey Results     Into Action (p. 21)</b>	<b>Brown-Information BG230523-4.5.1</b>
<b>4.6 Investment Committee</b>	
<b>*4.6.1 Report of the Board Investment Committee (p. 27)</b>	<b>Allison-Information BG230523-4.6.1</b>
<b>*4.6.2 Pension and Endowment SIPP Revisions (p. 28)</b>	<b>Allison-Approval BG230523-4.6.2</b>

- \*4.6.3 JPM FX Hedging Election (p. 30) Allison-Approval  
BG230523-4.6.3
- 4.6.4 Responsible Investing Policy – Revisions (p. 31) Allison-Approval  
BG230523-4.6.4
- 4.6 Pension Committee
  - \*4.7.1 Pension Plan Text Update Project – Employees Phase 2 (p. 40) Oliveira-Approval  
BG230523-4.7.1
  - 4.7.2 Funding Policy for the Employees’ Retirement Pension Plan (p. 56)  
for Unifor Members Oliveira-Approval  
BG230523-4.7.2
- 4.7 Resource Allocation Committee
  - 4.8.1 2023-2024 Ancillaries Budgets Sonego-Approval  
*[including Residence, Meal Plan, and Parking Fees]* (p. 69) BG230523-4.8.1
  - 4.8.2 Net Zero Campus Master Plan Update (p. 86) Sonego-Information  
BG230523-4.8.2
- 5 In Camera
- 6 Adjournment

[Bylaw 1, Section 2.6 – Consent Agenda: Items that normally do not require debate or discussion either because they are routine, standard, or noncontroversial, shall be “starred” (identified by an asterisk (\*)) on the agenda. “Starred” items will not be discussed during a meeting unless a member specifically requests that a “starred” agenda item be ‘unstarred’, and therefore open for discussion/debate. A request to “unstar” an agenda item can be made at any time before (by forwarding the request to the Secretary) or during the meeting. By the end of the meeting, agenda items which remain “starred” (\*) will be deemed approved or received by the Board, as the case may be. No individual motion shall be required for the adoption of “starred” agenda items.

**University of Windsor  
Board of Governors**

4.1.3: **Vice-Presidents' Reports**

Item for: **Information**

**Report of the Vice-President, Equity, Diversity, and Inclusion (Interim)**

*Clinton Beckford*

The VPEDI is away for most of the month of May, pursuing humanitarian work in Tanzania. A report on the work of the Office of the VPEDI will be provided at the next Board meeting. An update and presentation on turning the Employee Engagement Survey results into action is on the May meeting agenda, under the Board Human Resources Committee.

**Report of the Vice-President, Finance and Operations**

*Gillian Heisz*

**Campus Net Zero Master Plan**

The University is progressing well through the Campus Net Zero Master Plan project, led by our consultant partners at Stantec. The purpose of the project is to identify a roadmap to achieving net zero carbon emissions from campus assets, which would include "Scope 1" (direct GHG emissions from sources that are controlled or owned by the institution) and "Scope 2" (indirect GHG emissions from the purchase of electricity, steam, heat, or cooling) emissions. A detailed workshop was recently conducted at the Resource Allocation Committee of the Board, and feedback will be incorporated into the plan. A master plan is expected to be delivered to the Board of Governors in Fall 2023. In the meantime, the new dual electric chiller arrived on campus last week, and installation has begun.

**Space Planning Studies for CEI/CARE and Essex Hall**

The teams are thrilled to be kicking off two new space studies for significant assets on the University's campus. The University sees a need to conduct space studies to reflect changing space needs as a result of COVID-19, significant enrolment changes, and our net zero carbon aspirations. A space study is an excellent place to start as it reviews the needs of the users and prioritizes the reconfiguration of existing spaces first before making any changes to footprint (either increases or decreases). Here is an overview of the exciting projects:

*Centre for Engineering Innovation and Centre for Automotive Research and Education*

While CEI is relatively new, enrolment size and trends have changed the requirements for the nature of space required. In Fall 2013, the Faculty of Engineering had approximately 2,000 students, with 36% of those students in research-based graduate programs. In Fall 2022, the Faculty of Engineering had nearly 3,700 students, with 9% of those students in research-based graduate programs. CEI is also home to the Masters of Engineering program, one of the University's most popular programs. These students lack social/gathering spaces and have expressed a need for more collision spaces.

The successful proponent is NORR, and the steering committee will be co-Chaired by Dr. Bill Van Heyst (Dean of Engineering) and Ryan Kenney (AVP Operations). We expect the reimagination of this space will significantly advance the institution's strategic priorities around equity, diversity and inclusion, support enrolment through internationalization, and enhancement of the student experience. The work is expected to conclude prior to the end of 2023.

### Essex Hall

Essex Hall is a 1960's 300,000+ square foot building used by a diverse group of campus entities. Science and FAHSS are the primary users of the building, but the building is also home to the Chemical Control Centre, the central receiving and storage facility for sensitive substances for the campus. The main building comprising Essex Hall has been renovated on several occasions, with additions constructed in more recent years.

Essex Hall is one of the largest carbon emitters on campus and is the building with the most significant deferred maintenance requirements (in terms of dollar value). The University's Operating Budget is not able to support the full deferred maintenance investment that Essex Hall requires. Our primary objective is to use the space study report as a starting point towards preparation of a 'shovel ready' project for a transformation of Essex Hall, expected to include a footprint reduction and modernization. A prospective project of this nature will be well positioned for funding by Provincial and Federal governments because of its "STEM" focus, and significant GHG reduction potential.

The successful proponent is CS&P Architects, and the steering committee will be co-Chaired by Dr. Chris Houser and Gillian Heisz. We expect the reimagining of this space having the potential to support further enrolment growth in Science and help meet a number of the institution's strategic priority areas including a healthy and sustainable campus, and enhancement of the student experience. The work is expected to conclude prior to the end of 2023.

## **Report of the Provost and Vice-President, Academic (Acting)**

*Patti Weir*

### **1. Student Evaluations of Teaching (SET) Score Task Force**

Information session held Friday May 5, 2023.

### **2. Term 1 – Brightspace – E. Kustra**

The University has successfully completed the transition of its Learning Management System (LMS) to Brightspace. Turnitin was integrated in the new system, and Blackboard was fully retired on April 28, 2023. We would like to thank everyone involved for the tremendous work to provide a smooth campus transition to Brightspace. 18,750 users have migrated to the new platform and in the Winter 2023 term there were 1598 active course sites.

From January 1 to April 30, the CTL supported 427 visits to the Brightspace drop-in support, with a majority being served virtually. 579 Brightspace help-tickets were completed during that same period. The CTL facilitated 37 Brightspace workshops during the Winter semester (Jan 1 to April 30), with 127 attendees.

Verbal feedback has largely been positive, and a survey for systematic feedback and recommendations will be circulated in May to continue improvements.

The [Brightspace Faculty Champions](#) have been valuable contributors to the implementation of Brightspace, and will be available for instructors learning and exploring Brightspace for the upcoming Summer and Fall terms. CTL virtual and in-person drop-ins are continuing through the summer semester to prepare those teaching in the summer and planning for the Fall term. Many additional resources are found on our [Brightspace support website](#).

### **3. Office of Open Learning grants - N. Baker**

Information about the two grant programs can be found at: <https://www.uwindsor.ca/openlearning/513/funding>

### **Digital, Open, and Online Learning Grants**

The Office of Open Learning call for proposals for Digital, Open, and Online Learning Grants closes Friday, May 5th. Themes for the 2023 funding round include (but are not limited to):

- Supporting the priorities of the Aspire Strategic Plan
- Supporting and exploring flexible, hybrid teaching and learning
- Exploring the potential impacts of Artificial Intelligence (AI) in education
- Indigenization and decolonization of digital learning

- Equitable and ethical assessment practices
- Microcredentials

Proposals can request up to \$4000 for individuals and up to \$8500 for collaborative projects.

**Microcredentials Pilot Fund**

A call for proposals for the Microcredentials Pilot Fund will be announced soon. The fund aims to support the development and launch of a small number of microcredentials from across campus to test and refine the draft University of Windsor Microcredentials Framework and provide a proof of concept before a broader launch of the framework.

Successful applicants will be provided with funding, instructional design support, administrative support (enrollment, fee collection and disbursement, marketing, digital credential issuing, and access to appropriate institutional systems for learners (equivalent to Continuing Education student limited access). Applicants will develop and launch a microcredential in the 2023/24 academic year using the draft framework, and will provide feedback to inform the refinement of the framework and processes. Successful students in the microcredentials will receive digital credentials issued using the institutional digital credential platform.

**4. Head Start – P. Lam**

Lead by the Office of Student Experience in partnership with academic Faculties and student support offices, a total of six Head Start events will be held, five in-person one virtual day. Changes for this year include greater involvement of student societies, engagement with the BIDE Institute and full integration of sessions for General & Mature, Transfer and Part-time students through the assistance and support of Academic Advising to make a truly inclusive event.

Friday, July 7<sup>th</sup>: FAHSS & Education

Saturday, July 8<sup>th</sup>: Science, Nursing & Education

Friday, July 28<sup>th</sup>: Engineering, Business & HK

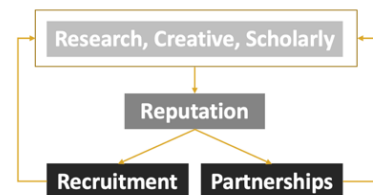
Saturday, August 12<sup>th</sup>: General & Mature, Transfer, Part Time

Wednesday August 16<sup>th</sup>: Virtual session for mature transfer part time students - 12pm to 2pm

**Report of the Interim Vice-President, Research, and Innovation**

*Chris Houser*

Research, scholarship, and creative activity are critical to the reputation of the University of Windsor and have a significant influence on our ability to recruit and retain undergraduate and graduate students.



**Canada Research Chairs:** As discussed at an earlier Senate meeting, the University of Windsor has several open (3) and expiring (4) Canada Research Chairs (CRCs) available over the next couple of years. A request for proposals was distributed to the campus community in Fall 2022 and the 29 submitted proposals were reviewed and ranked by the Executive Leadership Team (ELT), Deans, Associate Deans of Research and the Office of Research and Innovation Services. Based on this review, the following 3 CRCs were deemed to be a strategic opportunity for the University of Windsor:

- **Health Disparities and Public Health-** Faculty of Arts, Humanities and Social Sciences
- **Health Biostatistics-** Faculty of Human Kinetics
- **Environmental/One Health Genomics-** Faculty of Science

These CRCs leverage on the of the Windsor-Essex County Health Unit (WECHU) to campus next year. The searches will start in July 2023 so that the incoming Vice President for Research can chair the search committees. The successful proposals for the remaining (expiring) chairs will be announced by the incoming VPRI next fall.

**WE-SPARK Think Tank:** The WE-SPARK Health Institute hosted a Think Tank with the Windsor-Essex County Health Unit (WECHU) on April 21<sup>st</sup>. A summary of the Think Tank Outcomes is provided in the adjacent graphic.

**Lean Audit of Research:** As previously noted, we conducted a Lean Audit of research services, to ensure that our research process, from the announcement of a grant to the closure of a research account is effective and supports research, creative and scholarly activity. Faculty from across campus with different levels and types of research were invited to participate in a workshop to determine how we can further support research and ensure that our processes are effective. The outcomes of the Lean Audit are appended to this report, and it will guide the incoming VPRI on how to improve research services in the future.

**THINK TANK**  
MOVING IDEAS FORWARD  
we:spark HEALTH INSTITUTE

**APRIL 21, 2023**

**63 PARTICIPANTS**    **10 ORGANIZATIONS**    **14 DISCIPLINES**

**THINK TANK OUTCOMES**

**1.) UPDATES WERE PROVIDED**  
LED BY: LISA PORTER, PH.D.  
WE-SPARK HEALTH INSTITUTE, EXECUTIVE DIRECTOR

- WE-SPARK HEALTH INSTITUTE OVERVIEW & RESEARCH TOOLS
- UPCOMING EVENTS AND ANNOUNCEMENTS
- PREVIOUS THINK TANK SUCCESSSES
- FUNDING OPPORTUNITIES (PROVIDED BY INGRID QEMO, PH.D.)

**we:spark HEALTH INSTITUTE**

**2.) PRESENTATIONS & DISCUSSIONS**

**DARCIE RENAUD**  
WINDSOR ESSEX COUNTY HEALTH UNIT  
INTEGRATING HEALTH EQUITY & POPULATION HEALTH APPROACHES IN WINDSOR & ESSEX COUNTY

**RAMSEY D'SOUZA**  
WINDSOR ESSEX COUNTY HEALTH UNIT  
PREDICTIVE MODELLING FOR FOOD-BORNE ILLNESS IN WINDSOR & ESSEX COUNTY USING ACES DATA

**GORDON THANE**  
WINDSOR ESSEX COUNTY HEALTH UNIT  
DRUG CHECKING SERVICES IN WINDSOR & ESSEX COUNTY

**3.) FEEDBACK FROM PARTICIPANTS**

**4.4/5 PARTICIPANT RATING (AVG)**

- "HAVE THINK TANKS MORE OFTEN"
- "EXCELLENT CONVERSATIONS WITH MANY DISCIPLINES IN A RELAXED FORMAT"
- "GREAT, SUPPORTIVE ENVIRONMENT."

**#WESPARKHEALTH**

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INTERESTED IN LEARNING MORE? WANT TO PRESENT AT THE NEXT THINK TANK?  
CONTACT WESPARKHEALTH@UWINDSOR.CA



University  
of Windsor

## **Research Administration Process Focus Group Report**

Marcela Ciampa M.A., B.Ed.  
Director, Organizational & Leadership Development

**April 2023**

**Office of the Vice-President, Equity, Diversity and Inclusion**

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## Introduction

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Dr. Chris Houser, Interim Vice-President, Research and Innovation, requested the design and facilitation of focus groups to identify opportunities to enhance the efficiency and supports associated with the research administration process. The research administration process provides a range of grant facilitation supports/services to scholars at the University of Windsor from the identification of funding opportunities through to post-award administration. **Appendix A** includes a high-level overview of the activities in the form of a research administration flowchart.

Focus groups were designed and facilitated by Marcela Ciampa, Director, Organizational & Leadership Development in the Office of the Vice-President, Equity, Diversity and Inclusion.

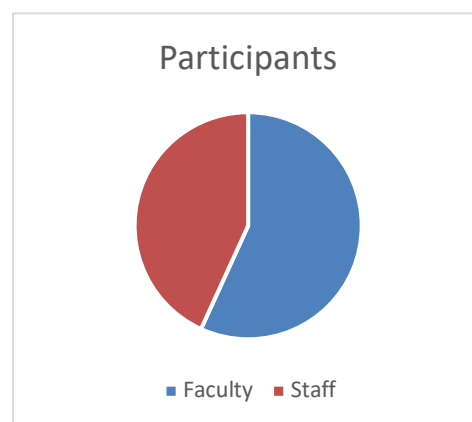
### Goals of the Focus Groups

The focus groups were designed to:

- Take stock of bottlenecks, pressure points, and challenges associated with the current research administration process.
- Identify opportunities to build a more supportive research culture.

### Participants:

A total of 25 faculty members at various stages of their careers and 19 staff from Research Finance, Office of Research & Innovation Services (ORIS), Office of the Vice-President, Research and Innovation, Animal Care, Research Ethics, and Research Finance Research Ethics, Animal participated in 6 focus groups that were held in February and March 2023 (4 faculty focus groups, 2 staff focus groups).



### Methodology:

The focus groups consisted of the following key activities:

1. A flowchart of the research administration process was posted on the wall.
2. Participants were provided 10 Post-It notes and asked to write on each a pressure point, bottleneck, and/or challenge associated with any of the steps of the Research Administration Process flowchart and to post them on the wall below the relevant step of the flowchart.
3. Participants participated in a roundtable discussion to share 1 of the pressure points, bottlenecks, or challenges that they had posted.
4. Participants were then provided 4 dot stickers and asked to review the items posted and place the dots on the items that from their perspective were the most critical.
5. Participants were then asked to identify strategies/supports to tackle current challenges and/or enhance a supportive research culture.

Please note that the first focus group with researchers followed a slightly modified facilitated process.

### Data Analysis

A thematic analysis of the data emerging from the 6 focus group activities was conducted. As part of this process, broad categories/themes were identified. Ideas were then summarized and grouped by theme, duplicate items were removed, and like items combined.

This report includes the data emerging from the data analysis.

## Section 1 – Research Administration Process – Current Realities

Participants were provided with Post-It notes and asked to write on each one a pressure point, bottleneck, and/or challenge associated with any of the steps of the Research Administration Process flowchart and to post them on the wall under the corresponding step of the process flowchart. This was followed by a priority-setting exercise using dot stickers to identify the areas that participants felt were the most critical.

This section presents a summary of the analysis of the data gathered through the activities conducted at the focus group sessions organized by step of the Research Administration Process and divided by participant group (Researchers, Staff).

### 1. Focus Groups - Researchers

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
<b>Identify funding opportunities</b>	Need for enhanced supports to identify and diversify funding opportunities.	<ul style="list-style-type: none"> <li>• Inadequate support to build research collaborations/teams to apply for grants and to identify funding opportunities in general.</li> <li>• Not receiving the required information to apply for large grants.</li> <li>• Not receiving funding deadline reminders.</li> <li>• Not enough support to connect humanities to funding opportunities.</li> <li>• Lack of influence/connections with Tri-Council and other government agencies.</li> <li>• Not pursuing major gifts, fundraising to fund research.</li> <li>• University’s reputation impacting ability to secure grants.</li> <li>• Lack of an industrial liaison to connect researchers to industry/private sector to expand research funding opportunities.</li> <li>• Too much focus on the ‘big three’ funding sources (SSHRC, CIHR, NSERC).</li> <li>• Not focusing on international grants.</li> </ul>
<b>Develop and submit the funding proposal</b>	Need for more specialized and other supports to prepare competitive funding proposals.	<ul style="list-style-type: none"> <li>• Lack of a dedicated team of grant writers to provide enhanced assistance to preparing funding proposals.</li> <li>• Lack of critical feedback on proposals submitted.</li> <li>• Internal deadlines are too early.</li> <li>• Delays in confirming course releases and capping releases to 1 per year even for large collaborative grants.</li> <li>• Lack of specialized support to develop collaborative/team/multi-institutional grants.</li> <li>• Insufficient support for coordinating the administrative components of applications, including lack of templates that researchers can use to streamline these components of applications.</li> <li>• Lack of assistance with CCV submission to funding agencies.</li> <li>• Redundant forms/paperwork.</li> </ul>

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
		<ul style="list-style-type: none"> <li>• Securing 'in kind' contributions is inconsistent/unclear.</li> <li>• No support for securing certifications required for some grant funding.</li> </ul>
<b>Receive notification that proposal was successful</b>	Lack of notification and public funding announcement protocols and lack of alignment with opening of accounts.	<ul style="list-style-type: none"> <li>• No notification protocols for external grants.</li> <li>• No alignment between notification of funding and opening of accounts.</li> <li>• Lack of clarity regarding public announcements.</li> </ul>
<b>Set up the research project</b>	<p>Insufficient mentorship and training, increased workload and backlogs, and lack of integration of systems and suitable space for conducting research.</p> <p><u>Establish the Grant:</u> Research Finance processes and system create challenges.</p> <p><u>Hire Personnel:</u> Need for enhanced hiring supports and streamlined recruitment and hiring processes.</p>	<ul style="list-style-type: none"> <li>• Lack of mentorship and training provided beyond grant development.</li> <li>• Increased workload: administrative tasks consume a large portion of time.</li> <li>• Lack of clear and consistent course release policies across faculties and departments.</li> <li>• Space restrictions: lack of space for personnel and/or inappropriate space.</li> <li>• Backlogs across the various components of the research administration process negatively impacting short-term grants particularly.</li> <li>• Lack of integration and technical support for systems associated with research administration (I.e., ORACLE, ERSO, Centre Suite).</li> <li>• Delays in opening grant accounts resulting in late payroll and/or missing deadlines.</li> <li>• Lack of Research Finance transparency and accuracy of reports.</li> <li>• Large percent overhead charged.</li> <li>• Issues associated with the handling of MITACS and escrow.</li> <li>• Challenges associated with UWinsite Finance system and associated processes increasing administrative workload.</li> <li>• No easy way to distribute funds over multiple grants.</li> <li>• Hiring processes are not streamlined and are too complex. Lack of clear processes and steps for completing hiring processes (i.e., how to hire on contracts, how to hire research employees for longer term, information on labour policies, roles, taxes, immigration/visa, etc.).</li> <li>• Barriers/challenges paying individuals for services provided (i.e., short contracts, Indigenous Elders, community members).</li> <li>• Tuition fees make UWindsor less competitive, and therefore it is difficult to attract research associates, graduate students, etc.</li> <li>• Lack of support for increasing salaries of highly qualified personnel (HQP), including research-based international graduate students.</li> </ul>

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
		<ul style="list-style-type: none"> <li>• Lack of support to orient and train new hires.</li> <li>• Challenges recruiting research personnel particularly in fields that are of high demand (i.e., nursing).</li> </ul>
	<p><u>Purchase Materials:</u> Delays with purchasing of materials, reimbursements, lack of guidance and administrative processes associated with UWinsite Finance.</p>	<ul style="list-style-type: none"> <li>• Delays with purchasing-related processes and travel reimbursement.</li> <li>• Issues with expense reimbursement approval process and delays at the faculty/department level.</li> <li>• Lack of guidance regarding reimbursing travel for graduate students.</li> <li>• Restrictions on spending leading to inability to spend all research funds.</li> <li>• P-Card challenges, including limits on purchases, allocation of expenditures to accounts, etc.</li> <li>• Challenges associated with RFQ process, including control over purchasing large items and sole-source purchases.</li> <li>• Lack of dedicated administrative support to navigate systems and processes and process expenses.</li> <li>• Insufficient training to enhance proficiency in UWinsite Finance.</li> </ul>
	<p><u>Meet Compliance Requirements:</u> Compliance requirement delays, lack of clarity and supports.</p>	<ul style="list-style-type: none"> <li>• Need a shift in culture – from compliance culture to more of a research supportive culture.</li> <li>• REB process challenges (i.e., clearance delays, lack of transparency, consistency, clarity, accessibility, irrelevant revision requests).</li> <li>• Too many audits.</li> <li>• Insufficient safety and research security guidance provided.</li> <li>• Little support to obtain Health Canada /Government of Canada certifications.</li> <li>• Research Safety Committee delays, overly detailed process.</li> </ul>
<b>Manage/monitor research grant</b>	Accuracy and timeliness of finance reports to support managing/monitoring grants.	<ul style="list-style-type: none"> <li>• Not receiving regular financial updates and inability to easily access all transaction details.</li> <li>• Inaccurate balance of accounts: financial statements provided are either not up-to -date or are incorrect.</li> <li>• Long delays in the allocation of funds and difficulties getting up-to-date financial data close to the end of grants, resulting in unspent funds.</li> <li>• Issues associated with inter and intra university fund management and transfers negatively affect University reputation with partners.</li> <li>• Lack of clarity of Research Finance policies: no consistent answers provided.</li> <li>• No support for grant amendments.</li> </ul>
<b>Disclose IP and</b>	Lack of	<ul style="list-style-type: none"> <li>• No IP-related education provided.</li> </ul>

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
manage commercialization of technology	information/education and discipline-specific support.	<ul style="list-style-type: none"> <li>IP disclosure is easy but advancement to patent slow.</li> <li>Lack of discipline-specific knowledge at ORIS to support IP and commercialization.</li> </ul>
Close the grant/project	Lack of notifications and support to close grants and for knowledge mobilization.	<ul style="list-style-type: none"> <li>Lack of advance notification of deadlines, lack of clarity regarding handling of unspent funds, and no notification of end of contracts.</li> <li>Lack of support for knowledge mobilization</li> <li>Lack of assistance completing non-technical details of reports.</li> <li>Many grants are not closed by Research Finance and therefore stay “empty” in the system.</li> </ul>

Of the theme descriptors outlined above, the following were brought forward the greatest number of times by participants.

- REB process challenges.
- Lack of up-to-date financial information (balance account and financial statements).
- Lack of notification of grant-related timelines and clarity regarding handling of unspent funds.
- Delays with purchasing and reimbursement of expenditures.
- Difficulty navigating hiring and other HR-related processes.
- Challenges associated with the UWinsite Finance system and related processes.

The following were identified as the top 3 in criticality through the priority-setting exercise:

- Challenges associated with UWinsite Finance system and associated processes increasing administrative workload.
- Hiring processes as not streamlined and complex. Lack of clear processes and steps for completing hiring processes (i.e., how to hire on contracts, how to hire research employees for longer term, information on labour policies, roles, taxes, immigration/visa, etc.).
- Delays in confirming course releases and capping releases to 1 per year even for large collaborative grants.

## 2. Focus Groups – Staff

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
General - applies to various steps	Lack of resources, policy interpretation alignment, and accountability.	<ul style="list-style-type: none"> <li>No consequences when processes/timelines are not followed.</li> <li>No policy interpretation alignment across research leadership.</li> <li>Lack of resources to properly support researchers post-award. Increase in number of faculty hired but not in the number of positions to support research activity.</li> </ul>
Identify funding opportunities	Lack of diversity of funding opportunities, reliance on Tri-Agency, and lack of up-to-date information.	<ul style="list-style-type: none"> <li>Lack of time for ORIS staff to proactively search for funding opportunities beyond the Tri-Agency /University’s focus on Tri-Agency.</li> <li>Inconsistent processes across faculties with respect to internal competitions and lack of UWindsor grant-</li> </ul>

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
		<p>eligibility policy.</p> <ul style="list-style-type: none"> <li>Inability of some faculty (typically women and racialized individuals) to apply for internal grants to build a track record for external grants.</li> <li>No longer hosting research town halls for new hires.</li> <li>Distribution lists are not up-to-date.</li> <li>Internal grant programs do not always loop in ORIS.</li> </ul>
<b>Develop and submit the funding proposal</b>	Lack of support to develop proposals and inability to enforce deadlines.	<ul style="list-style-type: none"> <li>Inability to enforce internal deadlines to give research coordinators adequate time for a thorough review.</li> <li>Lack of support provided to researchers, including orientation to the research-administration process.</li> <li>Lack of consistent process for applying to grants and seeking internal review of applications.</li> </ul>
<b>Receive notification that proposal was successful</b>	Notifications of approved funding not always communicated.	<ul style="list-style-type: none"> <li>ORIS does not always receive notification of successful proposals.</li> <li>ERSO records are not created for sub-awards, research coordinator not always notified prior to submission.</li> </ul>
<b>Set up the research project</b>	Lack of orientation to the research-administration process.	<ul style="list-style-type: none"> <li>Lack of a checklist, orientation package, video, training, PPT to better support and guide researchers.</li> <li>Lack of clarity regarding processes such as non-disclosure agreements, material transfer agreements, etc.</li> </ul>
	<u>Establish Grant:</u> Lack of communication, database inefficiencies, and inaccurate information creating delays.	<ul style="list-style-type: none"> <li>Backlogs associated with not opening grants until all required certifications are obtained.</li> <li>Lack of accurate grant information to open an account.</li> <li>Lack of communication between ORIS and Research Finance (i.e., internal funding accounts, transfers into lab accounts).</li> <li>Research Finance not properly resourced to support research activity.</li> </ul>
	<u>Hire Personnel:</u> Lack of knowledge of processes and requirements, challenging to navigate and lengthy hiring processes.	<ul style="list-style-type: none"> <li>Lack of understanding of hiring processes, completing hiring forms, timelines for submitting paperwork, understanding of maximum hours allowed, knowing where to start and who to contact.</li> <li>Hiring processes take too long. Students/staff often start working before hiring is finalized.</li> <li>Extremely challenging to navigate HR processes and advise faculty about it.</li> <li>No one person is responsible for helping researchers hire research personnel.</li> </ul>
	<u>Purchase Materials:</u> Lack of knowledge of processes, allocation of expenditures, and other challenges.	<ul style="list-style-type: none"> <li>Lack of a transparent purchasing policy.</li> <li>Long backorders due to COVID.</li> <li>Expenditures posted are not always clear to Research Finance (i.e., expenses not always charged to the correct accounts).</li> <li>P- Card expenditures are not always allocated to</li> </ul>

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
	<p data-bbox="383 300 732 506"><u>Meet Compliance Requirements:</u> Not enough resources and internal processes to support compliance requirements.</p>	<p data-bbox="753 222 1477 289">appropriate accounts.</p> <ul data-bbox="753 260 1477 982" style="list-style-type: none"> <li>• Space/equipment challenges.</li> <li>• Lack of orientation/education to understand evolving requirements.</li> <li>• Lack of resources to support compliance checking, data management, enhanced security, and education.</li> <li>• ERSO portal challenges (i.e., does not satisfy both REB and ORIS needs, time consuming, not user friendly, inadequate for current needs).</li> <li>• Reactive reporting (when issues arise)</li> <li>• Research Finance and ORIS are not notified of approved certifications, leading to delays and/or holds on grant accounts.</li> <li>• Lack of direction for applications that require REB, ACC, and RSC clearance.</li> <li>• Lack of focus on research security.</li> <li>• REB applications received are not always ready for review.</li> <li>• Lack of researcher understanding of the REB process.</li> <li>• ORIS is not notified of the outcome of REB review.</li> </ul>
<b>Manage/monitor research grant</b>	Lack of timely and accurate information and support staff to manage grants.	<ul data-bbox="753 989 1477 1293" style="list-style-type: none"> <li>• Researchers do not have access to accurate information to review financial grant information, monthly reports are not timely or accurate.</li> <li>• Faculty are not aware of who to contact to access funds, make account amendments, transfer money, etc.</li> <li>• Not always clear who is responsible for post-award reporting to funders.</li> <li>• Not enough staff to support project management.</li> </ul>
<b>Disclose IP and manage commercialization of technology</b>	Knowledge and understanding of IP and commercialization process.	<ul data-bbox="753 1299 1477 1436" style="list-style-type: none"> <li>• Lack of knowledge and understanding of IP and commercialization process.</li> </ul>
<b>Close the grant/project</b>	Lack of notification procedures and knowledge mobilization supports.	<ul data-bbox="753 1442 1477 1591" style="list-style-type: none"> <li>• Closure of grants and timelines are not clear. Lack of notifications to all involved.</li> <li>• Funds are not always fully spent at the time of closure.</li> <li>• No knowledge-mobilization supports provided.</li> </ul>

Of the theme descriptors outlined above, the following were brought forward the greatest number of times by participants.

- ERSO portal inefficiencies.
- Lack of understanding of complexities associated with the hiring of research personnel.
- Lack of resources to properly support researchers throughout the research administration process and for knowledge mobilization.
- No accountability for adherence to timelines and processes.

The following were identified as the top 3 in criticality through the priority-setting exercise:

- Lack of understanding of hiring processes, completing hiring forms, timelines for submitting paperwork, understanding of maximum hours allowed, knowing where to start and who to contact.
- ERSO portal challenges (i.e., does not satisfy both REB and ORIS, time consuming, not user-friendly, inadequate for current needs).
- Lack of resources to properly support researchers post-award. Increase in number of faculty hired but not in the number of positions to support research activity.

## Section 2 – Strategies/Suggestions to Create a More Research-Supportive Culture

Participants were asked to identify strategies/supports to tackle current challenges and to enhance a supportive research culture.

This section presents a summary of the analysis of the data gathered through the activities conducted at the focus-group sessions organized by participant group (Researchers, Staff).

### 1. Focus Group – Researchers

- Review all supports provided to ensure they advance a research supportive culture and shift from a compliance culture to a more supportive research culture.
- Enhance research grant-development supports/writing.
- Provide education and mentor researchers on all aspects of the research administration process and better support faculty to navigate the processes.
- Provide course-release time, particularly to support collaborative research grants. This would also help to recognize research efforts.
- Ensure clarity and transparency of Canada Research Chair process.
- Give researchers greater control over spending associated with their grants.
- Ensure that Research Finance is well resourced (personnel) to adequately support researchers.
- Address the issues associated with UWinsite Finance system and related processes.
- Address issues associated with REB process.
- Ensure reminders of grant deadlines.
- Provide permanent administrative research support within faculties/departments.
- Enhance financial support of research-based international students.
- Support knowledge mobilization.
- Promote research taking place across all faculties, not only high-profile research.
- Allocate more suitable space for research.
- Streamline hiring processes for research personnel.
- Move to a decentralized model (research administration managed by faculties)
- Provide incentives to increase research intensity.

### 2. Focus Group – Staff

- Invest in databases, tracking systems, research portals, and other software to better support research activity.
- Ensure offices associated with the research administration process are well resourced to enhance research support.
- Introduce accountability mechanisms (processes and timelines) and strict guidelines for researchers.
- Update policies and procedures and ensure accessibility.
- Introduce processes to ensure regular, timely, and consistent communication with all stakeholders.
- Ensure research-related websites are easy to navigate and include clear procedures and contacts.



- Improve internal forms (electronic).
- Provide training sessions and other information-sharing processes to provide researchers and research personnel with the knowledge required to navigate the research administration process.
- Establish a dedicated administrative position in ORIS to triage inquiries and connect the researcher to the correct position/department to address their inquiry and follow up on referrals.
- Enhance transparency of research processes and introduce a master checklist of all requirements.
- Ensure staff/departments are equally supported.
- Support the hiring of administrative staff at the faculty/department level to support administrative financial aspects of the research administration process and provide training on UWinsite Finance.
- Enhance collaboration between all offices reporting to the VPRI.
- Introduce a finance system that is appropriate for managing research grants.
- Provide professional-development opportunities for staff, enhance equity and access to promotion opportunities.
- Champion research as a critical revenue stream.

### Section 3 - Additional Feedback

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During some of the focus group sessions, participants expressed the desire to bring forward positive feedback. Below is a summary of items brought forward:

- The staff is excellent, committed but under resourced.
- Outstanding Scholars program
- Leadership response to questions and concerns
- Flexibility in paying and journaling for HQP.

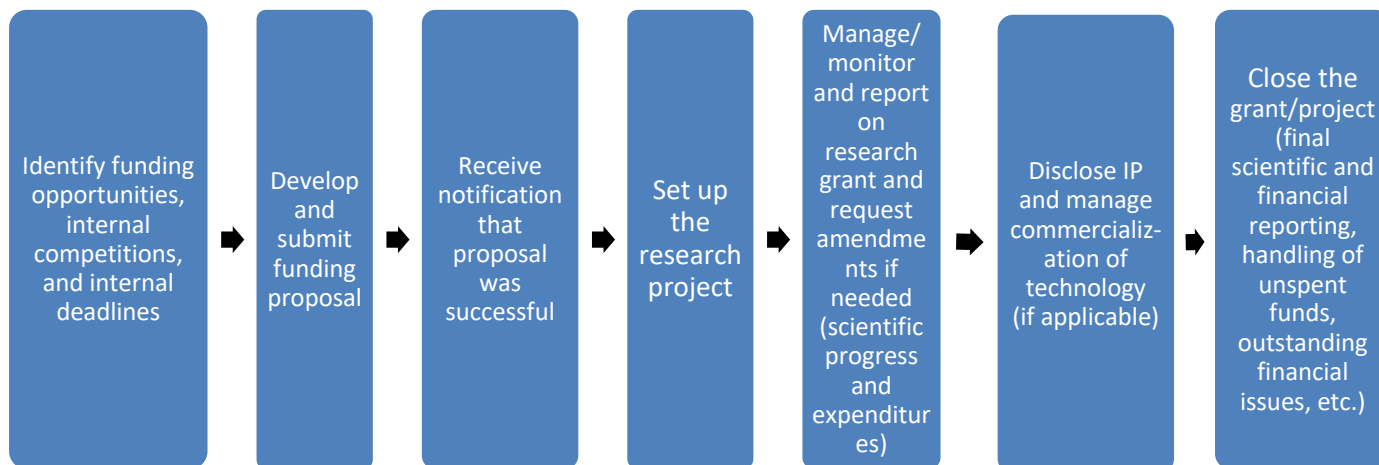
### Section 4 – Parking Lot

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At the conclusion of each focus group session, participants were provided with an opportunity to bring forward items that were outside the area of inquiry but from their perspective needed to be considered in future discussions. The following is a summary of the items brought forward:

- Process for appointment of REB.
- Metrics to measure success.
- Celebrating achievements.
- Meaningful engagement of researchers in the Research and Innovation strategic plan.
- Establishing a clear mission, vision, and guiding principles for ORIS.
- Incentives for doing research.
- Incoming VPRI listening exercise and staff engagement.
- Communication between faculties and VPRI.
- Animal facility space.
- Inadequacy of office space for ORIS and Research Finance staff.
- Office location of VPRI (negative optics not being located at Assumption with other VPs)

## Appendix A – Research Administration Process Flowchart



### A Deeper Look at Each of the Steps in the Flowchart

Step	Summary of Key Actions
<b>Identify funding opportunities, internal competitions, and internal deadlines.</b>	<ul style="list-style-type: none"> <li>ORIS communicates call and internal deadlines for the submission of proposals to Research Coordinators, Plugged into Research newsletter and/or through social media as well as instructions for proposal/notice of intent submission to relevant faculty via mass email.</li> </ul>
<b>Develop and submit funding proposal.</b>	<ul style="list-style-type: none"> <li>Faculty confirm space availability for research program (HQP) and associated infrastructure.</li> <li>Faculty confirm need for and secure cash and in-kind contributions as well as submit ORIS External Funding Checklist approved by Department Head and Dean via the ERSO Researcher Portal by the internal deadline with draft proposal attached (in case of contracts, the ORIS External Checklist is submitted with contract signed by designated University representative).</li> <li>Faculty submit draft proposals to Research Coordinator for review by internal deadline.</li> <li>Research Coordinators provide feedback to faculty, including suggestions for strengthening project outlines, budgets, and budget justifications.</li> <li>Faculty make suggested revisions to the proposal and resubmit to Research Coordinator for follow-up review.</li> <li>Faculty or Research Coordinator (where required) submit final proposal to funding agency.</li> </ul>
<b>Receive notification that proposal was successful.</b>	<ul style="list-style-type: none"> <li>If researcher has received the Notice of Award directly, they notify the respective Research Coordinator.</li> <li>Research Coordinator coordinates announcement of award where applicable.</li> </ul>
<b>Set up the research project</b>	<p><b>Establish grant (open research account)</b></p> <ul style="list-style-type: none"> <li>Upon receipt of the Notice of Award, ORIS coordinates with Research Finance to establish grant(s) based on approved budget. Separate accounts are established for agency and internal-match funding.</li> <li>Research Finance notifies faculty of grant account number.</li> </ul> <p><b>Hire Personnel</b></p> <ul style="list-style-type: none"> <li>Faculty determines the correct avenue to appoint personnel (students, post-docs, research assistants, etc.) using their grant funding.</li> </ul>

Step	Summary of Key Actions
	<ul style="list-style-type: none"> <li>• Faculty recruit candidates and submit student appointment forms to HR for any registered U Windsor student.</li> <li>• Faculty submit Request for Research or Postdoc Appointment Form and accompanying documentation for authorization for any non-student (where the position is primarily engaged, not simply supporting, research) to the Department Head, Dean, Research Finance, and OVPRI. <ul style="list-style-type: none"> <li>○ Faculty submit all required forms and documentation at least one month prior to start of appointment.</li> <li>○ OVPRI issues letter of appointment to appointee.</li> <li>○ Appointee returns signed form and required documentation to HR before appointment takes effect.</li> <li>○ Where the individual is a foreign national and a work permit is required, the faculty member submits additional information to the OVPRI and provides funding to support submission of an Offer of Employment to Immigration, Refugee, and Citizenship Canada (IRCC). The OVPRI sends the appointee information needed to apply for a work permit, and the appointee applies for and submits a work permit to HR before appointment takes effect.</li> <li>○ Faculty member contacts OVPRI in the event of any changes or concerns relating to the appointment or appointee.</li> <li>○ Faculty member begins renewal process at least one month prior to the end of the appointment where applicable.</li> </ul> </li> <li>• Faculty member recruits candidates and contacts HR for part-time positions that are technical in nature and support research for appointment as non-union contract positions.</li> <li>• Faculty member contacts HR, develops job description, has position evaluated, submits required requests, confirms funding, interviews, and hires candidate for UNIFOR full- and part-time positions that are clerical and administrative in nature or CUPE full-time positions that are technical in nature that support research.</li> <li>• Faculty member completes steps necessary to on-board appointees, including requesting an UWin ID and email address, keys, and telephone and computer access.</li> </ul> <p><b>Purchase materials, supplies and equipment.</b></p> <ul style="list-style-type: none"> <li>• Faculty member submits Grant Signing Authority Form to Research Finance to add research team members who can approve expenditures from their grant account.</li> <li>• Faculty member applies charges to grant account via UWinsite Finance, including expense reports related to travel and supplies, payment of invoices, and purchase orders.</li> <li>• Faculty member may apply for a Purchasing Card attached to their grant or, where faculty member already possesses a purchasing card, move expenses to their grant via CentreSuite.</li> </ul> <p><b>Meet compliance and certification requirements.</b></p> <ul style="list-style-type: none"> <li>• Following receipt of Notice of Award, faculty member applies for all required clearances: <ul style="list-style-type: none"> <li>○ <u>Animal Care</u>: Faculty member submits an Animal Utilization Project Proposal (AUPP) and any other required forms to the Animal Care Committee for review. <ul style="list-style-type: none"> <li>▪ Faculty and all members of the research team complete Animal Training Modules and, where applicable, Laboratory Animal Student Training, and provide proof of completion prior to final approval of AUPP.</li> </ul> </li> </ul> </li> </ul>

Step	Summary of Key Actions
	<ul style="list-style-type: none"> <li>▪ Animal Care Committee or, where AUPP and forms have been submitted outside of meeting deadlines, the Chair of the Animal Care Committee reviews AUPP and forms and issues approval.</li> <li>▪ Faculty member applies for release of partial research of funds if applicable.</li> <li>▪ Office of Animal Care notifies faculty member of outcome of Animal Care Committee review.</li> <li>○ <u>Research Ethics</u>: Faculty member submits an application and any other required forms to the Research Ethics Board for review. <ul style="list-style-type: none"> <li>▪ Faculty and all members of the research team complete TCPS2 training and submit certification with application.</li> <li>▪ Applications are reviewed within four weeks, and feedback is provided.</li> <li>▪ Faculty make any required adjustments to their application and submit for follow-up review where required.</li> <li>▪ Faculty member applies for partial release of research funds if applicable.</li> <li>▪ Office of Research Ethics notifies faculty member of outcome of Research Ethics Board review.</li> </ul> </li> <li>○ <u>Research Safety</u>: Faculty working with biological materials, lasers, X-Ray devices, and/or radioactive materials submit a safety permit application for review through the ERSO Researcher Portal <ul style="list-style-type: none"> <li>▪ Safety permit applications are reviewed by a safety officer who then advises faculty member of any applicable issues/concerns that may need to be addressed. Faculty then submits the application to the Research Safety Committee for review and approval.</li> <li>▪ Faculty member applies for partial release of funds if applicable.</li> <li>▪ Office of Research Safety notifies faculty member of the outcome of the Research Safety Committee review.</li> </ul> </li> <li>• ORIS is notified by ACC/REB/RSC of clearance and communicates with Research Finance to release full funding.</li> </ul>
<b>Manage/monitor and report on research grant and request amendments when needed (scientific progress and expenditures)</b>	<ul style="list-style-type: none"> <li>• Faculty member monitors grant funding using UWinsite Finance and statements circulated by Research Finance and notifies Research Finance of any discrepancies.</li> <li>• Faculty member monitors grant progress and submits any required progress reports to funding agency (and requests assistance from Research Coordinator where applicable).</li> <li>• Research Finance prepares and submits Form 300 where applicable annually following faculty review and sign-off.</li> <li>• In the case of projects requiring Research Ethics clearance, faculty must submit progress reports to the Office of Research Ethics annually.</li> </ul>
<b>Disclose IP and manage commercialization of technology (if applicable)</b>	<ul style="list-style-type: none"> <li>• Faculty member discloses any new technology and/or patent applications to the Research Partnerships Office.</li> <li>• Research Partnerships Office works with faculty member to protect and commercialize IP where applicable.</li> </ul>
<b>Close the grant/project (final scientific and financial reporting, handling of unspent funds, outstanding financial issues, etc.)</b>	<ul style="list-style-type: none"> <li>• Research Finance sends faculty member final statement of account and closes the grant.</li> <li>• In the case of projects requiring Research Ethics clearance, faculty member submits a final report to the Office of Research Ethics upon completion of data collection.</li> </ul>

**University of Windsor  
Board of Governors**

4.5.1: **2022 Employee Engagement Survey: Turning Survey Results Into Action**

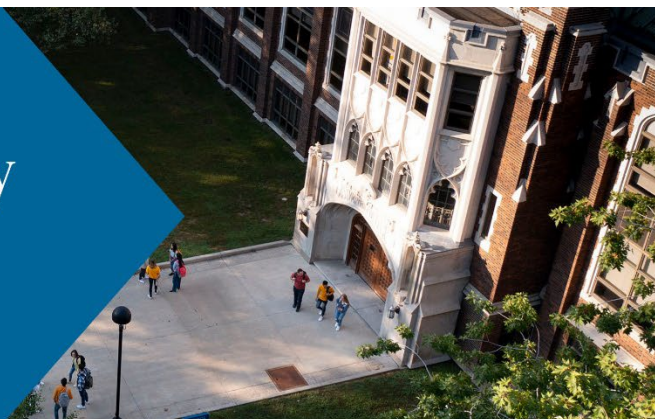
Item for: **Information**

Forwarded by: **Board Human Resources Committee**

*See attached.*

# 2022 Employee Engagement Survey

Turning survey results into action.



## Background Information

- In March 2022 the University of Windsor conducted its first Employee Engagement Survey. This was an opportunity for faculty and staff to share their experiences about working at the University of Windsor.
- The survey was conducted by TalentMap and consisted of 19 sections. Employees shared their perspectives using a 5-point agreement Likert scale. Open ended questions provided opportunities to share suggestions.
- The survey results highlighted 7 opportunities to improve the workplace culture and the employee experience:
  - Professional Growth
  - Innovation
  - Executive Leadership Team
  - Equity, Diversity, and Inclusion
  - Mental Health
  - Teamwork, Collaboration and Cooperation
  - University of Windsor Vision
- The Employee Engagement Survey Action Group was established in the fall 2022 to review both the qualitative and quantitative data associated with the 7 opportunities for improvement to identify recommended actions to enhance the workplace culture and employee experiences. These were presented to the Executive Leadership Team in March 2023.
- For the purposes of action planning, the key actions emerging from the data analysis have been clustered into 4 overarching drivers of engagement (Growth & Learning, Meaning & Impact, Connection and Workplace Culture). For each of these overarching drivers of engagement, this document includes an information sheet which highlights the expected change, key actions, and the priority opportunities for improvement (from the survey) addressed.
- Next step includes the development of an implementation roadmap which will outline accountability, responsibility, resource implications and timelines.



# 2022 Employee Engagement Survey – Turning the Survey Results into Action



## ENGAGEMENT DRIVER Growth & Learning

### Expected Change

- Employees have access to a wide array of professional development opportunities to support career growth and innovation.
- Leaders have access to a wide range of leadership development opportunities and have enhanced capacity to foster employee engagement and a positive workplace culture.

### Key Actions

- Increase the professional development opportunities available to staff to support their growth and to build internal talent to advance institutional goals.
- Establish a succession-planning program to support strategic workforce planning.
- Introduce career-pathway supports and programs to help employees achieve career goals.
- Introduce opportunities for faculty and staff to come together to share ideas and spark creativity and idea generation.
- Establish mentoring and coaching opportunities to support faculty and staff throughout their careers.
- Introduce a comprehensive leadership development framework and programs grounded on the key competencies required to foster employee engagement and a positive workplace culture.

### Priority Opportunities for Improvement Addressed

Professional Growth	Innovation	Executive Leadership Team	Equity, Diversity & Inclusion	Mental Health	Teamwork, Collaboration & Cooperation	University of Windsor Vision
X	X				X	

### Next Step

Develop an implementation roadmap.



# 2022 Employee Engagement Survey - Turning the Survey Results into Action



## ENGAGEMENT DRIVER Meaning & Impact

### Expected Change

Faculty and staff are inspired by the University’s vision and have a clear understanding of how they contribute to the University’s success.

### Key Actions

- Encourage faculties and units to align their planning efforts to the University’s Aspire Strategic Plan and cascading plans.
- Explore establishing a process to align new funding requests to the University’s strategic priorities.
- Enhance the capacity of managers/supervisors to inspire, engage, and support staff to contribute to the University’s success.
- Make the Aspire website the “go to” place for strategic planning related information.
- Work with campus stakeholder groups to help promote the Aspire Strategic Plan and disseminate key messages.

### Priority Opportunities for Improvement Addressed

Professional Growth	Innovation	Executive Leadership Team	Equity, Diversity & Inclusion	Mental Health	Teamwork, Collaboration & Cooperation	University of Windsor Vision
						X

### Next Step

Develop an implementation roadmap.





# 2022 Employee Engagement Survey - Turning the Survey Results into Action



## ENGAGEMENT DRIVER Connection

### Expected Change

Employees have a greater sense of connection to the Executive Leadership Team and enhanced understanding of matters of institutional importance.

### Key Actions

- Implement a regular communication mechanism for the Executive Leadership Team to keep employees updated on matters of institutional importance and the effectiveness of such mechanisms.
- Identify opportunities for the Executive Leadership Team to informally and formally connect with employees and enhance visibility and approachability.
- Identify opportunities for the Executive Leadership Team to increase visibility at the downtown campus.

### Priority Opportunities for Improvement Addressed

Professional Growth	Innovation	Executive Leadership Team	Equity, Diversity & Inclusion	Mental Health	Teamwork, Collaboration & Cooperation	University of Windsor Vision
		X				

### Next Step

Develop an implementation roadmap.



# 2022 Employee Engagement Survey - Turning the Survey Results into Action



## ENGAGEMENT DRIVER Workplace Culture

### Expected Change

- Employees experience an enhanced sense of belonging, fulfilling work relationships/connections and a more collaborative work environment.
- Employees experience a more respectful and supportive work environment.

### Key Actions

- Create opportunities for faculty and staff to connect across the University in social and professional ways to foster engagement, enhance collaboration, break down silos, enhance understanding and spark creativity and idea generation.
- Explore and introduce new opportunities to recognize and reward faculty and staff for innovative and creative practices.
- Reduce barriers for faculty and staff to rethink and redesign processes, systems, student services, and academic courses/programs.
- Establish clear guidelines and programs to support civility and respect in the workplace and effective approaches to address inter-personal conflicts.
- Develop and implement a comprehensive strategy to promote employee mental health and psychological safety.
- Implement recommendations emerging from the Equity, Diversity, Inclusion and Indigeneity, Decolonization external review.
- Introduce leadership accountability mechanisms for employee engagement and for creating a safe, respectful, and inclusive work environment.

### Priority Opportunities for Improvement Addressed

Professional Growth	Innovation	Executive Leadership Team	Equity, Diversity & Inclusion	Mental Health	Teamwork, Collaboration & Cooperation	University of Windsor Vision
	X		X	X	X	

### Next Step

Develop an implementation roadmap.

**University of Windsor  
Board of Governors**

\*4.6.1: **Report of the Board Investment Committee**

Item for: **Information**

Forwarded by: **Board Investment Committee**

**Report of the Board Investment Committee**

The Board Investment Committee met on May 9, 2023 and reviewed performance results for the pension plan fund, the endowment fund, and the working capital fund as at March 31, 2023. The Committee reaffirms that all three funds include appropriate asset mixes to weather market fluctuations, and has no recommendation for changes to the portfolios or managers, at this time. The Committee will continue to regularly assess manager performance and to ensure that there is the right mix of management styles, based on the institution's risk appetite, to offset market fluctuations and maximize returns.

As per the responsible investing policy, members received details of managers' proxy voting record for the last two quarters and did not note any concerns with the positions taken.

See items 4.6.2-4.6.4 for additional approval items reviewed by the Investment Committee and recommended to the Board.

University of Windsor  
Board of Governors

\*4.6.2: Pension and Endowment SIPP Revisions

Item for: Approval

Forwarded by: Board Investment Committee

**MOTION:** That the proposed revision to the Statement of Investment Policies and Procedures for University of Windsor Employees’ Retirement Plan and Retirement Plan for Faculty and Certain Employees and to the Statement of Investment Policies and Procedures for University of Windsor Endowment Funds.

**Proposed Revisions:**  
*[revisions are in red]*

Statement of Investment Policies and Procedures for University of Windsor Employees’ Retirement Plan and Retirement Plan for Faculty and Certain Employees:

2.7 The long-term strategic asset mix of the Fund is indicated in the table below. Market values of the individual asset classes of the Fund shall normally be held within the indicated minimum and maximum aggregate investment limits. Also shown are the performance benchmarks used to measure the performance of the total Fund and the underlying investment strategies.

Investment Category	Benchmark	Policy Allocation	Minimum	Maximum
Cash/Short-Term Equivalents	FTSE Canada 91-Day T-Bill	1%	0%	20%
Fixed Income – Universe Bonds	FTSE Canada Universe Bond	0%	0%	10%
Fixed Income – Long Bonds	FTSE Canada Long Term Bond	24%	14%	34%
Fixed Income – Provincial Bond Overlay	Customized manager benchmark*	10%	0%	20%
Canadian Equities	S&P/TSX Composite	15%	5%	25%
Global Equities	MSCI World	30%	20%	40%
Infrastructure	Consumer Price Index + 4%	10%	5%	15%
Private Equity	MSCI World + 4%	10%	5%	15%

\*The benchmark for the Provincial Bond Overlay is a custom weighed proxy benchmark that reflects changes in the leverage of the fund on a monthly basis. For illustrative purposes, the 3x FTSE Long Provincial Bond Index minus 2x 91 Day-T Bill can be used as a proxy.

Statement of Investment Policies and Procedures for University of Windsor Endowment Funds:

2.9 The long-term strategic asset mix of the Fund is indicated in the table below. Market values of the individual asset classes of the Fund shall normally be held within the indicated minimum and maximum aggregate investment limits. Also shown are the performance benchmarks used to measure the performance of the underlying investment strategies.

<b>Investment Category</b>	<b>Benchmark</b>	<b>Policy Allocation</b>	<b>Minimum</b>	<b>Maximum</b>
Cash/Short-Term Equivalents	FTSE Canada 91-Day T-Bill	0%	0%	15%
Fixed Income – Universe Bonds	FTSE Canada Universe Bond	25%	15%	35%
Canadian Equities	S&P/TSX Composite	15%	5%	25%
Global Equities	MSCI World	40%	30%	50%
Infrastructure	Consumer Price Index + 4%	10%	5%	15%
Private Equity	MSCI World + 4%*	10%	5%	15%

\*The benchmark for private equity will be re-evaluated when the investment is fully funded and updated if necessary.

**Rationale:**

- The proposed amendments relate to the University’s investments in Private Equity. The amendment proposed was strictly an administrative oversight with regards to the Benchmark wording when the last revision of each SIPP was approved by the Board of Governors.

**University of Windsor  
Board of Governors**

\*4.6.3:           **JPM FX Hedging Election**

Item for:           **Approval**

Forwarded by:   **Board Investment Committee**

**MOTION: That the University move forward with the JPM FX Hedging Election for the Infrastructure Investment Fund's (IIF) foreign currency hedging program, effective as of July 1, 2023, for both the pension and endowment portfolios, subject to the ability to exit the program on a timely basis.**

**Rationale:**

- In February 2023, a hedging election letter was received from JP Morgan (JPM), giving the University the opportunity to opt into the Infrastructure Investment Fund's foreign currency hedging program.
- As currency fluctuations can dominate infrastructure returns, currency hedging is typically the preferred approach as it provides diversification away from the home currency and therefore a smoothing out of the return pattern of the investment over time.
- Mercer noted that a historical analysis on infrastructure funds in general indicates that hedging decreases the volatility of a US-based private infrastructure. While exposure to multiple foreign currencies can provide diversification, the currency volatility can dominate returns and cash flows.
- While asset risk can be significant for an infrastructure portfolio, currency risk can dominate given the predictability of yield and cash flows, thus currency hedging for infrastructure makes sense
- Although there would not be an expectation of return enhancement over the very long term, hedging the JPM portfolio would allow the yield on the portfolio to be the dominant source of return quarter over quarter.
- JPM does not charge any additional fees for managing the program. The management fees are the same for both the hedged and unhedged versions. There is a nominal 2 to 3 basis points charge to cover the cost of the hedge that is charged within the Fund.

University of Windsor  
Board of Governors

4.6.4: **Responsible Investment Policy – Revisions**

Item for: **Approval**

Forwarded by: **Board Investment Committee**

**MOTION:** That the Board of Governors approve the proposed revisions to the Responsible Investing Policy.

**Rationale:**

*See attached for memo dated May 9, 2023 and proposed revisions.*

**Finance Department**

401 Sunset Avenue, Windsor

Ontario, Canada N9B 3P4

[www.uwindsor.ca/finance](http://www.uwindsor.ca/finance)

**To:** Board of Governors  
**From:** Rachel McRae, Controller, Finance  
**Date:** May 9, 2023  
**Subject:** University's Responsible Investment Policy – 2023 Updates

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Within the Aspire Strategic Framework, the University of Windsor has identified Sustainability: Climate and Environment as one of our Values. In 2022, the Investment Committee agreed to engage Mercer to provide support in reviewing and further developing our commitment to responsible and sustainable investing through an update to the existing Responsible Investing policy, established in 2020. During the summer of 2022, Mercer conducted a survey to assist the University in gaining a better understanding around the range of beliefs and views from the campus, on sustainable investment approaches and key environmental, social, and corporate governance (ESG) issues. The Investment Committee and the University's Senior Leadership Team were surveyed to understand:

- General views on sustainable investing
- ESG investment strategies (including integration, stewardship, thematic investing and screening)
- Views on specific sustainable investing topics

The survey results were presented and discussed with members of the Investment Committee at the October 6, 2022 meeting. In addition to discussing and developing a clear set of ESG beliefs, the Committee also discussed their views on the proposed edits to the RI policy on the following key areas:

- Overall structure of the policy
- Key responsible investment beliefs
- Views on responsible investing themes and investment approaches
- Monitoring approach for investment managers
- Disclosure and communication

Following October 2022 meeting, the University completed a campus community-wide consultation process of the Responsible Investing Policy, through the Daily News and Finance website. The purpose of the public consultation process was to gather further feedback and views, from the Campus Community, on the proposed edits to the RI policy, including the areas discussed above.

All feedback from various stakeholders was reviewed and considered, and Administration has incorporated these changes and feedback into the University's RI Policy.





**Policy Title: Responsible Investing Policy**

**Date Established: November 24, 2020**

**Office with Administrative Responsibility: Vice-President, Finance & Operations**

**Approver: Board of Governors**

**Revision Date(s): TBD**

**Purpose**

**-Introduction and Definition**

The University of Windsor (“University”) recognizes that Responsible Investing is a rapidly evolving approach to investing that understands sustainability as a fundamental concept in wisely allocating financial capital for the benefit of today and future generations.

The University defines Responsible Investing as an approach which integrates environmental, social and governance (“ESG”) considerations into investment decisions and is a part of an asset owner’s strategy and practice to incorporate Environmental, Social and Governance (“ESG”) practices these factors into investment analysis and decision making. The University of Windsor (“University”) believes that ESG factors can influence the long term performance of investments and need to be considered when assessing economic value. Active ownership is another responsible investment practice taken by asset owners.

**Application and Scope**

The Responsible Investing Policy (“RI Policy”) applies to any University investment portfolio (“Fund”) where the RI Policy is specifically referenced in the Fund’s Statement of Investment Policies and Procedures (“SIPP”). Through this policy, the University commits to considering ESG issues factors when making investment decisions as part of the University’s fiduciary responsibilities to optimize investment returns and manage risk.

The purpose of this policy the RI Policy is to set out the responsible investment framework for the University in accordance with guidance from the United Nations’ Principles for Responsible Investing (“UN PRI”). As such, the Responsible Investing (RI) RI Policy:

- i) Outlines the responsible investment beliefs agreed upon by key stakeholders within the University
- ii) Lists the six principles of the United Nations’ Principles for Responsible Investment (UN PRI) and the actions that will be taken by the University
- iii) Outlines the University’s policies and approaches to ESG issues
- iv) Provides procedures on reporting and review processes
- v) Offers transparency to beneficiaries and stakeholders
- vi) Creates a mechanism to monitor the University’s responsible investment capabilities

**Application and Scope**

This document outlines the University’s RI Policy. This policy was created in response to the Board of Governors

decision to become a United Nations PRI signatory in 2020.

The RI Policy applies to any University investment portfolio where the RI policy is specifically referenced in the Fund's Statement of Investment Policies and Procedures ("SIPP").

### **Exceptions to Policy**

~~This policy is consistent with the SIPP in which it is referenced. If this policy is in conflict with either SIPP, the latter will take precedence.~~

### **Definitions**

The definitions below are specific to the development and maintenance of the RI Policy.

1. The ~~United Nations~~UN PRI is an investor led initiative that works to promote the adoption of six Principles. As of January 2020, the PRI has over 3,000 signatories.
2. The University embraces the ~~United Nations~~UN PRI's definition of responsible investing as a strategy and practice to incorporate environmental, social and governance factors into investment decisions and active ownership.<sup>1</sup>
3. ESG investing is an approach that integrates an organization or individual's ethical values and societal concerns in order to better manage risk and generate sustainable long-term returns (see ~~Appendix 1 for~~ "ESG factors)-Integration").
4. Active ownership involves the use of an investor's rights and position of ownership to influence the activities and behaviors of investee companies such as engagement and voting for public equities.

### **Responsible Investment Beliefs**

The University's Responsible Investment Beliefs ("RI Beliefs") were developed by the Investment Committee of the Board of Governors to provide a consistent and transparent framework to guide the University's investment decision-making processes. The RI Beliefs reflect the University's fiduciary responsibility to stakeholders and beneficiaries and its commitment to the University's mission, vision and values.

The RI Beliefs will periodically be reviewed and affirmed or modified, as may be deemed appropriate by the Investment Committee.

The University believes that:

1. Responsible Investment is a key component of the University's fiduciary duty, and incorporating relevant and material ESG factors within the Fund is consistent with its objective of optimizing return and managing risk. It is therefore important to take ESG matters into account in our investment decisions with the Fund, together with other relevant and material considerations.
2. As ESG factors can impact long-term investment returns, it is important that the University understand material ESG risks and integrate them into risk management systems and procedures, including investment selection.

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<sup>1</sup> United Nations Principles for Responsible Investment 2020, *What is responsible investment*, viewed July 28<sup>th</sup>, 2020, < <https://www.unpri.org/pri/an-introduction-to-responsible-investment/what-is-responsible-investment>>.

3. Climate change is one of the most significant issues facing society and the global economy and can significantly impact the value of many investments. The risks of climate change, such as physical and transition risks, must be managed and mitigated in order to achieve our overall objectives.
4. An understanding of sustainability issues may lead to new investment opportunities that contribute to the Fund's objectives. Funds that focus on ESG themes and broader institutional objectives, specifically sustainability solution trends, have the ability to provide positive social and environmental outcomes.
5. Active ownership is an important component of implementing responsible investing in practice and is important to encourage good corporate governance and sustainable operating practices. Active and engaged ownership of investments can enhance long-term sustainability and improve the risk profile of the Fund.
6. Responsible Investing is an evolution that requires continuous learning, innovation, and adaptation. The University recognizes the importance of ongoing learning to keep apprised of current issues and trends and best practices.
7. Transparency through regular reporting on our RI strategy and progress is fundamental to how we engage with our key stakeholders. Key stakeholders include, but are not limited to, current and prospective students, alumni, faculty, staff, families, donors, and members of the broader Windsor community.

## Policy Statement

### A. PRI Principles

As a signatory of the ~~United Nations~~ UN PRI, the University has adopted and will implement six Principles. See table 1 below for a list of the six Principles.

### B. ESG Policies

The incorporation of ESG factors in investment decisions is primarily done by the University's investment managers. Appendix 1 contains a list of ESG factors that are considered important by the University and their stakeholders.

### C. Active Ownership

The University is an active owner ~~and therefore, its actions may include, but are not limited to:~~

- ~~a) Proxy voting delegated to investment managers~~
- ~~b) Direct engagement with company by an investment manager~~
- ~~c) Seeking transparency on ESG issues by investee companies and investment managers~~
- ~~d) Reviewing ESG disclosures for investee companies and investment managers~~

### ~~D.A. Investment Managers~~

~~A component of the University's evaluation of investment managers is focused on how effectively the managers incorporate ESG policies and active ownership into their responsible investment framework. The following are the minimum requirements for investment managers (except those investment managers specified by the donor) to adhere to the University RI policy:~~

- ~~i) Adequate and timely ESG disclosure and reporting.~~
- ~~ii) Signatory and adherence to the United Nations PRI or own RI Policy. This policy should clearly lay out ESG criterions for investment decision making and analysis and active ownership practices. The~~

~~University will encourage Investment Managers to become a PRI signatory if they are not already.~~

## **Policy Interpretation**

### **A. PRI Principles**

~~Guided by the six United Nations PRI principles, the University undertakes, where relevant, the following non-exhaustive actions, created based on our expertise and future goals.~~

**Table 1: Principles and Actions**

<b>PRI Principles<sup>2</sup></b>	<b>University Actions</b>
1. We will incorporate ESG issues into investment analysis decision-making processes	<ul style="list-style-type: none"><li>• Develop and implement a reporting framework for ESG rating review and evaluation, and incorporate assessment of ESG considerations into our manager monitoring process</li><li>• Assess the capabilities and actions of investment managers to incorporate ESG issues</li><li>• Provide and promote ESG training for internal investment staff</li></ul>
2. We will be active owners and incorporate ESG issues into our ownership policies and practices	<ul style="list-style-type: none"><li>• Exercise voting rights through external investment managers</li><li>• Encourage managers to adopt voting policies that integrate ESG considerations</li><li>• Ask investment managers to undertake and report on ESG-related engagement</li></ul>
3. We will seek appropriate disclosure on ESG issues by the entities in which we invest	<ul style="list-style-type: none"><li>• Ask investment managers to report on ESG issues in the portfolio</li></ul>
4. We will promote acceptance and implementation of the Principles which we invest	<ul style="list-style-type: none"><li>• Incorporate assessment of ESG capabilities into our manager selection process</li><li>• Select managers who are signatories of the PRI</li><li>• Communicate ESG expectations to investment service providers</li></ul>
5. We will work together to enhance our effectiveness in implementing the Principles	<ul style="list-style-type: none"><li>• Engage in the PRI network as a source of learning and collaboration</li></ul>
6. We will each report on our activities and progress towards implementing the Principles	<ul style="list-style-type: none"><li>• Disclose to stakeholders how responsible investing is integrated within investment practices</li><li>• Report to the PRI annually</li></ul>

### **~~Roles and Responsibilities~~**

~~The Investment Committee of the Board of Governors is responsible for monitoring the administration of this policy to ensure compliance.~~

### **~~Monitoring and Compliance~~**

<sup>2</sup> United Nations Principles for Responsible Investment, 2020, *What are the Principles for Responsible Investment*, viewed on July 28<sup>th</sup>, 2020, <<https://www.unpri.org/pri/an-introduction-to-responsible-investment/what-are-the-principles-for-responsible-investment?adredir=1>>.

## B. Integration of ESG Factors:

The integration of ESG factors in investment decisions is primarily done by the University's investment managers. ESG factors that are considered important by the University and their stakeholders are listed below, however the University recognizes that this list is evolving, and will be updated over time to reflect emerging themes and trends:

**Environmental:** Factors relating to a company's interactions with the physical environment and sustainability. These include but are not limited to climate change, greenhouse gas emissions, biodiversity loss, resource depletion and pollution, the use of genetically modified organisms, waste management, change in land, water and ocean use, and ocean acidification.

**Social:** Factors relating to business practices that have an impact on the rights, well-being and interests of people and communities. These- include but are not limited to human rights, labor standards in the supply chain, child, slave and bond labour, workplace health and safety, human capital management and employee relations, diversity, relations with local communities, activities in conflict zones, health and access to medicine, consumer protection and controversial weapons.

**Governance:** Factors relating to the governance of a company. These include but are not limited to board structure, composition, size, diversity, skills and independence, executive compensation, shareholder rights, stakeholder interactions, transparency, business ethics, bribery and corruption, internal controls, and conflicts of interest.

## C. Climate Change

The University recognizes that climate change is a systemic risk, and that a focus on climate change is important to mitigate risks and capture opportunities arising out of the transition to a more sustainable economy. While the University does not commit to specific emissions reductions targets for the Fund at this point in time, we commit to keeping pace of this important issue and will revisit this decision as we progress along our responsible investing journey.

We will encourage our external managers to adopt best practices such as the recommendations of the Task Force on Climate-related Financial Disclosure ("TCFD"), with an emphasis on disclosure and transparency of climate plans and metrics (e.g. carbon footprints).

## D. Responsible Investing Approach

### i. Thematic Investing

The University's approach to responsible investing is broad and evolving; however a few thematic investment areas have been identified as being important to its stakeholders. These may include women and minority-owned companies, diversity, equity and inclusion, and human rights. The University may consider investing in opportunities in these and other thematic areas in the future, as they will not only contribute towards solutions to global issues, but may also enhance the University's long-term risk-adjusted investment returns.

As the University's understanding of responsible and sustainable investment practices, opportunities and stakeholders' preferences evolve, additional themes may be considered.

## ii. Screening

The University, through the support of its investment managers, may screen portfolios for companies associated with topic areas deemed to cause an unacceptable level of harm, be in breach of laws or commonly accepted behavior, or be in conflict with the expected ESG standards under the ESG integration approach outlined.

## E. Investment Managers

A component of the University's evaluation of investment managers is focused on how effectively the managers incorporate ESG policies and active ownership into their responsible investment framework. The following are the minimum requirements for investment managers (except those investment managers specified by the donor) to adhere to the University RI policy:

- i) Adequate and timely ESG disclosure and reporting.
- ii) Signatory and adherence to the United Nations PRI or own RI Policy. This policy should clearly lay out ESG criteria for investment decision making and analysis and active ownership practices. The University will encourage Investment Managers to become a PRI signatory if they are not already.

## F. Stewardship and Active Ownership

The University supports active ownership and therefore, its actions may include, but are not limited to:

- a) Proxy voting delegated to investment managers
- b) Direct engagement with a company by an investment manager
- c) Seeking transparency on ESG issues by investee companies through investment managers

## Disclosure and Communication

All appointed investment managers are sent the latest version of the RI Policy, as referenced in the Investment Management Agreement with each manager.

The University is committed to transparency regarding its responsible investing activities. The University will report on its approach to responsible investing by publishing a Responsible Investing Report on an annual basis.

## Exceptions to Policy

This policy is consistent with the SIPP in which it is referenced. If this policy is in conflict with the SIPP, the latter will take precedence.

## Roles and Responsibilities

The Investment Committee of the Board of Governors is responsible for monitoring the administration of this policy to ensure compliance.

## Monitoring and Compliance

The RI Policy is subject to review at least annually.

## Appendix: Key Terms and Definitions

**Carbon intensity:** The total amount of greenhouse gas emissions as a proportion of a common denominator, such as revenue. This allows for comparison across companies of different sizes, and in the case of an investment portfolio, for comparison across funds and benchmarks. The usual measurement includes carbon dioxide, methane and other greenhouse gases and is often expressed as carbon dioxide equivalent.

**Climate Change:** In the investment context, this term refers to the realized and projected impacts caused by climate change. This includes changes related to physical damages from an increase in average global temperatures and the associated transition to a low-carbon economy required to mitigate the likelihood and severity of such damages.

**ESG Integration:** An approach to sustainable investing that refers to inclusion of ESG factors throughout an investment process.

**Physical risks:** The risks of climate change that result from climatic events, such as wildfires, storms, and floods.

**Proxy voting:** A proxy vote is a ballot cast by entities on behalf of the actual shareholders, who may not be able to attend the shareholder meetings or choose not to vote on certain issues. Particular attention may be paid to shareholder proposals, which must meet a certain level of support among shareholders in order to be brought to management and are often associated with ESG topics.

**Screening:** Involves the use of filters or screens that reflect an investor's preferences or values to preemptively rule in or out potential investments. Negative screening refers to the exclusion of companies involved in activities or products with a perceived negative impact on society. Positive screening refers to the inclusion of stocks or bonds based on whether the company has a positive ESG trait, such as a high overall ESG score, belonging to a particular industry sector or displaying other favorable characteristics desirable to the investor or its beneficiaries.

**Stewardship:** An approach whereby investors seek to use their positions as asset owners to include investee activity or behavior. The aim is usually to align a corporation with specific best practices, to understand fundamental ESG-related business drivers or, most commonly, to improve standards of corporate governance.

**Task Force on Climate-Related Financial Disclosures (TCFD):** The TCFD was established by the Financial Stability Board to provide recommendations to investors and corporations for more effective climate related disclosures for the purpose of facilitating a better understanding of the overall financial system's exposure to climate related risks. The 11 recommendations cover four areas: governance, strategy, risk management, and metrics and targets.

**Thematic Investing:** An investment approach that seeks to generate both high financial returns and positive ESG impacts, often on a particular area such as renewable energy, affordable housing or education.

**Transition risks:** The risks of climate change that result from policy action taken to transition the economy off of fossil fuels.

**UN Principles for Responsible Investment ('UNPRI'):** An international organization that works to promote the incorporation of environmental, social, and corporate governance factors into investment decision-making. The UNPRI relies on voluntary disclosures by participating members, called signatories. It engages with global policymakers and is supported by, not but part of the United Nations. It has six Principles for Responsible Investment that offer a menu of possible actions for incorporating ESG issues into investment practice.

**University of Windsor  
Board of Governors**

\*4.7.1: **University of Windsor Employees' Retirement Proposed Plan Text Amendments (Phase 2)**

Item for: **Approval**

Forwarded by: **Board Pension Committee**

**MOTION:** **That the Board of Governors approve the amendments to the University of Windsor Employees' Retirement Pension Plan as presented in the attached Certification of Amendments for the University of Windsor Employees Retirement Plan.**

**Rationale:**

- *See memo dated May 10, 2023, the Certification of Amendments for the University of Windsor Employees Retirement Plan, and the proposed amendments comparison chart, attached.*

Report of the Board Pension Committee:

The estimated funded positions of the Faculty and Employee pension plans as at January 1, 2023 results were reviewed in detail at the May 10, 2023, Pension Committee meeting. Both plans continue to be in a surplus position, on both a going concern and solvency basis, eliminating the special payments for the Faculty Plan and providing stability from a budget perspective.

See items 4.7.1-4.7.2 for additional approval items reviewed by the Pension Committee and recommended to the Board.





**Finance Department**

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**To:** Board of Governors  
**From:** Rachel McRae, Controller  
Cheryl Paglione, Executive Director, Pensions, Benefits & HRIS  
**Date:** May 10, 2023  
**Subject:** Faculty and Employees' Retirement Plan Text Update

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As discussed at the Board of Governors' November 2022 meeting, the University has commenced a long-term project to complete a full Plan Text restatement of both the University of Windsor Employees' Retirement Plan (ERP) and the Retirement Plan for Faculty and Certain Employees (FCO) by spring 2024. Both the Employee Plan and the Faculty Plan are being administered in accordance with all current legislative and regulatory requirements, however, the plan texts have not been formally amended to include these updates in changes.

The project has been planned in two phases for each Plan, with the ERP Plan being addressed first:

**Phase 1: Employees' Retirement Plan: Straightforward Plan Amendments and Updates**

- a. Legislative required updates
- b. Collective bargaining related updates

**Phase 1 Update:** In November 2022 Administration completed Phase 1 of the project for the Employees' Retirement Plan and these amendments were approved by the Board of Governors. Following Board approval, Administration executed and delivered all required documents and filings for the ERP Phase 1 amendments to FSRA and the CRA in order to secure the continued registration of the Plan in compliance with the Ontario PBA and the Income Tax Act (Canada). The filings and amendments are in review with the FSRA and CRA agencies at this time.

**Phase 2: Employees' Retirement Plan: More Complex Issues for Amendment and Update**

- a. General updates and housekeeping items
- b. Opportunities for improvement and clarity to the plan text

**Phase 2 Output:** Plan amendments and a full plan text restatement approved by the Board of Governors and filed with the regulators.

**Phase 2 Update:** Administration is submitting completed Phase 2 amendments of the project for the Employees' Retirement Plan and are proposing a motion for the Committee's consideration. Only the sections that will be amended have been included in the supporting materials; the full plan text is available for reference on our website: <https://www.uwindsor.ca/humanresources/faculty-staff/pensions/employees-plan/employees-plan-plan-documents>.

Following approval of the completed Phase 2 amendments by the Board of Governors, FSRA and CRA, the project will proceed to the full plan text restatement in spring of 2024 as planned, this will include a review of pronouns and other language for EDI considerations.

During the Phase 2 review, additional items were identified that may need to be considered during the next round of Collective Bargaining. Therefore, Administration is proposing a Phase 3 of the Plan Text update to address these items, which will occur post 2025 Collective Bargaining.

**CERTIFICATION OF AMENDMENTS**  
**UNIVERSITY OF WINDSOR EMPLOYEES' RETIREMENT PLAN**

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**WHEREAS** the University of Windsor (the "University") established and maintains the University of Windsor Employees' Retirement Plan (the "Plan");

**AND WHEREAS** the University may, pursuant to Section 17.02 of the Plan, amend the Plan from time to time;

**AND WHEREAS** the University wishes to amend the Plan to add provisions relating to accrual of retirement income credits during periods of leave pursuant to the *Workplace Safety and Insurance Act*;

**AND WHEREAS** the University wishes to amend the Plan to reflect changes to the *Ontario Pension Benefits Act*;

**AND WHEREAS** the University wishes to amend the Plan to reflect the current administrative practice for the treatment of employees who are required to participate in the Ontario Teachers' Pension Plan;

**NOW THEREFORE** the Plan text is amended, as of the effective dates noted below, as follows:

**July 14, 2008**

1. Section 1.24 is amended by deleting subsection (3) and replacing it with the following:

"(3) any period of absence due to an injury in respect of which the Member is entitled to receive benefits under the *Workplace Safety and Insurance Act*, provided that, subject to the provisions of Section 4.01(3), the Member continues to make required contributions during the absence."

2. Section 4.01 is amended by adding to it a new subsection (3), as follows:

"(3) Notwithstanding the foregoing provisions of this Section 4.01, a Member who qualifies to receive benefits under the *Workplace Safety and Insurance Act* shall continue to accrue retirement income credits during the period in which the Member is in receipt of benefits under *the Workplace Safety and Insurance Act*. Notwithstanding the provisions of Section 1.24(3), during any such period, the Member shall not be required to contribute to the Plan pursuant to Section 3.01 hereof provided the Member also qualifies for receipt of long term disability benefits from a group insurance plan sponsored by the University."

**June 1, 2023**

3. Section 1.16 is deleted and replaced by the following:

"1.16 **"Employee"** means a member of the Non-Teaching Staff of the University who is in receipt of a regular salary or wage from the University and who is employed on a full-time basis, or on and after January 1, 1988, on other than a full-time basis. Employee shall not include a member of the Non-Teaching Staff of the University who is represented by a union which is not listed in Section 1.33 or who is required to be a member of the Ontario Teachers' Pension Plan in respect of his/her employment with the University."

4. Section 1.33 is deleted and replaced with the following:

"1.33 **"Union"** shall mean any of the following five unions with which the University has a collective agreement governing conditions of work:

- Canadian Union of Public Employees, Local 1393 – The trades, technical and professional staff
- Unifor, Local 2458 – Full-time Office and Clerical Staff

- Unifor, Local 2458 – Part-Time Office and Clerical Staff
- Unifor, Local 2458 – Engineers
- Unifor, Local 444 – Special Constable Services.”

5. Section 7.07 is deleted and replaced with the following:

“7.07 Small Benefit Commutation

For a Member who retires from employment with the University on and after June 1, 2023, if:

- (1) the annual pension payable at the Member’s Normal Retirement Date is not more than 4% of the Year’s Maximum Pensionable Earnings in the year of the Member’s retirement;
- (2) the Commuted Value of the pension is less than 20% of the Year’s Maximum Pensionable Earnings in the year of the Member’s retirement; or
- (3) the annual pension or Commuted Value of the pension is not more than such other small benefit amount as may be prescribed under the *Pension Benefits Act*;

the University shall, subject to the right of the Member to elect to transfer the Commuted Value of his/her pension into a registered retirement savings arrangement as prescribed in the *Pension Benefits Act*, pay the Member a lump sum payment equal to the Commuted Value of his/her pension in full discharge of all obligations under the Plan.”

6. A new Section 9.05 is added immediately following Section 9.04 as follows:

“9.05 Commutation of Small Survivor Pension

Notwithstanding any other provision of this Plan, in respect of the death of a Member who commences receipt of a pension on and after June 1, 2023, if:

- (1) the annual survivor pension payable to a Spouse at the Member’s death is not more than 4% of the Year’s Maximum Pensionable Earnings in the year of the Member’s death;
- (2) the Commuted Value of the survivor pension is less than 20% of the Year’s Maximum Pensionable Earnings in the year of the Member’s death; or
- (3) the Spouse’s annual survivor pension or Commuted Value of the Spouse’s survivor pension is not more than such other small benefit amount as may be prescribed under the *Pension Benefits Act*;

the University shall, subject to the right of the Spouse to transfer the Commuted Value of his/her survivor pension into a registered retirement savings arrangement as prescribed in the *Pension Benefits Act*, pay the Spouse a lump sum payment equal to the Commuted Value of his/her survivor pension in full discharge of all obligations under the Plan.”

7. A new Section 10.08 is added immediately following Section 10.07 as follows:

“10.08 Small Benefit Commutation

For a Member who terminates employment with the University for any reason other than death or retirement on and after June 1, 2023, if:

- (1) the annual pension payable at the Member's Normal Retirement Date is not more than 4% of the Year's Maximum Pensionable Earnings in the year of the Member's termination of employment;
- (2) the Commuted Value of the Member's pension or deferred pension is less than 20% of the Year's Maximum Pensionable Earnings in the year of the Member's termination of employment; or
- (3) the annual pension or Commuted Value of the Member's pension or deferred pension is not more than such other small benefit amount as may be prescribed under the *Pension Benefits Act*;

the University shall, subject to the right of the Member to transfer the Commuted Value of his/her pension or deferred pension into a registered retirement savings arrangement as prescribed in the *Pension Benefits Act*, pay the Member a lump sum payment equal to the Commuted Value of his/her pension or deferred pension in full discharge of all obligations under the Plan."

8. Section 16.04 is deleted and replaced by:

"16.04 Non-Commutations of Pensions

A pension, deferred pension or Joint and Survivorship Pension payable under this Plan shall not be capable of being commuted, except as follows:

- (1) as required under any of Sections 7.07, 9.05 or 10.08; or
- (2) as required in accordance with the *Pension Benefits Act* in the event that an illness or physical disability of a Member who has retired or otherwise terminated his/her employment with the University is likely to shorten his/her life expectancy to less than two years.

9. The title of Section 13 is deleted and replaced by "Transfers Between Registered Pension Plans".

10. The following new Section 13.03 is added immediately following Section 13.02:

"13.03 Enrollment in the Ontario Teachers' Pension Plan

A Member who continues in employment with the University but ceases to be an Employee as a result of becoming a member of the Ontario Teachers' Pension Plan in respect of the Member's employment with the University:

- (1) shall not contribute to the Plan in respect of employment on or after the date the Member ceases to be an Employee; and
- (2) the benefits payable from the Plan upon the Member's subsequent retirement, death or termination of employment shall be determined based on the Member's Pensionable Service at the date of ceasing to be an Employee, and the Member's Best Average Earnings at retirement, death or termination of employment."

11. Section 7.04(4) is deleted and replaced with the following:

- "(4) Notwithstanding the foregoing, in respect of a Member who has transferred from the Plan to the University of Windsor Retirement Plan for Faculty and Certain Employees pursuant to Section 13.02 or to the Ontario Teachers' Pension Plan pursuant to Section 13.03 and such member terminates employment with the University on or after January 1, 2023 having met the eligibility criteria for

early retirement benefits under paragraph (1)(b) or (2) above, taking into account his/her pensionable service accrued while a member of the University of Windsor Retirement Plan for Faculty and Certain Employees or the Ontario Teachers' Pension Plan if necessary, shall be entitled to receive the benefits under paragraph (1)(b) or (2) above despite the fact that the Member is not an active Member of the Plan at his/her date of termination of employment."

**CERTIFIED** to be a true copy of amendments to the Plan reflecting the treatment of periods of leave pursuant to the *Workplace Safety and Insurance Act*, changes to the *Ontario Pension Benefits Act*, and the current administrative practice for employees who are required to become members of the Ontario Teachers' Pension Plan.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 2023.

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Renée Wintermute  
University Secretary

## University of Windsor Employees’ Retirement Plan – Proposed Amendments Comparison Chart

ORIGINAL PLAN TEXT	PROPOSED AMENDMENT	SUMMARY OF AMENDMENT
<p>1.16 <b>“Employee”</b> means a member of the Non-Teaching Staff of the University who is in receipt of a regular salary or wage from the University and who is employed on a full-time basis, or on and after January 1, 1988, on other than a full-time basis. Employee shall not include a member of the Non-Teaching Staff of the University who is represented by a union which is not listed at Section 1.33.</p>	<p>1.16 <b>“Employee”</b> means a member of the Non-Teaching Staff of the University who is in receipt of a regular salary or wage from the University and who is employed on a full-time basis, or on and after January 1, 1988, on other than a full-time basis. Employee shall not include a member of the Non-Teaching Staff of the University who is represented by a union which is not listed in Section 1.33 <b>or who is required to be a member of the Ontario Teachers’ Pension Plan in respect of his/her employment with the University.</b></p>	<p>Effective Date: June 1, 2023</p> <p>Amended to reflect the current administrative practice for the treatment of employees who are required to participate in the Ontario Teachers’ Pension Plan.</p>
<p>1.24 <b>“Pensionable Service”</b> means the sum of (1), (2), (3), (4), (5) and (6) below:</p> <p>(1) if the Member was eligible for and joined the Plan as of the Effective Date, his/her Continuous Service from his/her last date of employment by the University of Windsor, Assumption University of Windsor, Essex College, Assumption College or Windsor Teachers’ College to September 1, 1955;</p> <p>(2) the most recent period of Continuous Service after the Effective Date during which the Member makes required contributions to the Plan pursuant to Section 3.01 hereof;</p> <p>(3) any period of absence due to an injury in respect of which the Member is entitled to receive benefits under the <i>Workers’ Compensation Act</i> within the 12-month period following the date of the injury, provided that the Member continues to make required contributions during the absences;</p>	<p>1.24 <b>“Pensionable Service”</b> means the sum of (1), (2), (3), (4), (5) and (6) below:</p> <p>(1) if the Member was eligible for and joined the Plan as of the Effective Date, his/her Continuous Service from his/her last date of employment by the University of Windsor, Assumption University of Windsor, Essex College, Assumption College or Windsor Teachers’ College to September 1, 1955;</p> <p>(2) the most recent period of Continuous Service after the Effective Date during which the Member makes required contributions to the Plan pursuant to Section 3.01 hereof;</p> <p>(3) any period of absence due to an injury in respect of which the Member is entitled to receive benefits under the <b><i>Workers’ Safety and Insurance Act, provided that, subject to the provisions of Section 4.01(3),</i></b> the Member continues to make required contributions during the <b>absence</b>;</p>	<p>Effective Date: July 14, 2008</p> <p>Amended definition of “Pensionable Service” in Section 1.24 by removing 12-month limitation on participation while in receipt of WSIB.</p> <p>Deleted Subsection (3) and replaced with amended language.</p>

## University of Windsor Employees’ Retirement Plan – Proposed Amendments Comparison Chart

ORIGINAL PLAN TEXT	PROPOSED AMENDMENT	SUMMARY OF AMENDMENT
<p>(4) any period or periods of Continuous Service credited while the Member was eligible for disability accrual or was on authorized leave of absence in accordance with the provisions of Sections 4 and 5 hereof, respectively;</p> <p>(5) service recognized for purposes of the Plan by reason of a reciprocal transfer agreement between the University and the administrator of another pension plan under which the Member accrued a benefit prior to joining the Plan; and</p> <p>(6) Continuous Service recognized for purposes of the Plan by reason of purchase of past service as described in Section 3.06.</p> <p>For each period during which a Member is employed on a less than full-time basis, Pensionable Service for that period will be determined by multiplying the years and months of Continuous Service in the period during which the Member was a Member of the Plan (rounded up to the next 1/12th) by the ratio of the Member’s actual hours worked during the period, other than overtime hours, to the hours regularly scheduled to be worked by full-time Employees.</p>	<p>(4) any period or periods of Continuous Service credited while the Member was eligible for disability accrual or was on authorized leave of absence in accordance with the provisions of Sections 4 and 5 hereof, respectively;</p> <p>(5) service recognized for purposes of the Plan by reason of a reciprocal transfer agreement between the University and the administrator of another pension plan under which the Member accrued a benefit prior to joining the Plan; and</p> <p>(6) Continuous Service recognized for purposes of the Plan by reason of purchase of past service as described in Section 3.06.</p> <p>For each period during which a Member is employed on a less than full-time basis, Pensionable Service for that period will be determined by multiplying the years and months of Continuous Service in the period during which the Member was a Member of the Plan (rounded up to the next 1/12th) by the ratio of the Member’s actual hours worked during the period, other than overtime hours, to the hours regularly scheduled to be worked by full-time Employees.</p>	
<p>1.33 <b>“Union”</b> shall mean any of the following five unions with which the University has a collective agreement governing conditions of work:</p> <ul style="list-style-type: none"> <li>- Canadian Union of Public Employees – Local 1393</li> <li>- National Automobile, Aerospace, Transportation &amp; General Workers Union of Canada - Local 2458, Operating Engineers</li> <li>- Local 2458, Full Time Office &amp; Clerical Unit</li> <li>- Local 2458, Part Time Office &amp; Clerical Unit</li> <li>- Local 195</li> </ul>	<p>1.33 <b>“Union”</b> shall mean any of the following five unions with which the University has a collective agreement governing conditions of work:</p> <ul style="list-style-type: none"> <li>-Canadian Union of Public Employees, Local 1393 – <b>The trades,</b></li> <li><b>technical and professional staff</b></li> <li><b>-Unifor, Local 2458 – Full-time Office and Clerical Staff</b></li> <li><b>-Unifor, Local 2458 – Part-Time Office and Clerical Staff</b></li> <li><b>-Unifor, Local 2458 – Engineers</b></li> <li><b>-Unifor, Local 444 – Special Constable Services</b></li> </ul>	<p>Effective Date: June 1, 2023</p> <p>Amended to reflect the current unions.</p>

## University of Windsor Employees' Retirement Plan – Proposed Amendments Comparison Chart

ORIGINAL PLAN TEXT	PROPOSED AMENDMENT	SUMMARY OF AMENDMENT
<p>4.01 <u>Disabled Members</u></p> <p>(1) On and after July 1, 1984, a Member shall continue to accrue retirement income credits hereunder during a period of Total Disability. During any such period, the Member shall not be required to contribute to the Plan pursuant to Section 3.01 hereof.</p> <p>(2) Notwithstanding Section 4.01(1) above, any Member who became disabled prior to July 1, 1984 and who has continued to maintain his/her membership in the Plan by making contributions to the Plan shall not be required to make contributions on or after July 1, 1996. Such a Member will continue to accrue retirement income credits and will be deemed to have made contributions on or after July 1, 1996 pursuant to Section 3.01 hereof on the same basis as set forth under Section 4.02.</p>	<p>4.01 <u>Disabled Members</u></p> <p>(1) On and after July 1, 1984, a Member shall continue to accrue retirement income credits hereunder during a period of Total Disability. During any such period, the Member shall not be required to contribute to the Plan pursuant to Section 3.01 hereof.</p> <p>(2) Notwithstanding Section 4.01(1) above, any Member who became disabled prior to July 1, 1984 and who has continued to maintain his/her membership in the Plan by making contributions to the Plan shall not be required to make contributions on or after July 1, 1996. Such a Member will continue to accrue retirement income credits and will be deemed to have made contributions on or after July 1, 1996 pursuant to Section 3.01 hereof on the same basis as set forth under Section 4.02.</p> <p><b>(3) Notwithstanding the foregoing provisions of this Section 4.01, a Member who qualifies to receive benefits under the Workplace Safety and Insurance Act shall continue to accrue retirement income credits during the period in which the Member is in receipt of benefits under the Workplace Safety and Insurance Act. Notwithstanding the provisions of Section 1.24(3), during any such period, the Member shall not be required to contribute to the Plan pursuant to Section 3.01 hereof provided the Member also qualifies for receipt of long term disability benefits from a group insurance plan sponsored by the University.</b></p>	<p>Effective Date: July 14, 2008</p> <p>Amended Section 4.01 to clarify provisions relating to accrual of benefits while on LTD versus while on WSIB.</p> <p>Section 4.01 amended by addition of new Subsection (3).</p>



## University of Windsor Employees’ Retirement Plan – Proposed Amendments Comparison Chart

ORIGINAL PLAN TEXT	PROPOSED AMENDMENT	SUMMARY OF AMENDMENT
<p>7.04 <u>Early Or Disability Retirement Income</u></p> <p>(1) A Member who retires prior to his/her Normal Retirement Date, pursuant to Sections 6.04 or 6.05 hereof, shall be entitled to receive an annual retirement income, commencing on his/her early retirement date or disability retirement date, and payable in equal monthly instalments, in an amount which is equal to (a) or (b) below, as appropriate:</p> <p>(a) the annual retirement income accrued to his/her credit under Section 7.01 above, at his/her actual retirement date, provided he/she is eligible for a disability retirement pension under Section 6.05; or</p> <p>(b) the amount of retirement income payable to a Member eligible for early retirement under Section 6.04 shall be equal to the annual retirement income accrued to his/her credit under Section 7.01 above, at his/her actual retirement date but reduced by:</p> <p style="margin-left: 40px;">(i) 1/3 of 1% for each month between the ages of 60 and 65 inclusive, and</p> <p style="margin-left: 40px;">(ii) 1/2 of 1% for each additional month between the ages of 55 and 59 inclusive,</p> <p>by which the date of commencement of such pension precedes his/her Normal Retirement Date, provided that the Member’s pension is at least the Actuarial Equivalent of a deferred pension, commencing on his/her Normal Retirement Date, calculated according to the formula in Section 7.01 based on his/her Pensionable Service to the date he/she leaves active employment with the University. It is further provided that the reduction in early retirement pension shall not be less than</p>	<p>7.04 <u>Early Or Disability Retirement Income</u></p> <p>(1) A Member who retires prior to his/her Normal Retirement Date, pursuant to Sections 6.04 or 6.05 hereof, shall be entitled to receive an annual retirement income, commencing on his/her early retirement date or disability retirement date, and payable in equal monthly instalments, in an amount which is equal to (a) or (b) below, as appropriate:</p> <p>(a) the annual retirement income accrued to his/her credit under Section 7.01 above, at his/her actual retirement date, provided he/she is eligible for a disability retirement pension under Section 6.05; or</p> <p>(b) the amount of retirement income payable to a Member eligible for early retirement under Section 6.04 shall be equal to the annual retirement income accrued to his/her credit under Section 7.01 above, at his/her actual retirement date but reduced by:</p> <p style="margin-left: 40px;">(i) 1/3 of 1% for each month between the ages of 60 and 65 inclusive, and</p> <p style="margin-left: 40px;">(ii) 1/2 of 1% for each additional month between the ages of 55 and 59 inclusive,</p> <p>by which the date of commencement of such pension precedes his/her Normal Retirement Date, provided that the Member’s pension is at least the Actuarial Equivalent of a deferred pension, commencing on his/her Normal Retirement Date, calculated according to the formula in Section 7.01 based on his/her Pensionable Service to the date he/she leaves active employment with the University. It is further provided that the reduction in early retirement pension shall not be less than</p>	<p>Effective Date: June 1, 2023</p> <p>Amended to reflect the current administrative practice for the treatment of employees who are required to participate in the Ontario Teachers’ Pension Plan.</p>

## University of Windsor Employees' Retirement Plan – Proposed Amendments Comparison Chart

ORIGINAL PLAN TEXT	PROPOSED AMENDMENT	SUMMARY OF AMENDMENT
<p style="text-align: center;">the minimum reduction specified in the <i>Income Tax Act</i>.</p> <p>(2) Notwithstanding the provisions of Section 7.04(1), the amount of retirement income payable to a Member eligible for early retirement prior to his/her Normal Retirement Date pursuant to Section 6.04 hereof and retires or otherwise terminates employment with the University on or after January 1, 2023 having accrued 25 years of Pensionable Service shall be as set out in the following paragraphs.</p> <p>(a) if the Member elects to retire after attaining at least age 63, the amount of retirement income payable shall be equal to the annual retirement income accrued to his/her credit under Section 7.01 above at the Member's actual retirement date without reduction;</p> <p>(b) if the Member elects to retire prior to attaining age 63, the amount of retirement income payable shall be equal to the annual retirement income accrued to his/her credit under Section 7.01 above at the Member's actual retirement date, reduced by:</p> <p style="padding-left: 20px;">(i) 1/3 of 1% for each month between the ages of 60 and 63 inclusive; and</p> <p style="padding-left: 20px;">(ii) 1/2 of 1% for each additional month between the ages of 55 and 59 inclusive,</p> <p>by which the date of commencement of such pension precedes the Member's Normal Retirement Date, provided that the Member's pension is at least the Actuarial Equivalent of a deferred pension, commencing on his/her Normal Retirement Date, calculated according to the formula in Section 7.01 based on his/her Pensionable Service to the date he/she leaves active employment with the</p>	<p style="text-align: center;">the minimum reduction specified in the <i>Income Tax Act</i>.</p> <p>(2) Notwithstanding the provisions of Section 7.04(1), the amount of retirement income payable to a Member eligible for early retirement prior to his/her Normal Retirement Date pursuant to Section 6.04 hereof and retires or otherwise terminates employment with the University on or after January 1, 2023 having accrued 25 years of Pensionable Service shall be as set out in the following paragraphs.</p> <p>(a) if the Member elects to retire after attaining at least age 63, the amount of retirement income payable shall be equal to the annual retirement income accrued to his/her credit under Section 7.01 above at the Member's actual retirement date without reduction;</p> <p>(b) if the Member elects to retire prior to attaining age 63, the amount of retirement income payable shall be equal to the annual retirement income accrued to his/her credit under Section 7.01 above at the Member's actual retirement date, reduced by:</p> <p style="padding-left: 20px;">(i) 1/3 of 1% for each month between the ages of 60 and 63 inclusive; and</p> <p style="padding-left: 20px;">(ii) 1/2 of 1% for each additional month between the ages of 55 and 59 inclusive,</p> <p>by which the date of commencement of such pension precedes the Member's Normal Retirement Date, provided that the Member's pension is at least the Actuarial Equivalent of a deferred pension, commencing on his/her Normal Retirement Date, calculated according to the formula in Section 7.01 based on his/her Pensionable Service to the date he/she leaves active employment with the</p>	

## University of Windsor Employees’ Retirement Plan – Proposed Amendments Comparison Chart

ORIGINAL PLAN TEXT	PROPOSED AMENDMENT	SUMMARY OF AMENDMENT
<p>University. It is further provided that the reduction in early retirement pension shall not be less than the minimum reduction specified in the <i>Income Tax Act</i>.</p> <p>(3) For greater certainty, in respect of a Member who has transferred from the University of Windsor Retirement Plan for Faculty and Certain Employees to the Plan pursuant to Section 13.01, the Member’s pensionable service accrued while a member of the University of Windsor Retirement Plan for Faculty and Certain Employees shall be included in order to determine such Member’s Pensionable Service under the Plan for purposes of paragraphs (1)(b) and (2) above.</p> <p>(4) Notwithstanding the foregoing, in respect of a Member who has transferred from the Plan to the University of Windsor Retirement Plan for Faculty and Certain Employees pursuant to Section 13.02 and such Member terminates employment with the University on or after January 1, 2023 having met the eligibility criteria for early retirement benefits under paragraph (1)(b) or (2), above, taking into account his/her pensionable service accrued while a Member of the University of Windsor Retirement Plan for Faculty and Certain Employees if necessary, shall be entitled to receive the benefits under paragraph (1)(b) or (2) above despite the fact that the Member is not an active Member of the Plan at his/her date of termination of employment.</p>	<p>University. It is further provided that the reduction in early retirement pension shall not be less than the minimum reduction specified in the <i>Income Tax Act</i>.</p> <p>(3) For greater certainty, in respect of a Member who has transferred from the University of Windsor Retirement Plan for Faculty and Certain Employees to the Plan pursuant to Section 13.01, the Member’s pensionable service accrued while a member of the University of Windsor Retirement Plan for Faculty and Certain Employees shall be included in order to determine such Member’s Pensionable Service under the Plan for purposes of paragraphs (1)(b) and (2) above.</p> <p>(4) Notwithstanding the foregoing, in respect of a Member who has transferred from the Plan to the University of Windsor Retirement Plan for Faculty and Certain Employees pursuant to Section 13.02 <b>or to the Ontario Teachers’ Pension Plan pursuant to Section 13.03</b> and such member terminates employment with the University on or after January 1, 2023 having met the eligibility criteria for early retirement benefits under paragraph (1)(b) or (2) above, taking into account his/her pensionable service accrued while a member of the University of Windsor Retirement Plan for Faculty and Certain Employees <b>or the Ontario Teachers’ Pension Plan</b> if necessary, shall be entitled to receive the benefits under paragraph (1)(b) or (2) above despite the fact that the Member is not an active Member of the Plan at his/her date of termination of employment.</p>	

## University of Windsor Employees' Retirement Plan – Proposed Amendments Comparison Chart

ORIGINAL PLAN TEXT	PROPOSED AMENDMENT	SUMMARY OF AMENDMENT
<p>7.07 <u>Small Benefit Commutation</u></p> <p>If the annual pension payable at the Member's Normal Retirement Date is not more than 2% of the Year's Maximum Pensionable Earnings in the year of the Member's retirement, or such other amount as may be prescribed under the <i>Pension Benefits Act</i>, the University shall pay the Member a lump sum payment equal to the Commuted Value of his/her pension or deferred pension in full discharge of all obligations under the Plan.</p>	<p>7.07 <u>Small Benefit Commutation</u></p> <p><b>For a Member who retires from employment with the University on and after June 1, 2023, if:</b></p> <ol style="list-style-type: none"> <li>(1) the annual pension payable at the Member's Normal Retirement Date is not more than <b>4%</b> of the Year's Maximum Pensionable Earnings in the year of the Member's retirement;</li> <li>(2) <b>the Commuted Value of the pension is less than 20% of the Year's Maximum Pensionable Earnings in the year of the Member's retirement;</b> or</li> <li>(3) <b>the annual pension or Commuted Value of the pension is not more than such other small benefit amount as may be prescribed under the <i>Pension Benefits Act</i>;</b></li> </ol> <p>the University shall, <b>subject to the right of the Member to elect to transfer the Commuted Value of his/her pension into a registered retirement savings arrangement as prescribed in the <i>Pension Benefits Act</i>,</b> pay the Member a lump sum payment equal to the Commuted Value of his/her pension in full discharge of all obligations under the Plan.</p>	<p>Effective Date: June 1, 2023</p> <p>Amended to reflect changes to the Ontario <i>Pension Benefits Act</i>; to raise threshold for allowing administrator to commute out small benefits from the pension plan.</p>

**University of Windsor Employees’ Retirement Plan – Proposed Amendments Comparison Chart**

ORIGINAL PLAN TEXT	PROPOSED AMENDMENT	SUMMARY OF AMENDMENT
<p>New Section Proposed.</p> <p>New Section 9.05 added immediately following Section 9.04.</p>	<p><b>9.05 Commutation of Small Survivor Pension</b></p> <p><b>Notwithstanding any other provision of this Plan, in respect of the death of a Member who commences receipt of a pension on and after June 1, 2023, if:</b></p> <ul style="list-style-type: none"> <li><b>(1) the annual survivor pension payable to a Spouse at the Member’s death is not more than 4% of the Year’s Maximum Pensionable Earnings in the year of the Member’s death;</b></li> <li><b>(2) the Commuted Value of the survivor pension is less than 20% of the Year’s Maximum Pensionable Earnings in the year of the Member’s death; or</b></li> <li><b>(3) the Spouse’s annual survivor pension or Commuted Value of the Spouse’s survivor pension is not more than such other small benefit amount as may be prescribed under the <i>Pension Benefits Act</i>;</b></li> </ul> <p><b>the University shall, subject to the right of the Spouse to transfer the Commuted Value of his/her survivor pension into a registered retirement savings arrangement as prescribed in the <i>Pension Benefits Act</i>, pay the Spouse a lump sum payment equal to the Commuted Value of his/her survivor pension in full discharge of all obligations under the Plan.</b></p>	<p>Effective Date: June 1, 2023</p> <p>Amended to permit the Plan to provide for commutation of small survivor pensions that meets the threshold referred to in Section 7.07.</p>

## University of Windsor Employees' Retirement Plan – Proposed Amendments Comparison Chart

ORIGINAL PLAN TEXT	PROPOSED AMENDMENT	SUMMARY OF AMENDMENT
<p>New Section Proposed.</p> <p>New Section 10.08 added immediately following Section 10.07.</p>	<p><b>10.08 Small Benefit Commutation</b></p> <p><b>For a Member who terminates employment with the University for any reason other than death or retirement on and after June 1, 2023, if:</b></p> <p><b>(1) the annual pension payable at the Member's Normal Retirement Date is not more than 4% of the Year's Maximum Pensionable Earnings in the year of the Member's termination of employment;</b></p> <p><b>(2) the Commuted Value of the Member's pension or deferred pension is less than 20% of the Year's Maximum Pensionable Earnings in the year of the Member's termination of employment; or</b></p> <p><b>(3) the annual pension or Commuted Value of the Member's pension or deferred pension is not more than such other small benefit amount as may be prescribed under the <i>Pension Benefits Act</i>;</b></p> <p><b>the University shall, subject to the right of the Member to transfer the Commuted Value of his/her pension or deferred pension into a registered retirement savings arrangement as prescribed in the <i>Pension Benefits Act</i>, pay the Member a lump sum payment equal to the Commuted Value of his/her pension or deferred pension in full discharge of all obligations under the Plan.</b></p>	<p>Effective Date: June 1, 2023</p> <p>Amended to reflect changes to the Ontario <i>Pension Benefits Act</i>; to permit the Plan to provide for small benefit commutation that meets the threshold referred to in Section 7.07.</p>
<p>Section 13 - Transfers To And From The University Of Windsor Retirement Plan For Faculty And Certain Employees</p>	<p><b>Section 13 - Transfers Between Registered Pension Plans</b></p>	<p>Effective Date: June 1, 2023</p> <p>Amended title of Section 13 to reflect section contents.</p>

## University of Windsor Employees' Retirement Plan – Proposed Amendments Comparison Chart

ORIGINAL PLAN TEXT	PROPOSED AMENDMENT	SUMMARY OF AMENDMENT
<p>New Section Proposed.</p> <p>New Section 13.03 added immediately following Section 13.02.</p>	<p><b>13.03 Enrollment in the Ontario Teachers' Pension Plan</b></p> <p><b>A Member who continues in employment with the University but ceases to be an Employee as a result of becoming a member of the Ontario Teachers' Pension Plan in respect of the Member's employment with the University:</b></p> <p><b>(1) shall not contribute to the Plan in respect of employment on or after the date the Member ceases to be an Employee; and</b></p> <p><b>(2) the benefits payable from the Plan upon the Member's subsequent retirement, death or termination of employment shall be determined based on the Member's Pensionable Service at the date of ceasing to be an Employee, and the Member's Best Average Earnings at retirement, death or termination of employment.</b></p>	<p>Effective Date: June 1, 2023</p> <p>Amended to reflect recent cases requiring mandatory participation in the OTPP. Currently the Plan does not mention the OTPP and does not provided direction whether a Member has to transfer to OTPP.</p>
<p>16.04 <u>Non-Commutation Of Pensions</u></p> <p>A pension or deferred pension payable under this Plan shall not be capable of being commuted, except as follows:</p> <p>(1) as permitted under Section 7.07;</p> <p>(2) as permitted in accordance with the <i>Pension Benefits Act</i> in the event that the life expectancy of the Member is likely to be considerably shortened by reason of his/her mental or physical disability.</p>	<p>16.04 <u>Non-Commutations of Pensions</u></p> <p>A pension, deferred pension <b>or Joint and Survivorship Pension</b> payable under this Plan shall not be capable of being commuted, except as follows:</p> <p>(1) as required under any of Sections 7.07, <b>9.05</b> or <b>10.08</b>;</p> <p>or</p> <p>(2) as <b>required</b> in accordance with the <i>Pension Benefits Act</i> in the event that <b>an illness or physical disability of a Member who has retired or otherwise terminated his/her employment with the University is likely to shorten his/her life expectancy to less than two years.</b></p>	<p>Effective Date: June 1, 2023</p> <p>Amended to limit to Pension Benefits Act. Requires commutation option in the event of shortened life expectancy of retirees or deferred members.</p>

University of Windsor  
Board of Governors

4.7.2: **Funding Policy for the Employees' Retirement Pension Plan for Unifor Members**

Item for: **Approval**

Forwarded by: **Board Pension Committee**

**MOTION:** **That the Funding Policy for the University of Windsor Employees' Retirement Pension Plan for Unifor Members be approved.**

**Rationale:**

*See memo dated May 16, 2023 and the proposed University of Windsor Funding Policy for the Employees' Retirement Pension Plan for Unifor Members, attached.*





**Finance Department**

401 Sunset Avenue, Windsor  
Ontario, Canada N9B 3P4  
www.uwindsor.ca/finance

**To:** Board of Governors  
**From:** Gillian Heisz, Vice-President, Finance and Operations  
**Date:** May 16, 2023  
**Subject:** Funding Policy for the Employees Retirement Pension Plan – Unifor Members

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Following the 2022 bargaining year and the Board of Governors approval of the Unifor 444 and 2458 (together referred to as Unifor) Collective Bargaining Agreements, the University of Windsor and Unifor signed a Letter of Understanding (LOU) on February 28, 2022. The terms of the LOU were drafted in bargaining but finalized post ratification, and form part of the Unifor collective agreements. The LOU stated that University and Unifor, through the Unifor-University of Windsor Joint Pension Committee (the "JPC"), would agree to develop a pension funding policy to establish appropriate funding principles that will improve benefits in the Plan while ensuring its continued financial stability.

**Unifor-University of Windsor Joint Pension Committee (JPC):**

As a result of the LOU signed above, the JPC was established by Unifor and the University, for the University Employees' Retirement Plan, effective September 23, 2022.

The JPC was established to:

1. develop a pension funding policy as described in the LOU regarding Pension Funding Policy and Contribution Stability in respect of the University of Windsor Employees' Retirement Plan that will apply to the Unifor Members (the "Funding Policy");
2. monitor the ongoing application of the Funding Policy;
3. promote awareness and understanding of the Plan and to share information/data relating to the Plan;
4. discuss the financial status and governance of the Plan;
5. jointly work, in the best interest of the Unifor Members, to improve the benefits in the Plan while ensuring its continued financial sustainability; and
6. review any proposed legislative changes to the Plan (i.e., Income Tax Act (Canada)).

It was also noted at this time that the JPC will assume the responsibilities formerly conducted the by the Unifor Pension Advisory Committee (PAC), as both parties acknowledged that maintaining both the JPC and PAC is duplicative, and the parties commit to streamline the governance of the Plan with the intention to merge the JPC and the PAC by August 31, 2025

Membership of the JPC consists of no more than 8 members, including:

- One (1) member from each of the four Unifor bargaining units appointed by each respective membership.
- Four (4) members appointed by the University.

**Funding Policy for the Employees Retirement Pension Plan – Unifor Members:**

The JPC met multiple times between September 2022 to April 2023 and were successful in developing the Funding Policy. Advisors to each party (i.e., Unifor National and Local representatives, the actuaries of the Plan, legal counsel, etc.) attended several of the JPC meetings as resources to provide professional opinions and guidance as both parties worked to mutually finalize the Funding Policy. The proposed effective date of the Funding Policy is July 1, 2023.

The Funding Policy takes a long-term focus over a short-term perspective and is intended to establish appropriate funding principles that will, in the best interests of the Unifor Members, improve the benefits in the Plan while ensuring its continued financial sustainability.

This Funding Policy will also provide guidance to the JPC around the building of reserves and the management of deficits and surplus assets, with the goals of:

- maintaining contribution stability;
- long-term sustainability of the Plan;
- intergenerational equity amongst Unifor Members; and
- providing benefit improvements, including access to early retirement pensions, on a subsidized basis, when and as affordable.

Please see **University of Windsor Funding Policy for the Employees Retirement Pension Plan for Unifor Members** attached.

**Next Steps:**

Following the approval of the Unifor Funding Policy, the JPC will continue to meet at a minimum quarterly, to fulfil the fiduciary roles and responsibilities of the JPC, as outlined further in Section 1.2.2 of the Funding Policy (See Schedule “A”).

The University will also begin conversations with other bargaining groups, including CUPE, and non-union members of the ERP (Manager and Professionals), to develop Pension Plan Funding Policies for each of these groups, respectively.



University  
of Windsor

# FUNDING POLICY

Employees' Retirement Pension Plan Unifor Members

## 1. Introduction and Purpose

### 1.1. Purpose

The Unifor University of Windsor Funding Policy (this "Funding Policy") for the University of Windsor Employees' Retirement Pension Plan (the "Plan") is hereby established by the Unifor University of Windsor Joint Pension Committee (the "JPC").

This Funding Policy, which takes a long-term focus over short-term perspectives, is intended to establish appropriate funding principles that will, in the best interests of the Unifor Members, improve the benefits in the Plan while ensuring its continued financial sustainability.

This Funding Policy will also provide guidance to the JPC around the building of reserves and the management of deficits and excess assets, with the goals of:

- maintaining contribution stability;
- long-term sustainability of the Plan;
- intergenerational equity amongst Unifor Members; and
- providing benefit improvements, including access to early retirement pensions, on a subsidized basis, when and as affordable.

### 1.2. Roles and Responsibilities

#### 1.2.1. University

The University is the Plan Sponsor and acts through the Board of Governors (the "Board"). The Board is the Administrator of the Plan and is responsible for overall management and administration of the Plan except to the extent such responsibility is permitted to be, and has been, delegated to another entity.

It is further agreed that any decision made by the JPC in accordance with this Funding Policy will be final and binding in respect of Unifor Members and cannot be overturned or altered by the Retirement Committee.

#### 1.2.2. JPC

The JPC was established by the University and Unifor for the Plan, effective September 23, 2022. The roles and responsibilities of the JPC include:

- developing this Funding Policy;
- monitoring the ongoing application of this Funding Policy;
- promoting awareness and understanding of the Plan and to share information/data relating to the Plan;
- discussing the financial status and governance of the Plan;
- jointly working, in the best interest of the Unifor Members, to improve the benefits in the Plan while ensuring its continued financial sustainability; and
- reviewing any proposed legislative changes to the Plan (i.e., Income Tax Act (Canada)).

The JPC will assume the responsibilities formerly conducted by the Unifor Pension Advisory Committee (the "PAC"). Further details on the roles and responsibilities for the JPC are outlined the Terms of Reference for the JPC.

### 1.3. Scope

This Funding Policy will guide the decisions of the JPC, as it relates to the Unifor Members of the Plan.

This Funding Policy is subject to all applicable legislation including provisions which are set out in the Plan Text, the Income Tax Act (Canada) and the Ontario Pension Benefits Act (the "Act"). In the event of a conflict between this Funding Policy and applicable legislation, the applicable legislation shall govern.

The University's Investment Policy will be addressed on a Plan-wide basis through University's Statement of Investment Policies and Procedures (the "SIPP") for the University of Windsor Employees' Retirement Plan and Retirement Plan for Faculty and Certain Employees. The SIPP is not the subject of this Funding Policy, or the JPC's role and responsibilities given representation on Investment Committee, either in scope or elsewhere in this Funding Policy.

### 1.4. Frequency of review

This Funding Policy shall be reviewed at least annually, and in the event of any legislative changes impacting the funding requirements of registered pension plan. This Funding Policy may be reviewed as deemed necessary by the JPC due to changing conditions which may include, but not limited to, the financial situation of the University or the Plan, changing Plan provisions, changing legislation, changing member demographics or other similar circumstances.

## 2. Defined Terms

"Actuary": means the actuary or firm of actuaries retained by the University who is, or at least one of whose members is, a Fellow of the Canadian Institute of Actuaries. The Actuary may also be retained by the University to assist the University in its capacity as Plan sponsor.

"Act": means the Pension Benefits Act (Ontario) and regulations thereunder.

"Administrator": means the University of Windsor Board of Governors.

"Board": means the University of Windsor Board of Governors.

"CPI": means the Consumer Price Index.

"CUPE Members": means participants in the Employees Retirement Plan who are University employees who are members of CUPE Local 1393.

"JPC" or "Committee": means the Unifor University of Windsor Joint Pension Committee established effective September 23, 2022.

"Funding Policy": means this Unifor University of Windsor Funding Policy established by the JPC on April 27, 2023 as amended.

"Funding Principles": will be adopted to guide funding, in the best interests of the Unifor Members, and to improve the benefits in the Plan while ensuring its continued financial sustainability.

"Going Concern": means "continuing" or "ongoing". Going-concern liabilities represent the expected cost of the promised pension benefits based on the assumption that the Plan will continue indefinitely. The terms Going

Concern Liabilities and Going Concern Funding Excess as used herein refer to concepts appearing in the most recent funding actuarial report for the Plan, after including any margins or provisions for adverse deviations.

“Faculty Plan”: means the University of Windsor’s Retirement Plan for Faculty and Certain Employees.

“Non-Union Members”: means participants in the Employees Retirement Plan who are not part of the Unifor or CUPE union groups. Typically, these individuals are University managers and supervisors.

“PAC”: means the Unifor Pension Advisory Committee.

“Plan”: means the University of Windsor’s Employees’ Retirement Pension Plan.

“Plan Member”: means a member of the Plan. This includes an Employee who has become entitled to participate in the Plan in accordance with the provisions of the Plan. The term “Plan Member” shall also include a former Employee who has retired or otherwise terminated his/her employment with the University, but who retains a right to benefits under the Plan.

“Plan Sponsor”: means the University of Windsor who established the Plan for the benefit of certain employees of the University.

“Plan Text”: means the University of Windsor’s Employee Retirement Plan text which, among other things, specifies the various pension benefits that will be provided under the Plan, as such text is amended from time to time.

“Retirement Committee”: means the Retirement Committee, recognizing the role of the JPC, in its fiduciary capacity to act in place of the Retirement Committee in respect of the Unifor Members of the Plan.

“SIPP”: means the Statement of Investment Policies and Procedures for the University of Windsor Employee’s Retirement Plan and Retirement Plan for Faculty and Certain Employees.

“Solvency”: Funding actuarial reports determine the Plan’s financial position and contribution requirements on a Solvency basis, in addition to the Going Concern basis, in accordance with legislative and regulatory requirements. “Solvency” results are based on the assumption that the Plan is winding up or closing (in contrast to the assumption that the Plan is continuing to operate or remaining a “Going Concern”). The terms Solvency Assets and Solvency Liabilities as used herein are as defined under the Act.

“TOR”: means the Terms of Reference of the JPC.

“Transfer Ratio”: means the ratio of solvency assets over wind-up liabilities, as defined in the Act and disclosed in the Plan’s actuarial valuation reports.

“Unifor Member”: means an active member, former member, retired member, or survivor who is or was represented by Unifor under the Plan.

“University”: means the University of Windsor.

### **3. Overview of the Key Plan Provisions Relevant to this Funding Policy**

#### **3.1. Governance**

The University is Plan Sponsor and acts through the Board. The Board is the Administrator of the Plan and is responsible for overall management and administration of the Plan except to the extent such responsibility is

permitted to be, and has been, delegated to another entity. The Board reviews recommendations from its Investment Committee with respect to all investment related matters of the Fund.

As outlined in the TOR, the JPC shall act in a fiduciary capacity when carrying out its responsibilities relating to the administration of the Plan in respect of Unifor Members.

### **3.2. Plan Overview and Benefits**

The Plan is a single employer pension plan established on September 1, 1955, to provide retirement and related benefits to eligible employees. The Plan is a defined benefit pension plan covering eligible employees of the University and provides a lifetime pension to Plan Members delivered through a combination of contributions by the University and Plan Members, as well as investment returns on such contributions.

The Act requires that the University and members must fund the benefits determined under the Plan. The determinations of the value of these benefits are made on the basis of an actuarial valuation and any current legislative requirements.

The most recent actuarial valuation for funding purposes was prepared as at July 1, 2021 by Mercer (Canada) Limited. A copy of the valuation was filed with the Financial Services Regulatory Authority of Ontario ("FSRA"), Pension Plans Branch as required by the Act and with the Canada Revenue Agency as required by the Income Tax Act (Canada).

Retirement benefits are calculated as 1.5% of the member's best average earnings not in excess of the average Canada Pension Plan base plus 2.0% of the member's best average earnings in excess of the average Canada Pension Plan base, together multiplied by the member's pensionable service. Post-retirement indexing is applied as one-half of the excess of the average pension fund rate of return over the valuation interest rate, capped at 50% of the CPI for the year.

The normal retirement age of a member is 65. The Plan was amended December 9, 2022 to introduce a new early retirement provision, which reduced the early retirement reduction factors applicable to Plan Members who have accrued at least 25 years of pensionable service on their early retirement date, effective January 1, 2023.

### **3.3. Plan Cost Sharing Mechanism**

The Plan is a fully cost shared plan, meaning the University and Plan Members contribute equally to fund the current service cost of the Plan and any required special payments.

### **3.4. Contribution Rates**

Effective January 9, 2023, Plan Members contribute between 6.2% and 8.9%. These contribution rates will continue to the date of the next actuarial valuation (required no later than July 1, 2024), at which time the contribution rates will be assessed. The University matches all Plan Member contributions during the year.

The aggregate contributions to the Plan in respect of the Unifor Members (inclusive of current service contributions, administrative expenses, provisions for adverse deviation, and special payments required by the Act) shall be maintained at a minimum blended rate of 14% of pensionable earnings subject to compliance with the Income Tax Act, starting from the first actuarial valuation prepared after September 2022.

All historical contribution rates for the Plan can be found in Section 3, Contributions, of the Plan Text.

#### 4. Principles Underlying this Funding Policy

In support of the purpose of this Funding Policy, the following Funding Principles are adopted to guide the JPC's decisions in relation to this Funding Policy:

- Transparency and Accountability: To ensure a sustainable benefit commitment, as well as consistency, accountability and transparency of the Plan, the Plan's funding must be established in conjunction with the SIPP for the Plan and Faculty Plan, and must satisfy all regulatory and legislative requirements, as well as contractual obligations contained in relevant collective agreements, and the Plan Text.
- Plan Sustainability: A sustainable pension plan is one that delivers reliable retirement income for the life of its beneficiaries and can be funded through stable contributions from the Plan Sponsor and Plan Members.
- Security of Benefits: To ensure that the assets, together with future contributions are sufficient to deliver the promised benefits on an ongoing basis.
- Intergenerational Equity: As benefit improvements are considered, there should be a reasonable degree of equity across generations of Unifor Members and within any given generation of members, and all Plan Members should be treated even-handedly with respect to the apportionment of the risks and rewards of the Plan.

#### 5. Actuarial Assumptions and Methods

The actuarial valuations of the Plan should be performed based on the following material terms:

- they should be prepared in accordance with the Act and actuarial standards of practice in Canada;
- the JPC will make recommendations to the Retirement Committee as to the timing of actuarial valuation reports and the actuarial assumptions and methods (including margins), acting in the best interests of all members of the Plan; and
- in respect of Unifor Members, the JPC will review information provided by the Actuary and provide input on actuarial assumptions and the Solvency and hypothetical wind-up valuation scenarios.

Decisions with respect to the content of the actuarial valuations or the decision to file a voluntary actuarial valuation (i.e., an actuarial valuation that is not required to be filed under the Act) are decisions of the Retirement Committee, including the voting Unifor representatives on the Retirement Committee.

In the event the Retirement Committee reaches a different recommendation than the JPC with regard to an actuarial valuation filing, the matter shall be referred to the Pension Committee of the Board of Governors of the University for a decision. In this case, Unifor shall be permitted to present its position at the meeting of the Pension Committee of the Board of Governors, including through a presentation by up to two (2) representatives of the Unifor locals and/or the Unifor National, subject to the Bylaws of the Board of Governors.

For greater certainty, the setting of, review, and acceptance of the actuarial assumptions and methods (including margins) for the Plan is the subject to the JPC's role and responsibilities acting in its fiduciary capacity in place of the Retirement Committee in respect of Unifor Members and such discussions and decisions are not governed by this Funding Policy.



## 6. Pension Plan Investments

The University's SIPP for the Plan and the Faculty Plan provides objectives, policies, and procedures for the management of the assets of both the Plan and the Faculty Plan and is not subject to the JPC's role and responsibilities.

## 7. Funding Target Ranges

The funding ranges set out below apply on a Plan-wide basis, not solely in respect of the Unifor Members.

Going Concern Ratio	Transfer Ratio	Status based on lesser of Going Concern Ratio and Transfer Ratio
Less than 100%	Less than 100%	Deficit Management
Between 100% - 120.99%	Between 100% - 103.49%	Reserve Management
At or above 121%	At or above 103.5%	Surplus Management

### Deficit Management

Deficit will be addressed in connection with the filing of an actuarial valuation through one or a combination of the following:

- Increasing Unifor Member and University contributions on equal cost sharing basis, including amortization of the going concern unfunded liability and/or solvency deficiency in accordance with the minimum funding requirements of applicable legislation.
- Reducing future service benefits.

If one or more of the above is implemented and experience gains subsequently arise, the JPC should consider the Plan's funded status and the stability of contributions and benefits in making any decision to use the experience gains to eliminate part or all of any Unifor Member and University contribution increases and/or reverse any reduction in future service benefits.

### Reserve Management

The reserve management zone is reached once any special payments have been satisfied, no temporary future service benefit reductions are in effect, and the funded status of the Plan has reached the "Reserve Management" threshold.

In the "Reserve Management" zone, no benefit improvements will be made and surplus assets will be maintained as a reserve.

### Surplus Management

If the Plan's surplus in excess of the reserve identified above, the portion of such surplus relating to Unifor Members as determined by the Actuary may be utilized as determined by the JPC in accordance with Section 9 to do one or more of the following:

- Reducing Unifor Member and University contributions (subject to the minimum 14% aggregate contribution in respect of the Unifor Members (inclusive of current contributions, administrative expenses, provisions for adverse deviation, and special payments required by the Act)); or
- Providing benefit improvements in respect of past service.

If, in the future, the benefit terms or contribution rates differ between the Plan's three membership groups (i.e., Unifor Members, CUPE Members, or Non-Union Members), the surplus for each membership group shall be determined by apportioning the Plan assets on a pro-rata share of solvency liabilities (without excluding any benefits - specifically post-retirement indexation adjustments). After the Plan is amended such that the benefit terms or contribution rates differ between membership groups, the funded status of each membership group should be notionally tracked based on the starting position and adjusted over time with contributions, accruals, and benefit payments in respect of each membership group. Plan expenses and investment returns will be allocated on a pro-rata basis across each of the membership groups.

The granting of any benefit improvement for Unifor Members must not (i) reduce the surplus available for or the benefits of CUPE Members or Non-Union Members of the Plan; or (ii) increase the contributions expected to be required by CUPE Members and Non-Union Members of the Plan or the University in respect of such members. Likewise, the granting of any benefit improvement for CUPE Members and/or Non-Union Members must not (i) reduce the surplus available for or the benefits of Unifor Members of the Plan; or (ii) increase the contributions expected to be required by Unifor Members or the University in respect of Unifor Members.

## 8. Key Funding Risks

Through the joint governance process of the University, JPC and the Board, the monitoring and assessment of various risk factors which may impact the Plan is undertaken.

The following main risks have been identified as possibly affecting the level of funding related to the provisions of the Plan:

- Investment Risks: To the extent that the Plan's investments do not generate investment returns at the expected long-term rate used to establish the funding requirements, additional contributions may be required to make up the shortfall.
- Demographic Risks: There is the risk that member demographics may evolve in a way that adversely impacts the funded status of the Plan. These risks include:
  - o Longevity: There is a risk that the mortality experience actually observed for the Plan's retirees differs from the mortality assumption adopted for the going concern valuation, which could impact the funding requirements of the Plan. The main risk is that retired members will live longer than expected, which would increase the liabilities of the Plan.
  - o Plan Maturity: A pension plan's maturity can be represented by the proportion of total liabilities that relate to retirees. The maturity of a plan is an important factor that can increase the cost of the plan in proportion to total payroll and operational costs. The more mature a pension plan is, the greater the impact a change in liabilities will have on the costs of the plan in proportion to total payroll. While the Plan remains open, this risk is of lesser concern. If the Plan was closed to new entrants, the risks associated with a maturing plan would have to be carefully monitored.
  - o Other Experience: Over time, other aspects of actual Plan experience will differ from the assumptions made in the valuations. For example, members may retire earlier on average than assumed. External factors could change hiring practices or departures in ways that are currently unplanned.

## Unifor Funding Policy for the University of Windsor Employees' Retirement Pension Plan

- Economic Risks: There are economic risks that could adversely impact the funded status of the Plan. These risks include:
  - Interest Rate Risk: As interest rates decline, Plan liabilities increase since the present value of future benefit payments rise. This can trigger funding deficits if the Plan's assets do not have the same sensitivity to changes in the interest rate.
  - Inflation: inflation could be higher than what was assumed in developing the economic assumptions of the Plan, resulting in higher increases in pensions than expected
  - Salary Changes: Plan member salaries may increase greater than the assumed salary levels resulting in higher pension amounts upon retirement.
- Legislative risks: Changes in legislation or actuarial standards may suddenly impact Plan liabilities and necessitate additional funding.
- Intergenerational Equity Risk: The risk that one generation of Plan Members subsidize the benefits of another. This occurs either when one generation contributes more (or less) than the value that they will receive from the Plan, thereby subsidizing (or requiring subsidization) from another generation. The cause of intergenerational inequity would include: insufficient buffer (surplus) to manage sharp downturn, building up too much surplus, or inaccurate funding assumptions used over long period.

### 9. Criteria and Process for Implementing Benefit Improvements

#### 9.1 Criteria for Benefit Improvements

The following criteria must be met in before any benefit improvements will be granted to Unifor Members:

- The cost of any benefit improvement should maintain a low risk of special payments until at least the next valuation is required to be filed following the benefit improvement.
- Any past service benefit improvement for Unifor Members must result in:
  - The transfer ratio for the Plan remaining at no less than 100.5%; and
  - The going concern ratio for the Plan remaining at no less than 112% and
  - The transfer ratio for the Unifor Members remaining at no less than 100.5%; and
  - The going concern ratio for the Unifor Members remaining at no less than 112%.
- The granting of any benefit improvement for Unifor Members must not:
  - Be expected to require additional funding by the University or Unifor Members at the time of implementation or for the next valuation;
  - Reduce the surplus available for or the benefits of CUPE Members and Non-Union Members of the Plan;
  - Increase the contributions expected to be required by CUPE Members and Non-Union Members of the Plan or the University in respect of such members;
  - Change 50/50 cost sharing; or
  - Add significant additional complexity to the administration of the Plan.
- The Plan amendment for any benefit improvement for Unifor Members must comply with applicable legislation and must be consistent with all relevant regulatory policies.

## **9.2 Process for Proposing Benefit Improvements**

Within 3 months of January 1, 2024 and on an annual basis thereafter and within 3 months of any mandatory actuarial valuation date the JPC will obtain from the Actuary the estimated funded positions of the Plan as of January 1 on a Going Concern basis, Hypothetical Wind Up (for purposes of the Transfer Ratio), and Solvency basis.

If the Plan is in the “Surplus Management” zone, the JPC will first review the affordability for meaningful past service benefit improvements for Unifor Members based on the estimated funded position of the Plan and other relevant factors, such as (but not limited to) recent market activity, demographic or other changes that may have impacted the Plan’s surplus since the most recent measurement.

The JPC will develop a list of potential past service benefit improvements for Unifor Members. In developing the list of potential past service benefit improvements, the JPC will ensure the principles set out in Section 4 of this Funding Policy are met. Unifor acknowledges that the University will consult with the joint pension committees established for CUPE Members and Non-Union Members to develop its position on potential past service benefit improvements; and (b) ensure the principles set out in Section 4 of this Funding Policy are met.

Thereafter, the JPC will work with the Actuary to determine the estimated cost and impact on the estimated funded position of the Plan of not more than three (3) of the JPC’s potential past service benefit improvements for Unifor Members. It is expected that one of the primary potential past service benefit improvements for Unifor Members will be an improvement to the benefit accrual formula applicable for pensionable earnings under the average Canada Pension Plan base.

If the Actuary’s estimate supports a meaningful past service benefit improvement for Unifor Members including meeting the criteria set out in Section 9.1 of this Funding Policy, the JPC may adopt such past service benefit improvement for Unifor Members, which may also include improving the ability to retire earlier with an unreduced pension or improving pension indexing.

If the potential past service benefit improvements do not meet the criteria in Section 9.1 or are otherwise not adopted by the JPC, the JPC may work with the Actuary in an iterative process to determine whether other potential benefit improvements shall be made in respect of Unifor Members.

Benefit improvements as decided by the JPC for Unifor Members will be implemented through a Plan amendment with an effective date that is consistent with administrative considerations including timing consistent with the University Pension Committee and Board meeting calendar.

## **10. Monitoring of Funding Policy and Oversight Role of Unifor JPC**

Should a dispute arise in the application of this Funding Policy, the issue shall be brought before an arbitrator, proficient in pension law.

This Funding Policy may be amended, from time to time, based on the mandatory reviews conducted in accordance with Section 1.4 by the parties represented on the JPC or through collective bargaining. Amendment of this Funding Policy must be through an agreement documented in writing.

## **11. Communication of Funding Policy**

This Funding Policy will be posted publicly and available to all Unifor Members, under the Pension resources on the University of Windsor, Office of Human Resources website (via employee login).

University of Windsor  
Board of Governors

4.8.1: **2023-2024 Ancillary Services Operations Budget**  
*[including proposed Residence, Meal Plan, and Parking Fees]*

Item for: **Approval**

Forwarded by: **Board Resource Allocation Committee**

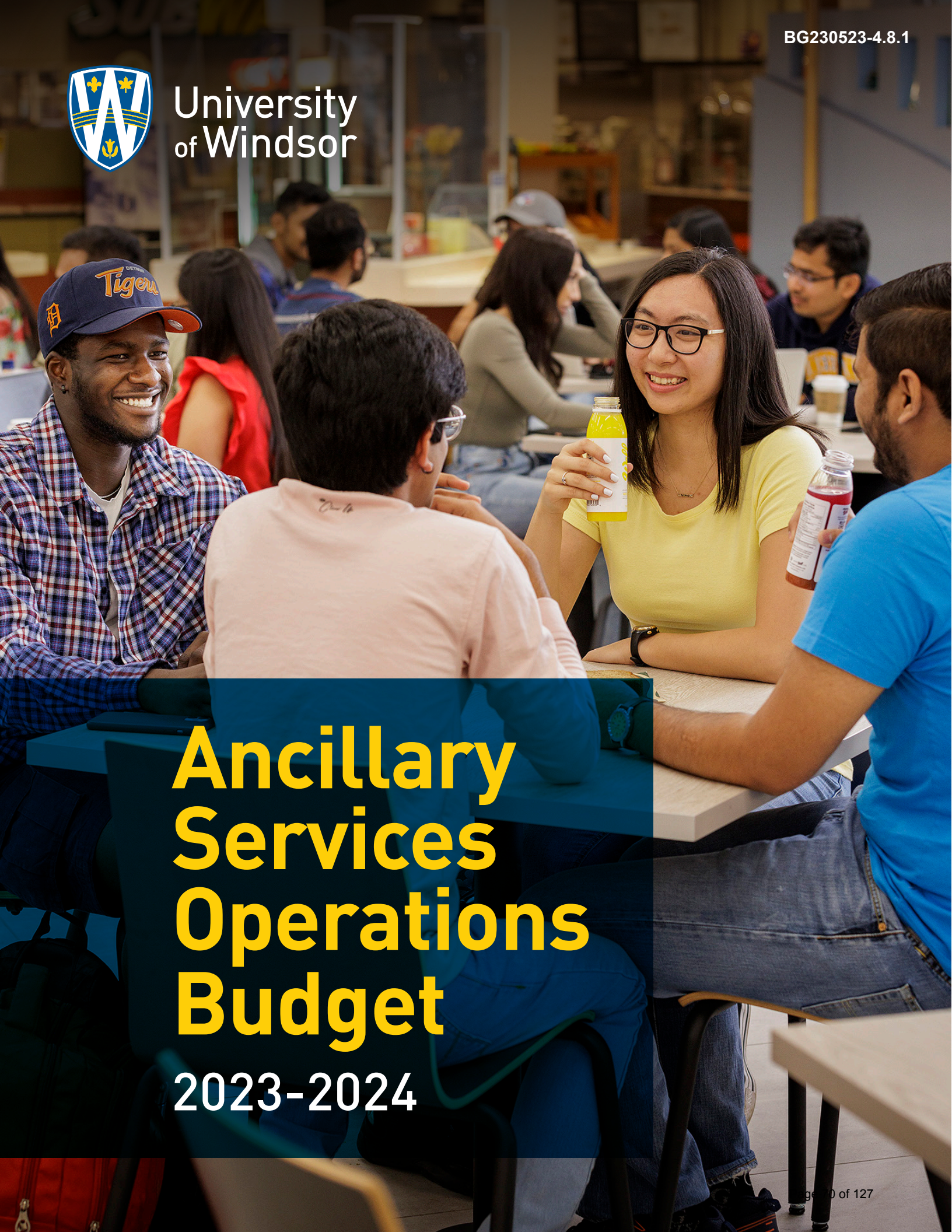
**MOTION:** That the Board of Governors approve the proposed 2023-2024 Residence, Meal Plan, and Parking Fees.

**Rationale:**

- The budgets for the ancillaries are presented to the Board of Governors for information. However, embedded in these budgets are the proposed residence, meal plan, and parking fees which require approval.
- A comprehensive presentation will be presented at the meeting.



University  
of Windsor



# Ancillary Services Operations Budget

2023-2024

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## 2023/24 Ancillary Services Operations Budget

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# I. EXECUTIVE SUMMARY

Following three difficult years of low ancillary-related transaction volumes on campus due to the COVID-19 pandemic, in 2022/23 University of Windsor’s (UWindsor or the University) Ancillary operations (Residence Services, Bookstore, Print Shop, Food Services and Parking) launched a two-year plan towards profitable positions. Profits earned by the Ancillaries are used to repay past deficits, held for future investment in capital renewal, and/or are used to infuse the University’s operating budget including supporting key initiatives including scholarships and bursaries. Critical to the execution of this plan are a combination of strategies including the transformation of business models, an increase in on-campus activities, and internal policy changes. The University is now in year two of this plan and is pleased to be forecasting a profitable position for the Ancillary Operations.

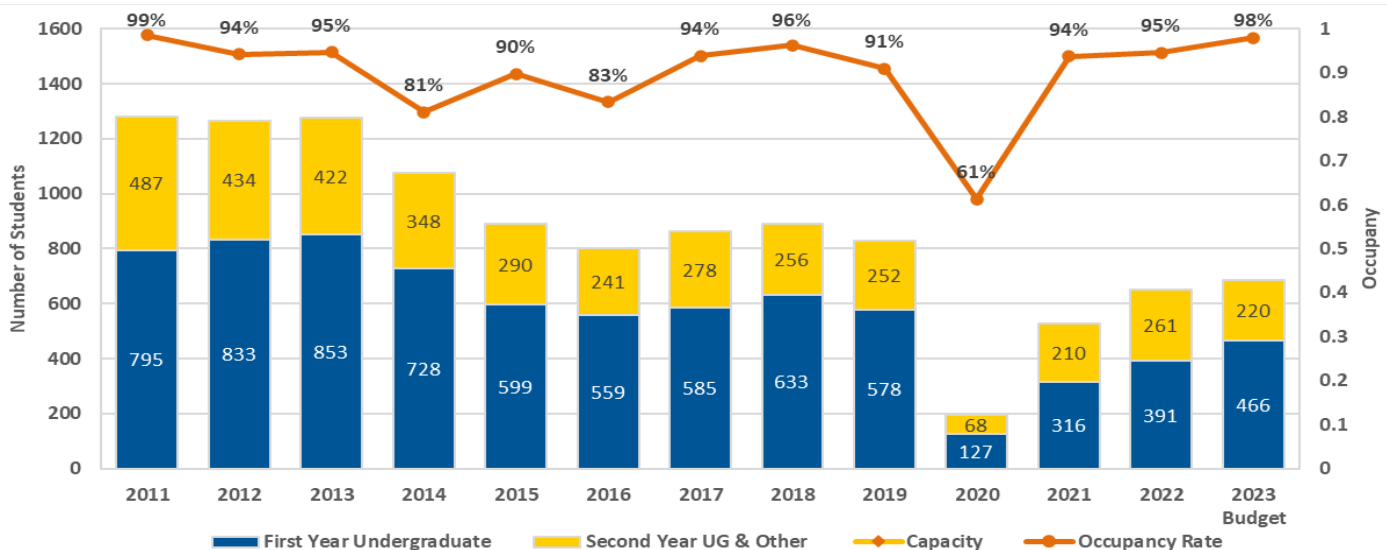
The fee increases proposed by Ancillary operations reflect a continued commitment to keep costs competitive for students:

- Residence rates to increase by a weighted average of 5.25%
- Meal plan rates to increase by a blended rate of 5.90%
- Parking rates (students, faculty, and staff) to increase by a rate of 5.00%

# II. RESIDENCE SERVICES

Residence Services has configured a combination of single and double rooms with capacity of approximately 700 students to live on campus in Alumni, Cartier, and Laurier Halls during the 2023/24 academic year, a modest increase in capacity from the previous year as a result of less units being held for COVID-19 isolation purposes. We are planning for occupancy rates of approximately 98%.

Chart 1: Residence Services Historical Occupancy





## 1. RESIDENCE SERVICES LONG TERM SUSTAINABILITY STRATEGY

In February 2021, the University proposed a long-term sustainability strategy for Residence Services. The key elements of this strategy include:

*Table 1: Residence Services - Key Strategy Elements*

Strategy	Progress Update
Transition towards a hybrid delivery model and rightsized owned inventory (partially UWindsor owned assets; partially private partner owned assets).	<ul style="list-style-type: none"> <li>✓ Tilbury Capital residence on track to open in Fall 2025</li> <li>✓ The University entered into an MOU with WECHU which stipulates a potential transformation of the former Residence West building into corporate offices.</li> </ul>
Aggressively address deferred maintenance in Alumni and Cartier Halls such that these buildings can operate for the long-term and enhance the student experience.	<ul style="list-style-type: none"> <li>✓ \$5M “pay as you go” style deferred maintenance strategy introduced in the 2022/23 budget year.</li> <li>✓ In collaboration with Facilities Services, Residence identified priority renewal projects with the focus on Alumni and Cartier Halls; projects have commenced, and significant renovations will occur in Alumni Hall in Summer 2023.</li> </ul>

## 2. RESIDENCE FEES

When determining residence fees for the upcoming year, Residence Services considered local market conditions, increases in meal plan rates, and planned increases at peer institutions. The planned increases at peer institutions are highlighted in the Tables below. In terms of local market conditions, the information that we have suggests that a single bedroom in the West Windsor area in a shared house (of 5 bedrooms) would be in the range of \$537 to \$779 per month.

In addition, with the private-partner Tilbury Capital residence opening in Fall 2025, Residence Services must consider the room rates expected to be set by our partner in 2025 to ensure the University-owned building rates are not materially lower than those charged in the new facility.

With increased expenses and the need for significant renovations in the three existing buildings in service, Residence Services is proposing a weighted average increase of 5.25% for the upcoming year. With these increases, UWindsor fees will fall in line with the increase proposed at other schools and in the middle of fees charged for both traditional and suite style room options.

*Table 2: Fee Increase Market Scan – Traditional Style Room*

University	2023/24 Increase*	2022/23 Single Rate	2022/23 Double Rate	Cable Included?	Internet Included?	Laundry Included?
Brock	3.94/4.04%	\$8,920+	\$8,120+	Lounges only	Yes	No
Guelph	5.0%	\$8,547 to \$8,925	\$7,324 to \$7,421	No	Yes	Yes
Laurier	6.8%	\$6,866	\$6,866	Lounges only	Yes	Yes
McMaster	3.75%	\$8,965+	\$8,025+	No	Yes	No
Metropolitan	4.0%	\$9,551	\$7,895	No	Yes	Yes

Waterloo	4.0%	n/a	\$6,128	Lounges only	Yes	No
Western	3.0%	\$9,415	\$8,725	Lounges only	No	Yes
Windsor	6%/2%	\$7,989	\$6,729	Lounges only	Yes	Yes
York	3.7%	\$7,512 to \$7,788	\$7,154 to \$7,418	No	Yes	No

\* Preliminary rates for 2023/24 have been provided by peer institutions and are subject to final approval by their respective Board of Governors

Table 3: Fee Increase Market Scan – Suite Style Room

University	2023/24 Increase*	2022/23 Single Rates	2022/23 Double Rates	Cable Included?	Internet Included?	Laundry Included?
Brock	3.82/3.71%	\$9,420+	n/a	Lounges only	Yes	No
Laurier	6.8%	n/a	n/a	No	Yes	Yes
McMaster	3.75%	n/a	\$8,650	No	Yes	No
Toronto (Mississauga)	14.7%	\$11,889	n/a	No	Yes	Yes
Western	3.0%	\$11,425	n/a	Lounges only	Yes	Yes
Windsor	7%/4%	\$8,907	\$8,398	Lounges only	Yes	Yes

\* Preliminary rates for 2023/24 have been provided by peer institutions and are subject to final approval by their respective Board of Governors

\*Market rates are also a driver in determining increases for the upcoming year

Table 4: UWindsor Proposed Residence Fees 2023/24

Room Type	2022/23 Fees	2023/24 Fees	Fee Increase	% Increase	Fee/Mth 2022/23*	Fee/Mth 2023/24*	Increase/Month
Laurier Single	\$7,989	\$8,468	\$479	6%	\$999	\$1,059	\$60
Laurier Double	\$6,729	\$6,864	\$135	2%	\$841	\$858	\$17
Cartier Single**	\$7,750	\$8,603	\$853	11%	\$969	\$1,075	\$107
Cartier Double	\$8,398	\$8,734	\$336	4%	\$1,050	\$1,092	\$42
Alumni Hall	\$8,907	\$9,530	\$623	7%	\$1,113	\$1,191	\$78

\* Calculated based on 8-month occupancy (September to April)

\*\* There are only 7 Cartier Single rooms occupied exclusively by Residence Assistants.

### 3. DEFERRED MAINTENANCE STRATEGY

Last year's budget introduced a 3-year "pay as you go" style funding plan to inject \$5M to address deferred maintenance in the in-service buildings. The funding strategy is summarized for reference in Table 5.

Table 5: Residence Deferred Maintenance Funding Strategy Proposal (in \$000s)

Funding Source	2022/23	2023/24	2024/25	Total DM Funds Available
Energy Sustainability Reserve	\$100	\$200	\$200	\$500
Residence Services Budget	\$1,500	\$1,500	\$1,500	\$4,500
<b>Total Deferred Maintenance Funding</b>	<b>\$1,600</b>	<b>\$1,700</b>	<b>\$1,700</b>	<b>\$5,000</b>

Residence Services has been working with Facility Services on a capital plan, to be executed primarily during Summer 2023. The plan for the coming year is significant, and as a result, Residence Services has decided to take Alumni Hall offline for the Summer to allow for the extensive renovations. Table 6 provides a preliminary project plan; with the plan to be finalized and related projects to be included in the University’s Capital Budget for review at the Board of Governors meeting in June 2023.

Table 6: Residence Deferred Maintenance Projects Planned in 2023/24 (in \$000s)

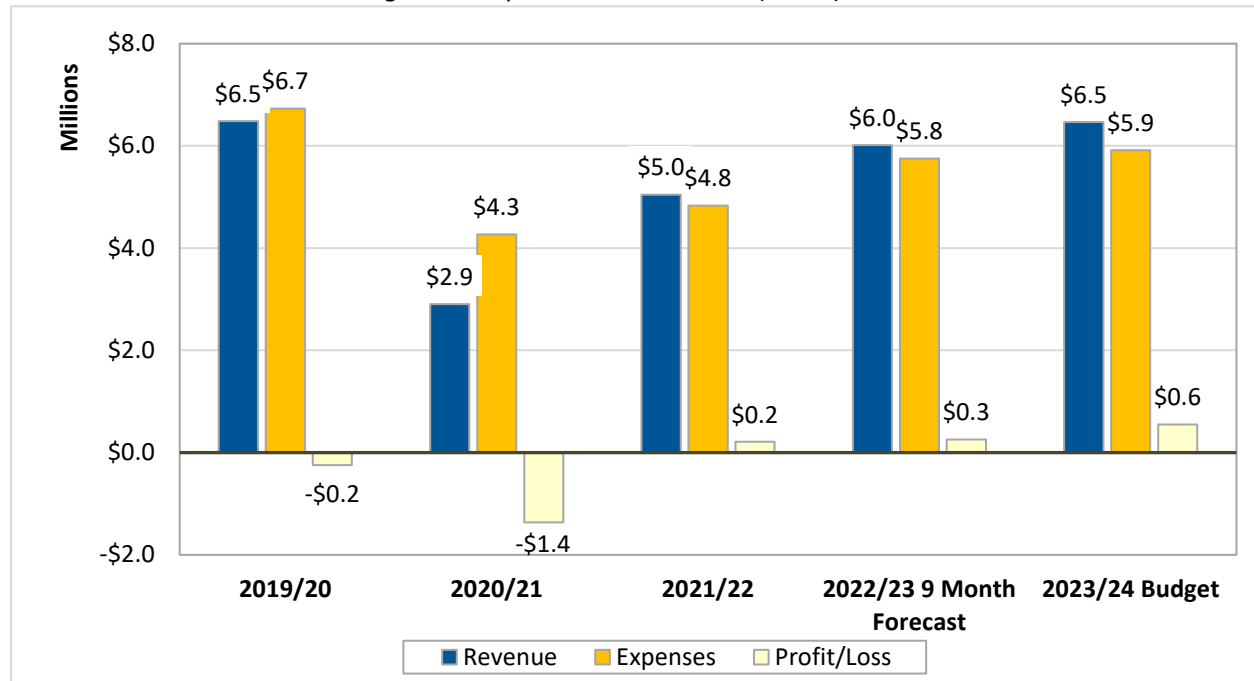
Building	Project	Cost Estimate
Alumni Hall	Wall coverings (replacement)	\$500
	Building exterior maintenance	\$90
	Kitchen cabinet upgrades	\$200
	Install booster pumps	\$30
	Ventilation in mechanical Room	\$60
	Replace drip pan	\$20
	Air handling unit pre-heaters	\$100
General	Wireless upgrades	\$200
	Painting	\$100
<b>Total Deferred Maintenance Planned for 2023/24</b>		<b>\$1,300</b>

As part of our commitment to environmental sustainability, in cooperation with Facilities Services, Residence Services will re-purpose materials and equipment from Residence West (which cannot be used by WECHU) to Laurier Hall, where reasonably feasible.

#### 4. RESIDENCE SERVICES BUDGET

Residence Services largest operating expenditures are the cost of external debt required to support infrastructure and past enhancements, staff salaries and benefits to support student residence life, custodial services, maintenance (as previously described), and other facility-related costs such as utilities and repairs. Residence Services is projecting profit of \$550K for 2023/24, which will be used for future capital reinvestment and to establish a reserve for future years.

Chart 2: Residence Services Budget Retrospective and Forecast (in \$M)



### Risk Assessment

As part of its long-term budget planning conducted last year, Residence Services anticipated requiring up to 3-4% per year increases over the next 4 years to appropriately fund maintenance and renovation projects. In addition, based on the information provided by our private partner regarding their anticipated Fall 2025 residence rates, to maintain no more than a 10% spread between Alumni Hall and the new Residence's rates, a continued 4% per year increase is required. CPI for calendar 2022 was 6.8%<sup>1</sup>, so an increased residence rate is appropriate for the current academic year. Should CPI decrease substantially, the University might face risks (reputational and financial, should the housing options not be affordable) related to justifying future residence rate increases above 4%.

Total deferred maintenance identified across long-term assets is estimated at \$18M (March 2022). The investment of \$5M over the next 3 years will address major issues but increased effort towards optimizing assets will be required to ensure residence conditions are maintained.

### Residence Budget Highlights

- Residence Services is anticipating \$550K in profit for 2023/24.
- Residence Services will be investing \$5 million over the course of the next three years to address significant outstanding deferred maintenance.
- Residence Services is increasing residence fees by a weighted average rate of 5.25%, lower than CPI of 6.8%.

<sup>1</sup> <https://www150.statcan.gc.ca/n1/daily-quotidien/230117/dq230117b-eng.htm?indid=9305-1&indgeo=0>

### III. CAMPUS BOOKSTORE & PRINTSHOP

The University Campus Bookstore closed on June 30, 2022. On July 1, 2022, Follett Higher Education (Follett), a third party, opened a new Campus Bookstore in its place. Commission revenues from Follett are expected to offset the ongoing internal loan repayments resulting in a balanced budget for 2023/24.

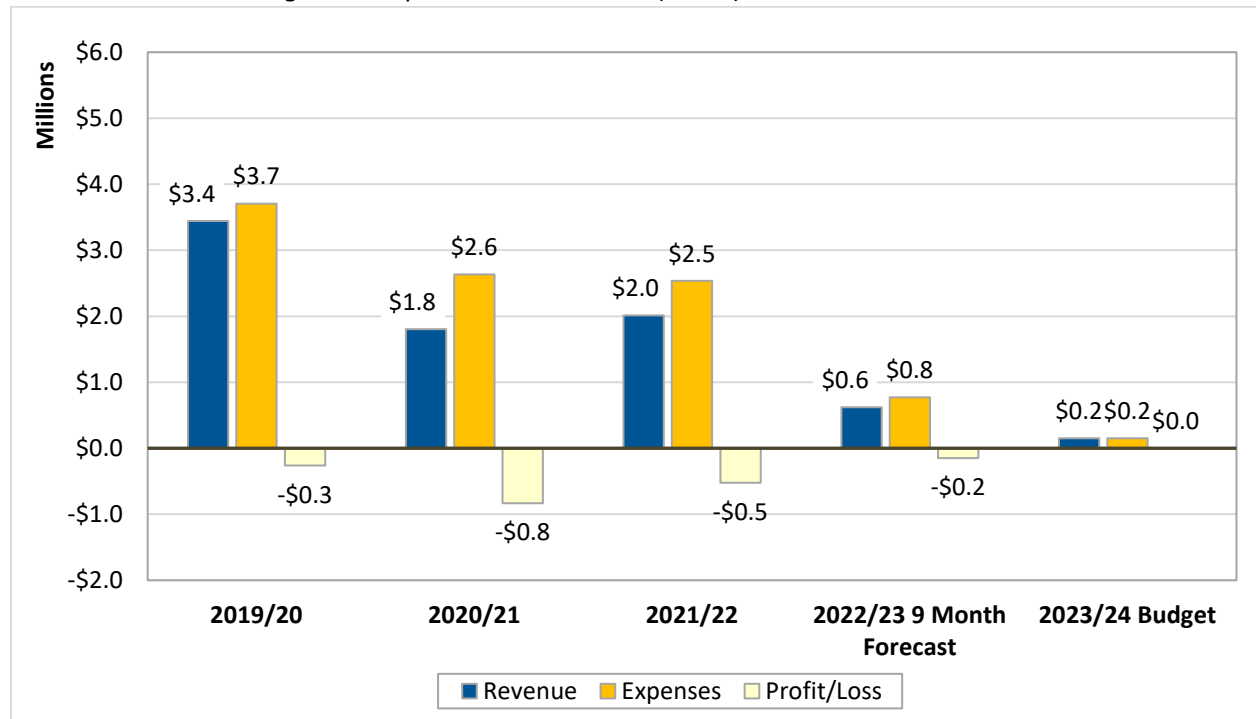
#### 1. BOOKSTORE LONG TERM SUSTAINABILITY STRATEGY

Under the new third-party provider model, the University receives a percentage of Campus Bookstore sales generated by Follett as a commission and provides space at no cost. UWindsor students have noticed immediate improvements in the Bookstore customer experience. Planned projects for 2023/24 by Follett include additional space renovations and the implementation of a new state-of-the-art e-commerce platform.

#### 2. BOOKSTORE OPERATING BUDGET

Bookstore revenue, now solely comprised of the commission fees paid by Follett, has been budgeted at \$150,000 in 2023/24. The only expenditures the Bookstore will recognize is the repayment of the internal loan required to transform the current Bookstore space in the CAW Centre (an internal loan which expires in 2031) and a small contribution to cover Campus Services administrative costs. As a risk mitigation strategy, in the event commission payments do not match budget, the institution will review and reassess the internal loan remaining payments.

Chart 3: Bookstore Budget Retrospective and Forecast (in \$M)



### **Bookstore Budget Highlights**

- The UWindsor Bookstore closed on July 1, 2022, and Follett successfully opened a new Campus Bookstore in its place.
- Bookstore revenue is now 100% commissions from Follett.
- Commission fees received will fund past bookstore renovation loans.
- Bookstore is anticipating a balanced budget for 2023/24

### **3. BOOKSTORE DEFICIT REPAYMENT PLAN**

Following several years of financial losses from operations, culminating with significant losses incurred during the COVID-19 pandemic, the accumulated financial position for the Campus Bookstore as of April 30, 2022, is a deficit of almost \$4.7M. Long-term planning for repayment of this significant deficit is underway, and a detailed plan will be provided in Ancillary Operations Budget 2024/25.

### **4. PRINTSHOP OPERATING BUDGET**

The University Printshop is budgeting a small profit of \$42K in 2023/24 based on a full return to campus, recent equipment upgrades, and a new internal policy to price match external vendor quotes and to encourage insource printing work by allowing the Printshop “first refusal” for all campus print jobs.

A lean and typically profitable operation, the Printshop will not undertake a dramatic transformation like some of the other Ancillary departments in the near term. However, the internal policy change noted above is expected to have a significant impact on Printshop transaction volumes and will take effect on May 1, 2023.

#### **Printshop Budget Highlights**

- New internal policy aimed at increasing transaction volumes.
- Budgeting a small surplus for 2023/24.

## **IV. FOOD SERVICES (INCLUDING CONFERENCE SERVICES)**

The University entered into a management agreement with Sodexo Canada (Sodexo) to provide food services on campus (including catering) effective January 1, 2023. The management agreement with Sodexo is a ten-year agreement, with one option to renew for an additional five years. Most of the Food Services revenues under this new agreement will be generated from commission payments made on meal plan, retail, and catering sales. Conference services for campus will continue to be operated by the University team. The University is budgeting profit of approximately \$653K on the strength of Sodexo commission fees plus other minor revenues from vending machine and external third-party sales.

## 1. FOOD SERVICES LONG TERM SUSTAINABILITY STRATEGY

The University's ability to generate positive profit from food services has been entirely reliant on the student residence population, where the margins on food are more significant than on retail or catering sales. Over the past decade, with the number of students living in residence declining, the Food Services department broke even or generated losses while struggling to invest in new and required capital improvements. As a result of this decline, the former self-operated food service model was deemed to no longer be sustainable, and following a robust request for proposal process, administration made the decision to contract with Sodexo.

As part of this new service program, the University has been working closely with Sodexo to implement self-ordering options at many of the food service locations and re-opening outlets that had been closed with fresh, new concepts including Chatime bubble tea in Leddy Library, C&B, a Coffee & Bagel café in the School of Law, and a full-serve Tim Hortons in the Odette School of Business. Students have provided positive feedback around the increase in vegetarian, vegan and halal food options now available. They have also been excited with the expanded international cuisine, offering our international students a taste of home while dining on campus.

## 2. MEAL PLAN FEES

Under the Sodexo management services agreement, the University receives a percentage share of gross meal plan revenues, along with a percentage of catering and retail gross revenues. The approval of meal plan fees continues to be a Board of Governors decision; however, Sodexo will be responsible to propose revised meal plan fees to administration. Inflationary conditions have created significant financial challenges for Food Services. Overall food prices have increased 9.7% above February 2022<sup>2</sup>, on the heels of the most significant increases in over a decade.

Sodexo and the University have benchmarked meal plan options and fees with universities across the province, focusing on schools with a declining meal plan program, the current model being utilized by Food Services. After considering increases in CPI and increases at other institutions, administration is supportive of Sodexo's proposal to increase meal plan prices by a blended rate of approximately 5.9% in 2023/24. The tables below provide a complete breakdown of all proposed rate changes from the prior year and a comparison of University fees with peer institutions.

Table 7: Meal Plan Proposed Rates 2023/24

Plan	2022/23 Rate	Proposed 2023/24 Rate	Increase \$	Increase %
Minimum	\$5,350	\$5,650	\$300	5.6%
Light	\$5,650	\$6,000	\$350	6.2%
Full	\$5,850	\$6,200	\$350	5.9%
Plus	\$6,050	\$6,400	\$350	5.8%

<sup>2</sup> <https://www150.statcan.gc.ca/t1/tbl1/en/tv.action?pid=1810000403>

Table 8: Meal Plan Market Scan (Minimum Plan)

University	Mandatory Minimum Plan*	Proposed 2023/24 Increase	Plan Ranges
Western	\$6,950	6.0%	\$6,950
Waterloo	\$5,700	5.0%	\$5,700 to \$6,650
Windsor	\$5,650	5.9%	\$5,650 to \$6,400
McMaster	\$5,100	5.0%	\$5,100 to \$5,720
Guelph	\$4,980	8.3%	\$4,980 to \$6,850

\* Preliminary rates for 2023/24 have been provided by peer institutions and are subject to final approval by their respective Board of Governors

### 3. DEFERRED MAINTENANCE STRATEGY

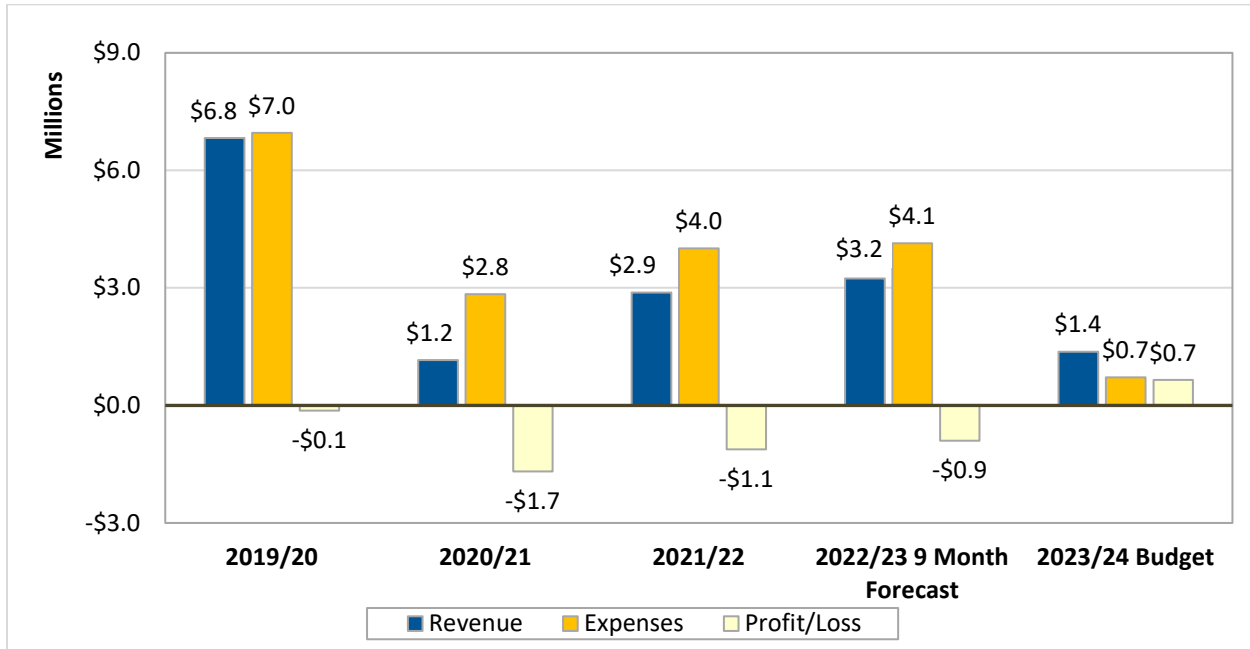
One of the significant benefits of a partnership food service model is that the service provider (Sodexo) takes on much of the risk associated with deferred maintenance. Numerous renovations are planned during the summer to bring new outlets online that will enhance overall service for the campus community. The 2023 investments are fully funded through the provision of capital investments by Sodexo prescribed by the management agreement.

### 4. FOOD SERVICES OPERATING BUDGET

Under the new management agreement with Sodexo, the Food Services operating budget will only include certain overhead-type of costs including limited salaries & benefits (primarily for conference services staff), custodial services, maintenance & repairs, and utilities. Sodexo is a successor employer under the *Labour Relations Act*, thus all Food Services CUPE 1001 staff have transitioned to become Sodexo employees and continue to be governed under the existing collective agreement. Food Services management staff remain with the University with Sodexo providing cost recovery payments for their services. Utility and custodial services costs for the food services space and the cost to maintain equipment remains the responsibility of the University.



Chart 4: Food Services Budget Retrospective and Forecast (in \$M)



### Budget Highlights

- Recommending a blended rate increase of 5.9% for meal plan prices.
- Sodexo assumed food service operations effective January 1, 2023, significantly changing the structure for this area.
- Food Services is budgeting \$653K in profit for 2023/24, to be applied against past year’s accumulated deficits.

## 5. FOOD SERVICES DEFICIT REPAYMENT PLAN

Following severe losses incurred during the COVID-19 pandemic, the accumulated financial position for Food Services as of April 30, 2022, is a deficit of approximately \$3.3M. The University is intent on applying all profits from the operation of Food Services under the new third-party operating agreement against the deficit position.

## V. PARKING SERVICES

In 2022/23, Parking Services returned to permit sales volumes similar to pre-COVID-19 pandemic levels. Parking Services is forecasting sales of 3,500 parking permits in 2023/24. As part of the next phase of ancillary transformation, Parking Services is planning to diversify its service offering through both technology solutions and other operational enhancements as means to grow revenues and improve the student, employee, and guest experience.

## **1. PARKING LONG TERM SUSTAINABILITY STRATEGY**

The University traditionally has a large commuter population, meaning parking related services are in-demand, thus making it one of the more financially sustainable Ancillary operations. To support revenue generation and improve services for the campus community, the University has partnered with *Traff Mobility*, a parking expert who has extensive experience with higher education clients, to undertake a Parking Optimization Study. This study, launched on March 29, 2023, will provide the University with a full report in Summer 2023 that will include information regarding campus parking supply and demand, pricing and parking offerings, and the overall model of how parking services are delivered to University students, faculty, staff, and visitors. This study will also consider future needs, including possible growing parking requirements pending the addition of WECHU in the former Residence West building.

Safe, well-lit, well located parking lots are a key element of the University's safety strategy for faculty, staff, and students. During 2022/23, the University expanded its downtown parking options to enhance student safety through partnerships with service providers in nearby locations and implemented student pass and hourly parking options in two staff lots (Education and Leddy) to accommodate students taking evening classes.

## **2. PARKING FEES**

The majority of Parking revenues are received from passholders (employee and students) with main campus student passes selling out during the Fall and Winter terms. Parking tickets, lot rentals and visitor parking are each small components of the total revenues. Parking in the downtown core is facilitated through agreements with the City of Windsor and private partners; the University's downtown parking operates at a loss for the institution.

Parking fee increases are presented to the Parking Advisory Committee for review and recommendation to the Vice-President Finance and Operations and are approved by the Board of Governors. The Committee includes members from staff unions, WUFA, and student representatives. This year, the committee was expanded to include representation from every union on campus and additional management representatives to ensure more inclusive consultation. The Committee has been meeting regularly and will continue to provide feedback and support planning activities of Parking Services.

The long-term strategy for parking fees has always been to remain at or below the median rate for all Ontario Universities. Based on the fees proposed, Employee Permits are 23% below the median, with Student Permits 30% below the median.

Table 9: 2022/23 Parking Fees Market Scan (non-GTHA, Ottawa, or Northern Universities)

University	Annual Rate* Employee Reserved	University	8-Month Student Rate*
Guelph	\$1,920	Queen's	\$932
Queen's	\$1,834	Brock	\$840
Western	\$1,798	Guelph	\$704
Trent	\$1,271	Western	\$613
Brock	\$1,090	Windsor	\$465
Windsor	\$1,045	Trent	\$465
Waterloo	\$515	Laurier	\$393
Laurier	\$507	Waterloo	\$339

\* 2022/23 rates (inclusive of HST) provided for comparative purposes.

Table 10: Proposed Parking Rates 2023/24

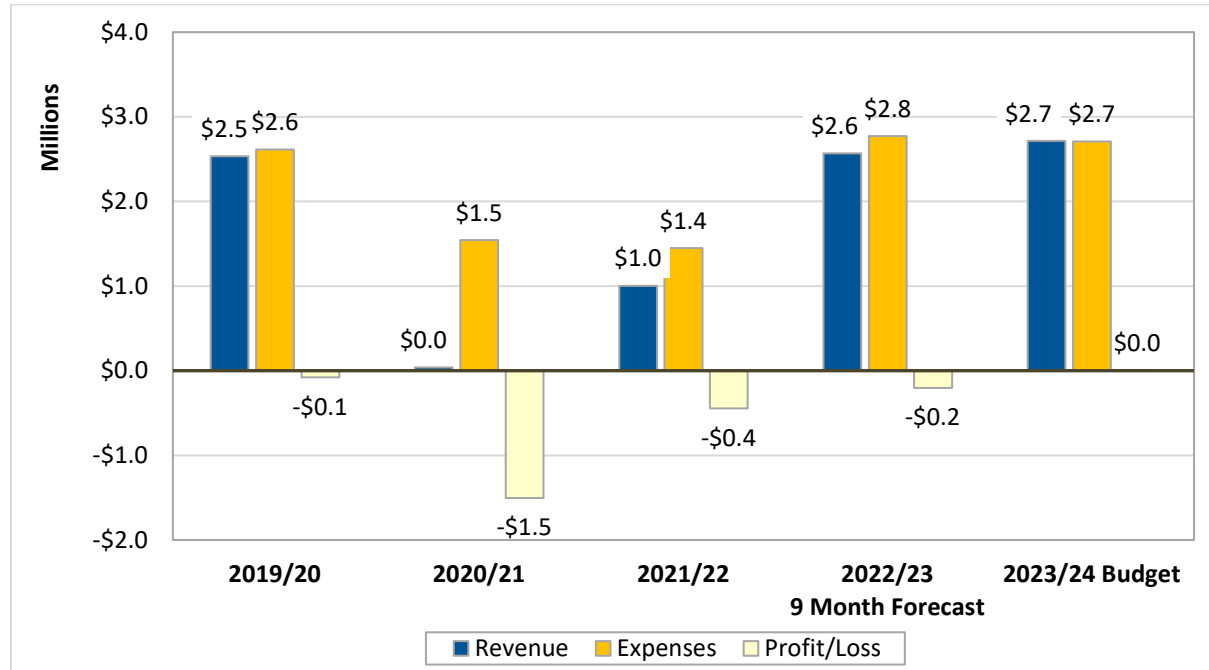
Rate	2022/23	Proposed 2023/24	% Increase	\$ Increase	Monthly Increase
Employee Rate	\$925	\$971	5.0%	\$46	\$3.85
Student 8-Month Surface	\$412	\$432	5.0%	\$21	\$2.57
Student 12-Month Surface	\$484	\$508	5.0%	\$24	\$2.06
Student 8-Month Garage	\$618	\$649	5.0%	\$31	\$3.85

### 3. PARKING SERVICES OPERATING BUDGET

The largest expenditures for Parking Services are the annual debt repayment of the parking garage (at \$898K), contribution to the University Operating fund, and employee salaries & benefits. Infrastructure renewal is a priority for 2023/24 with several surface lots in poor condition. To manage deferred maintenance, Parking Services is establishing a \$250K annual deferred maintenance strategy with the intention of addressing current deferred maintenance needs during a 10-year plan.

Parking Services is budgeted to break even in 2023/24. When the Parking Optimization Study is received and reviewed, the University will be better positioned to move to a multi-year budgeting model as requested by the Board in June 2022, with the support of a strategic vision of Parking Services.

Chart 5: Parking Budget Retrospective and Forecast (in \$M)



**Budget Highlights**

- Parking Optimization Study was launched in March 2023.
- Parking Services is budgeted to break even in 2023/24.
- Parking has discussed with the Parking Advisory Committee the intention to increase fees by 5% for all permit types.

**4. PARKING SERVICES BALANCING PLAN**

The University did not charge parking fees during the COVID-19 pandemic resulting in significant losses for Parking Services. The accumulated financial position as of April 30, 2022, because of these losses, is approximately \$2.1M. The University believes that, based on continuing commuter population demand for campus parking, along with the help of the Parking Optimization Study, Parking Services will return to profitability in the coming years.

**VI. ANCILLARY SERVICES: CONSOLIDATED BUDGET**

After three difficult years of Covid-19 effects and a resulting transformation of the Ancillary Operations, the University of Windsor is budgeting a surplus profit of over \$1.2M in 2023/2024. The successful transition plan has already begun to show positive results and we are confident we will continue to see favourable growth in the transformed areas and overall ancillary operations in the coming years.

## APPENDIX A: 2023/24 PROPOSED ANCILLARY SERVICES BUDGET

	RESIDENCE SERVICES	FOOD, CATERING & CONFERENCE SERVICES	PARKING SERVICES	CAMPUS BOOKSTORE	PRINTSHOP	CENTRAL CAMPUS SERVICES	CAMPUS CARD	TOTAL ANCILLARY SERVICES BUDGET
	(\$000s)	(\$000s)	(\$000s)	(\$000s)	(\$000s)	(\$000s)	(\$000s)	(\$000s)
<b>REVENUE</b>								
Sales Revenue	\$ 6,145	\$ 275	\$ 2,716	\$ -	\$ 467	\$ -	\$ 237	\$ 9,839
Cost of Sales	4	-	-	-	83	-	-	86
Gross Margin	\$ 6,141	\$ 275	\$ 2,716	\$ -	\$ 385	\$ -	\$ 237	\$ 9,753
Commissions from Partners	-	709	-	150	-	-	-	859
Other Revenues	319	389	-	-	-	173	44	925
<b>Total Revenue (net of COS)</b>	<b>\$ 6,460</b>	<b>\$ 1,373</b>	<b>\$ 2,716</b>	<b>\$ 150</b>	<b>\$ 385</b>	<b>\$ 173</b>	<b>\$ 280</b>	<b>\$ 11,537</b>
<b>EXPENDITURES</b>								
Salaries, Wages & Benefits	\$ 1,312	\$ 611	\$ 307	\$ -	\$ 227	\$ 131	\$ 172	\$ 2,760
Cost of Debt	1,476	-	898	147	-	-	-	2,521
All Other Expenses	3,122	110	1,501	3	115	42	109	5,000
<b>Total Expenditures</b>	<b>\$ 5,910</b>	<b>\$ 720</b>	<b>\$ 2,706</b>	<b>\$ 150</b>	<b>\$ 342</b>	<b>\$ 173</b>	<b>\$ 280</b>	<b>\$ 10,281</b>
<b>NET PROFIT (LOSS)</b>	<b>\$ 550</b>	<b>\$ 653</b>	<b>\$ 10</b>	<b>\$ -</b>	<b>\$ 43</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,255</b>

University of Windsor  
Board of Governors

4.8.2: **Net Zero Campus Master Plan Update**

Item for: **Information**

Forwarded by: **Board Resource Allocation Committee**

*See attached.*

# Pathways to Decarbonization Board of Governors

May 23, 2023



# Agenda

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**Background**

**GHG Reductions Strategy**

**Pathways to Carbon Neutrality**

**Next Steps**

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# 01

## BACKGROUND

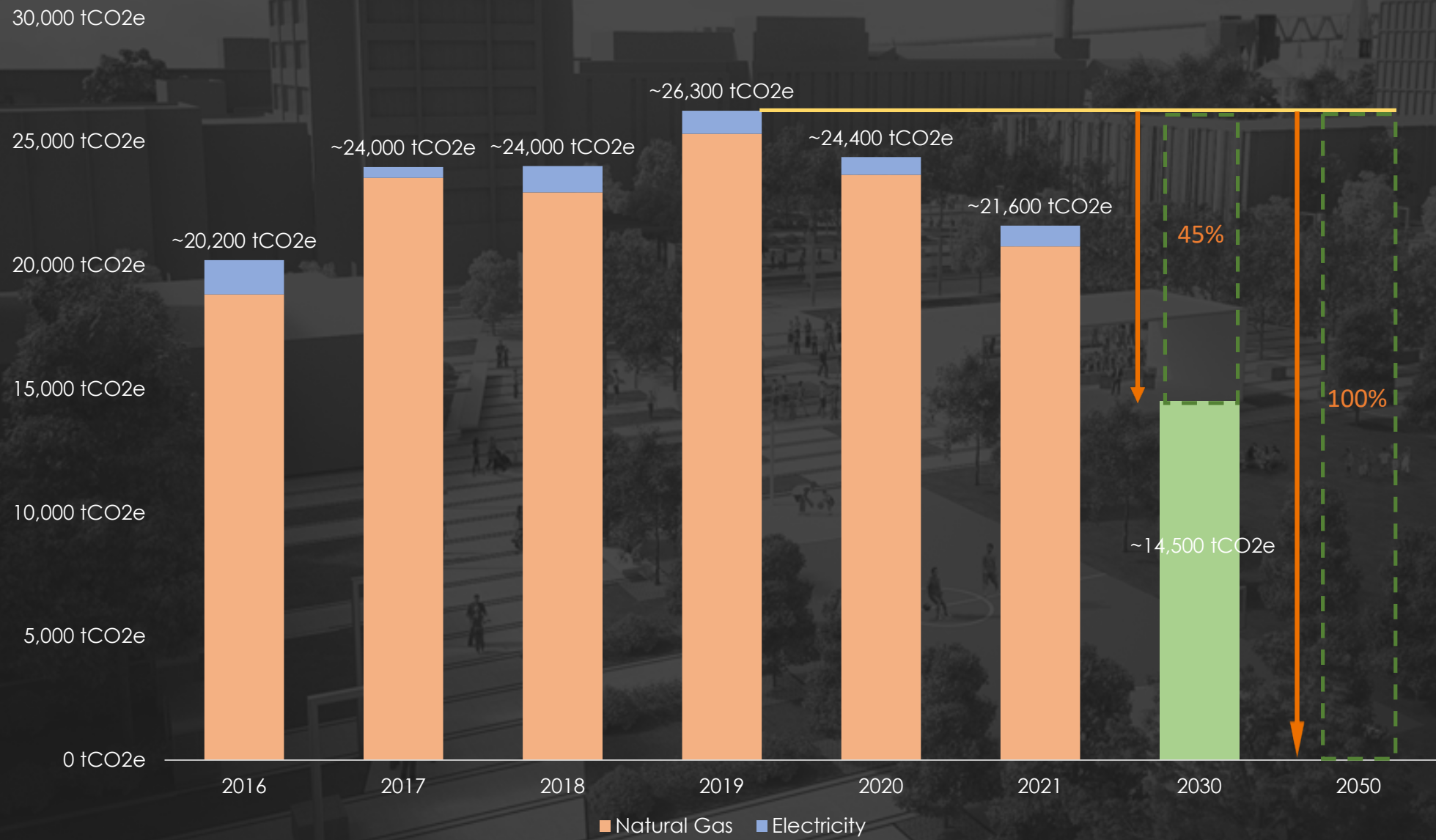


# Purpose of the Campus Carbon Neutral Masterplan

- Identify a Roadmap to Achieving Net Zero Carbon Emissions from Campus Buildings (Scope 1 and 2)
- Understanding Building Energy Use and GHG Emissions
- Identifying Cost Effective GHG Reductions
- Determining the Level of Investment and Savings
- Identifying Priorities for Investment
- Savings Potential



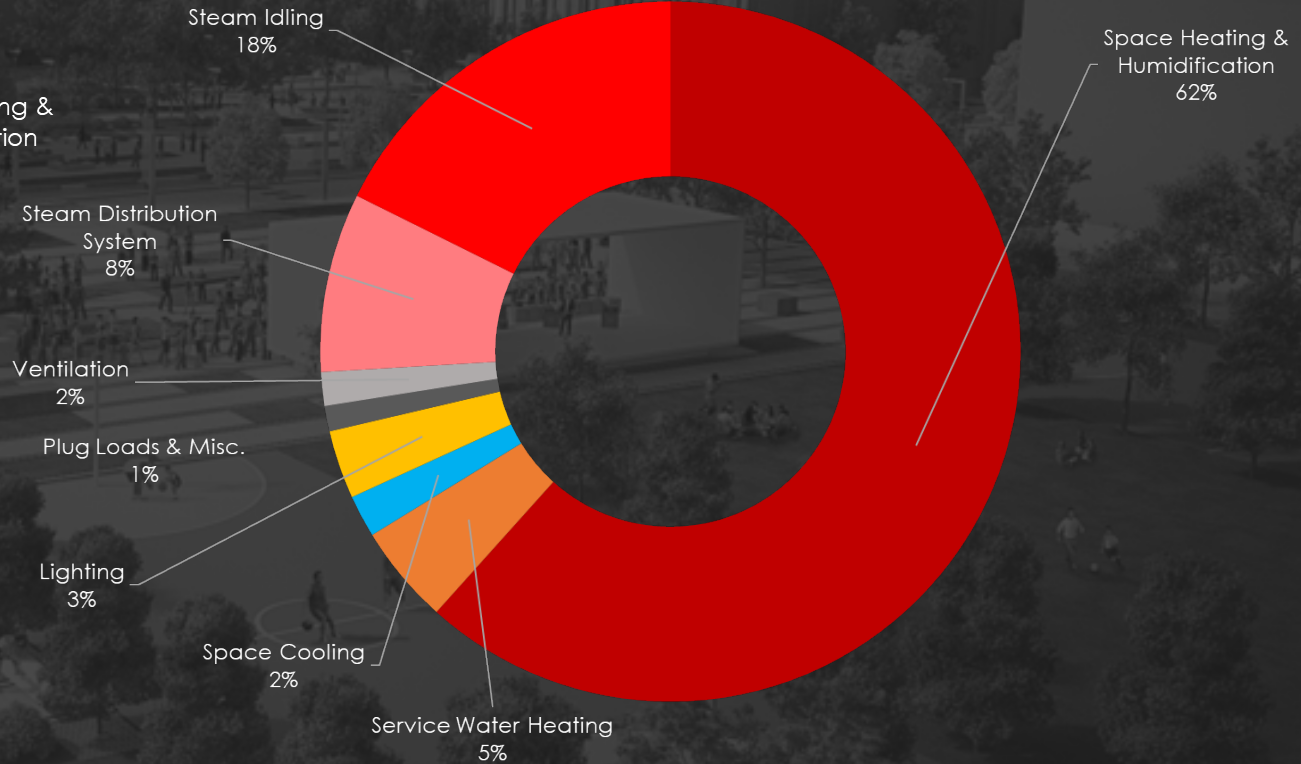
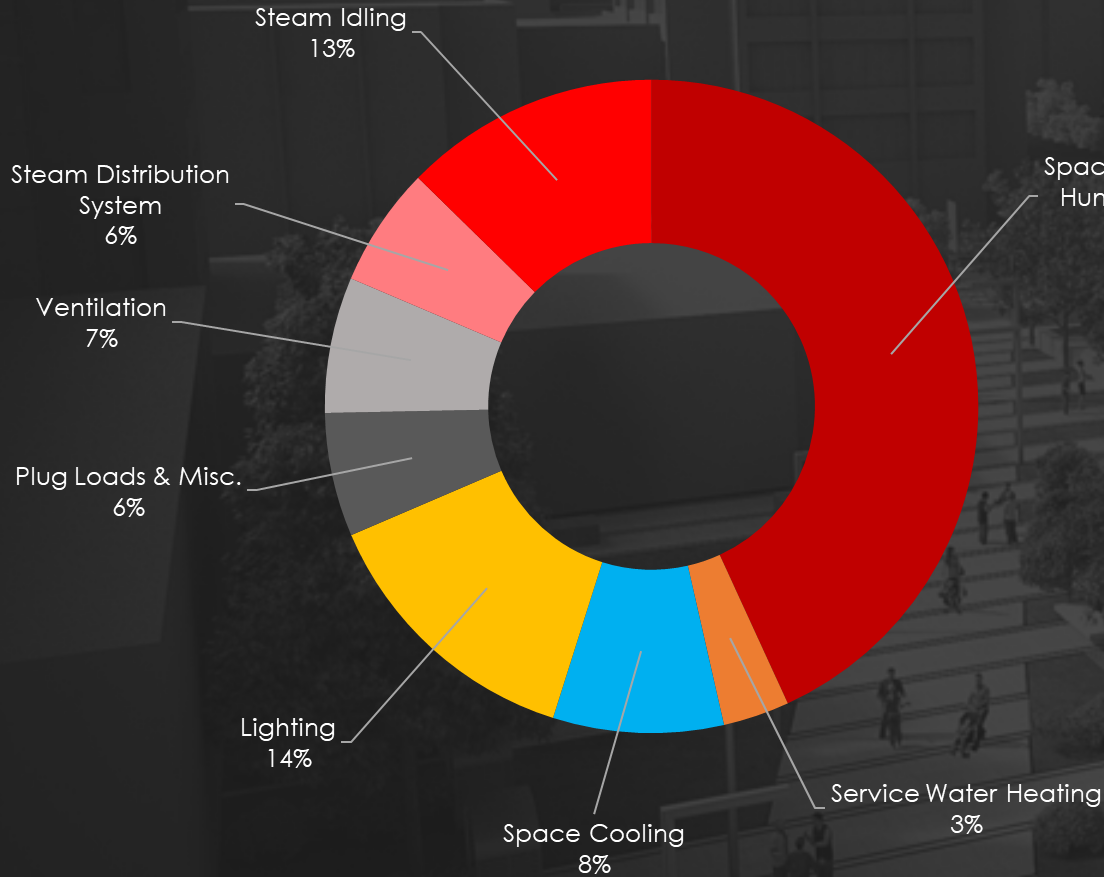
# Emissions Trends and Targets





# Campus Energy Use Breakdown

## GHG Emissions





# Energy and GHG Reduction Strategies



**Conservation**



**Energy  
Transition**



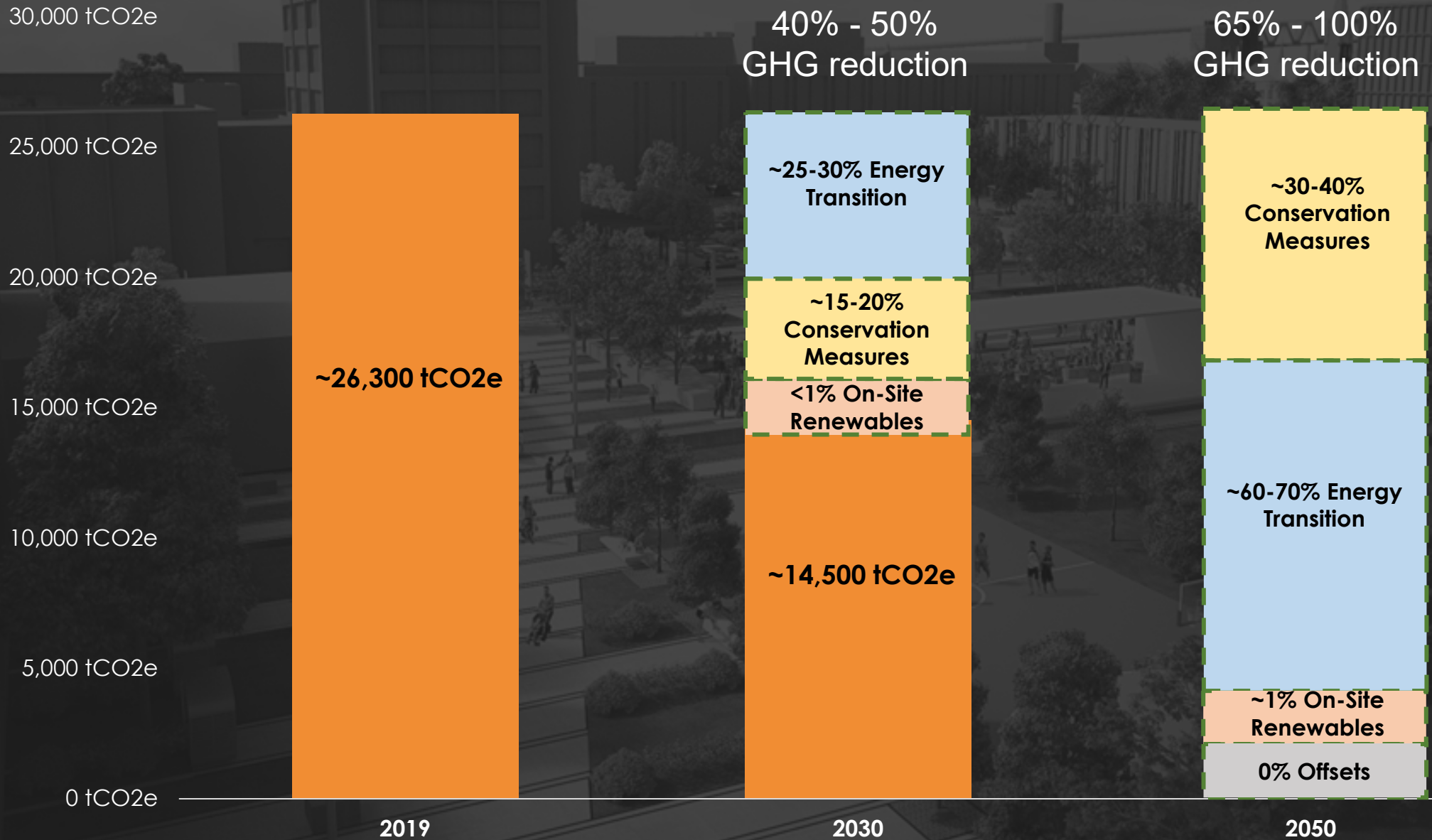
**On-Site  
Renewables**



**Carbon  
Offsets**



# How Will We Reach the 2030 and 2050 Targets?



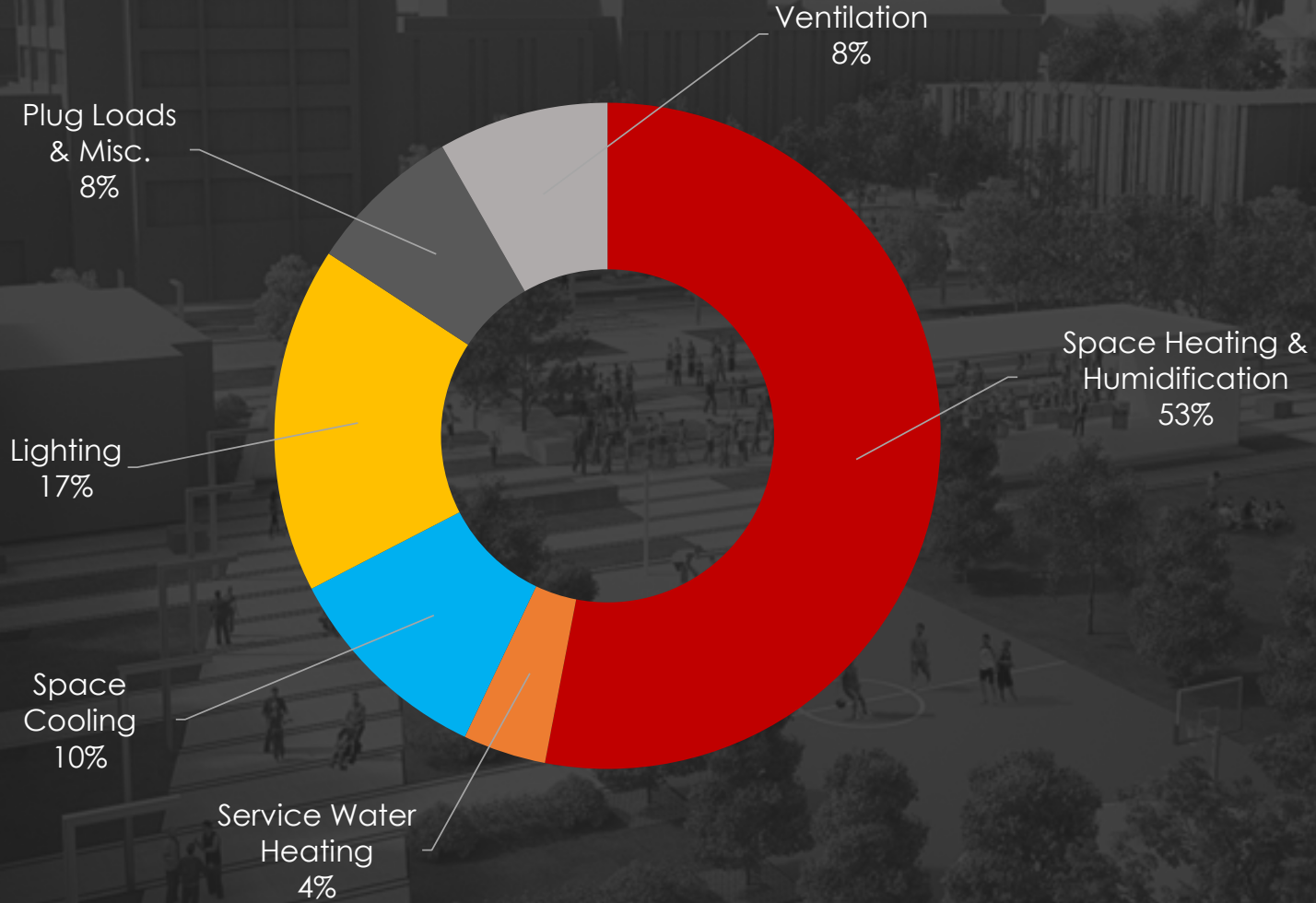


# 02

## GHG REDUCTIONS STRATEGY



# Building Energy Use Breakdown







# Measures to Reduce GHG Emissions (Buildings)



BAS & metering infrastructure

- Diagnose issues and optimize
- Improve Building Automation Systems (BAS) and metering infrastructure to enable monitoring and optimizing energy use
- Do more, do better with what you have



Continuous commissioning



Recommissioning



Lighting



Envelope

- Great for conservation and GHG reduction
- Longer payback unless envelope is at end of useful life or in need of repairs
- However, it enables HVAC measures, improves thermal comfort and air quality

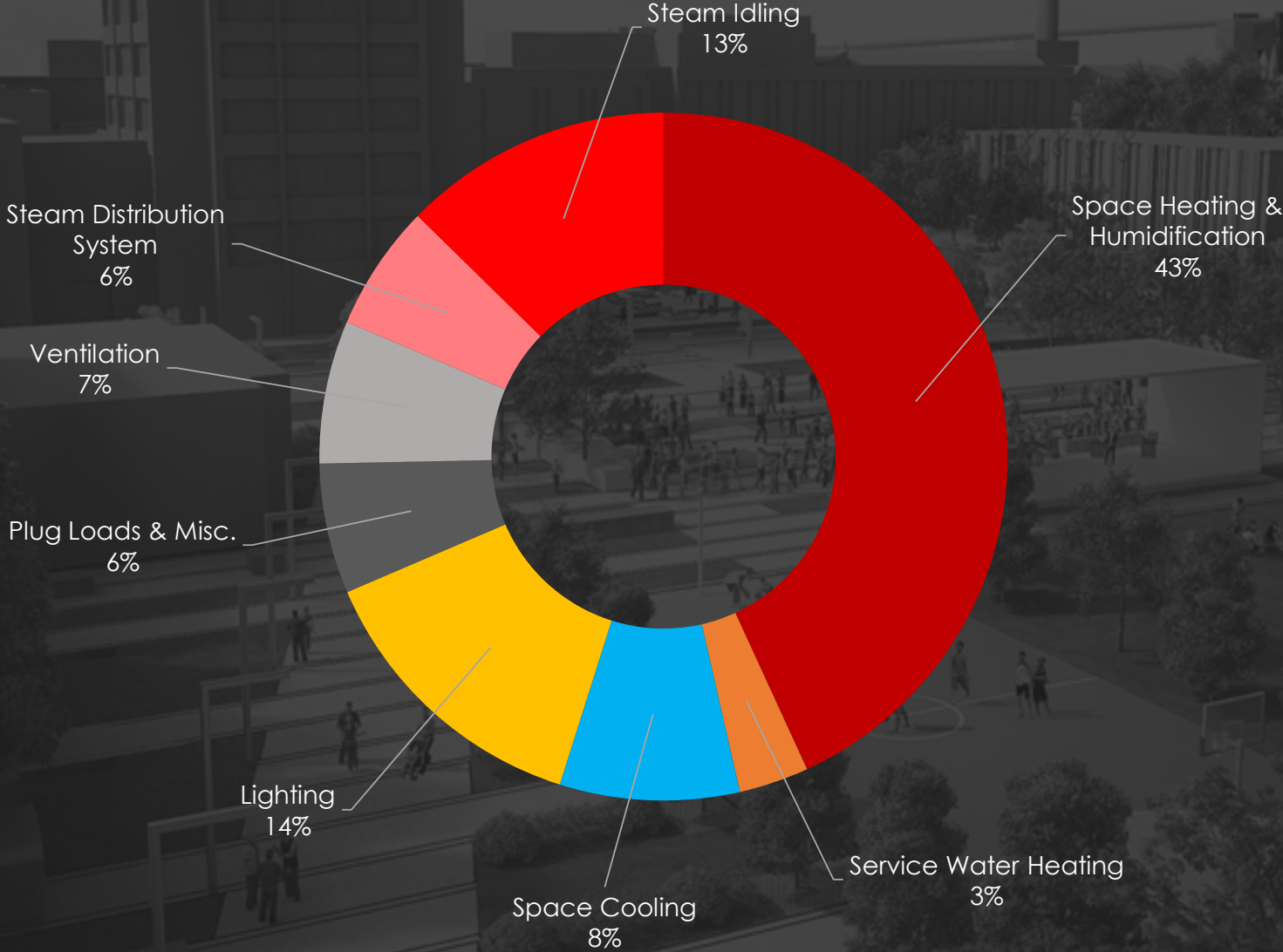


HVAC

- Reduce operation of HVAC equipment to what is needed (e.g., setbacks, demand control ventilation)
- Recover waste heat
- Upgrade and convert to more efficient equipment



# Campus Energy Use Breakdown





# Measures to Reduce GHG Emissions (Campus)



BAS & metering infrastructure

- Improve Building Automation Systems (BAS) and metering infrastructure to enable monitoring and optimizing energy use
- Monitor, diagnose issues, and optimize
- Do more, do better with what you have



Continuous commissioning



Recommissioning



Sustainable hybrid chiller plant



Central plant & distribution system

- Reduce distribution losses and generate heating and cooling more efficiently, using low carbon sources
- Reduce building energy consumption first to minimize central energy infrastructure capacity



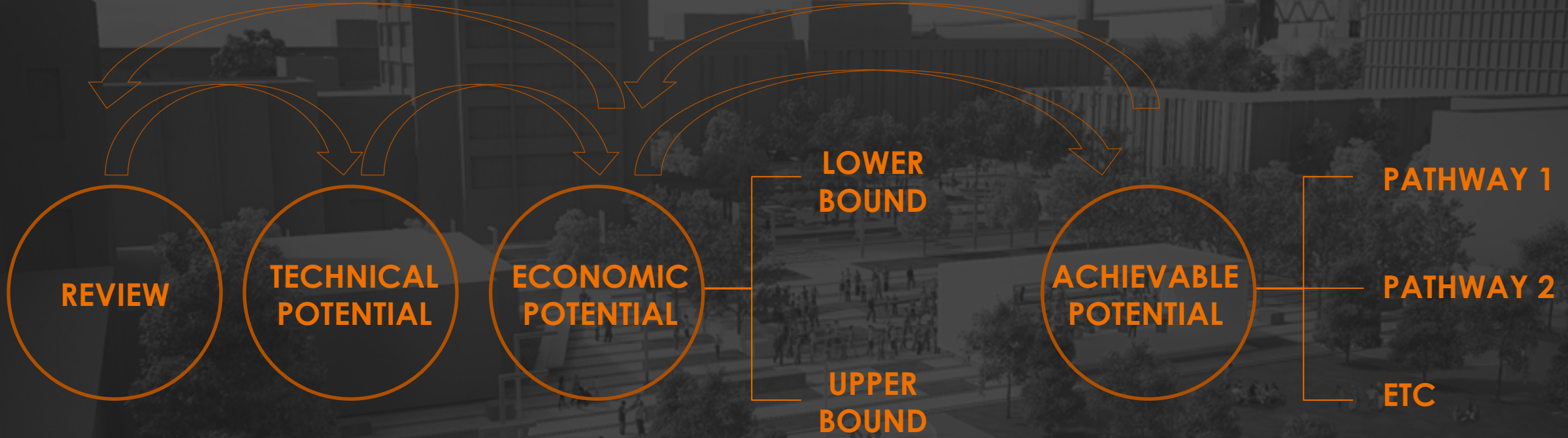
On-site renewables

- Offset campus energy use with local renewables
- Solar photovoltaics
- Solar thermal
- Biodigester



# 03

## PATHWAYS TO CARBON NEUTRALITY



Building characteristics:

- Site visits
- Energy modelling
- Benchmarking

Energy and GHG savings of all measures

Subset of Technical Potential considered economically feasible

Range to account for diversity in building stock and space use

A fraction of Economic Potential which can be implemented to meet carbon reduction goals

Multiple Achievable Pathways to meet net-zero carbon targets



# Pathway 2



# Pathway 3



## Conservation Focused

This pathway prioritizes maximizing conservation measures followed by energy transition to achieve net zero



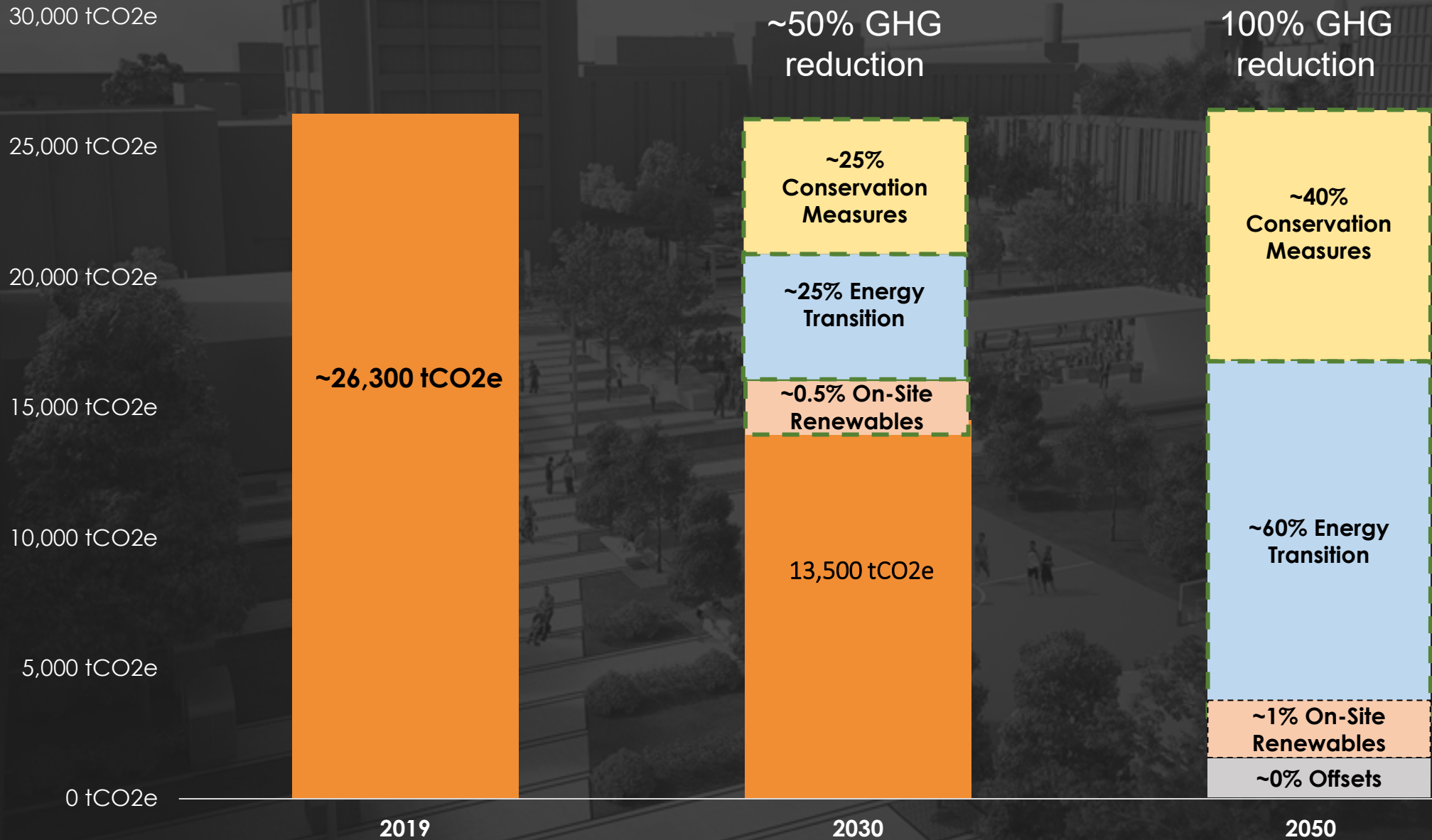
Pathway 2



Pathway 3



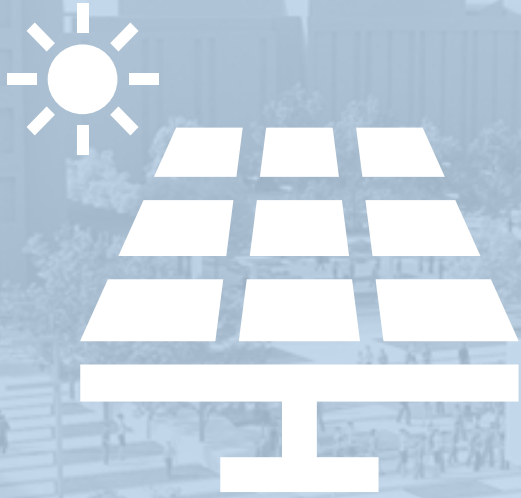
# Pathway 1 to Net-Zero







**Pathway 1**



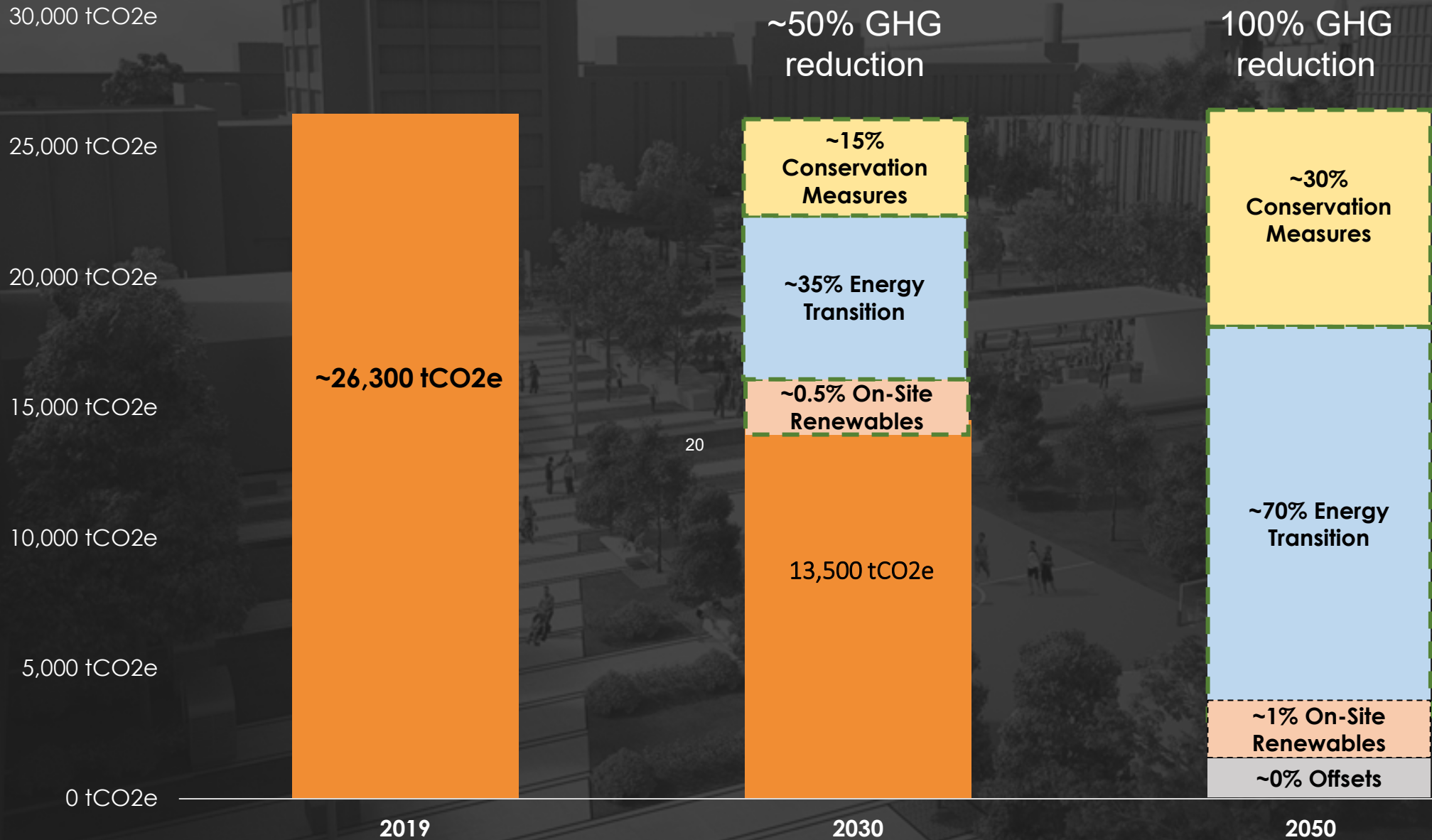
## Energy Transition Focused

This pathway pursues more modest conservation targets with increased energy transition to achieve net-zero

**Pathway 3**



# Pathway 2 to Net-Zero





**Hybrid**

**This pathway balances the strengths and weaknesses of Pathways 1 and 2 to achieve a transition to net-zero**



- Carbon offsets costs
- Utility costs
- Capital costs



Pathway 1

Pathway 2



Conservation first  
Higher capital cost  
Lower operational cost

Energy transition focus  
Lower capital cost  
Higher operational cost



# Pathways Summary



BAS, RCx are the highest priority as they are foundational measures to support everything else



Lighting is relatively easy to implement with good return



Solar PV demonstrates commitment to sustainability



Envelope and HVAC are the highest priority for GHG reduction

Requires coordination and deep integration with capital planning and asset renewal



Low carbon DES will take a long time to achieve and should be undertaken in phases, initially low temp hot water conversion, adding energy sources over time



# Initial Investment



Monitor and optimize energy use (continuous commissioning)

Recommissioning

\$2M



Lighting

\$2M



Solar photovoltaics

\$1M

**Initial Investment:**

- \$5M

**Utility Cost Savings:**

- ~\$340,000/year initially, rising every year

**GHG Savings:**

- ~1,800 tons CO<sub>2</sub>e/yr



# 04

## NEXT STEPS



# Schedule

**May 4**

Presentation to ELT  
9.00 – 10.30

Presentation to  
Resource  
Allocation  
Committee  
1.00 – 3.00

**May 23**

Presentation to  
Board

**June 16**

Campus  
Masterplan Report  
(66%) - Draft

**July 28**

Campus  
Masterplan Report  
(99%) - Draft

**August 11**

Campus  
Masterplan Report  
(100%)

**2023**

Final Presentation



# THANK YOU!

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# Pathways to Decarbonization

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**DETAILED GHG REDUCTION  
STRATEGIES**



# Measures to Reduce GHG Emissions (Buildings)



BAS & metering infrastructure



Continuous commissioning

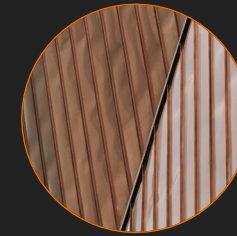


Recommissioning

- Monitoring and optimization of energy use



Lighting



Envelope

- Improve airtightness
- Wall insulation
- Roof insulation
- High performance glazing



HVAC

- Convert to low temperature heating
- Optimize ventilation rates through Demand Control Ventilation (DCV) and setback
- Heat recovery
- Upgrading existing systems



# Measures to Reduce GHG Emissions (Campus)



BAS & metering infrastructure

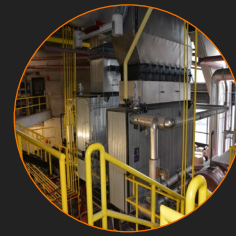
- Monitoring and optimization of energy use



Continuous commissioning



Recommissioning



Sustainable hybrid chiller plant



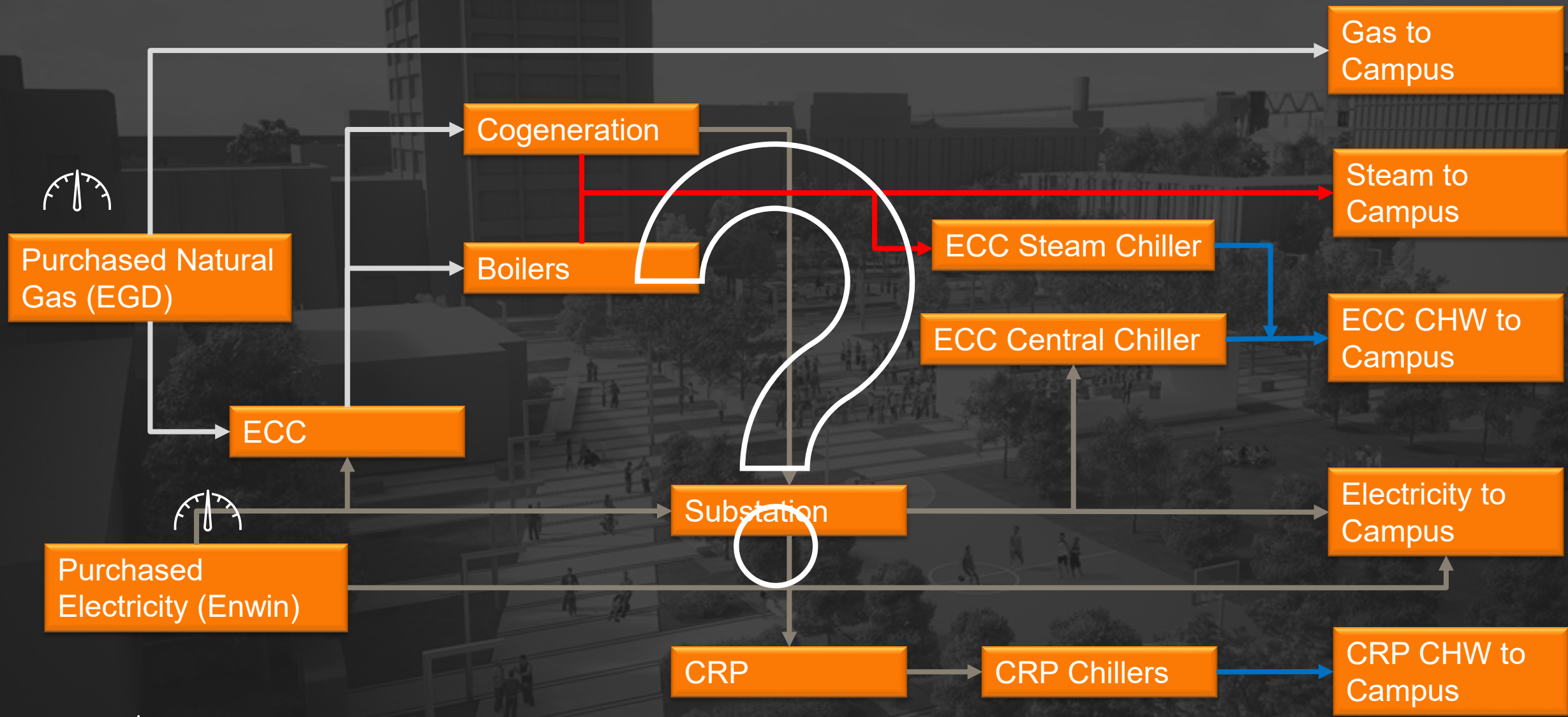
Central plant & distribution system

- Convert distribution system to low temperature heating
- Install lower carbon thermal energy generation sources such as ground source heat pumps, wastewater heat recovery



On-site renewables

- Offset campus energy use with local renewables
- Solar photovoltaics
- Solar thermal
- Biodigester



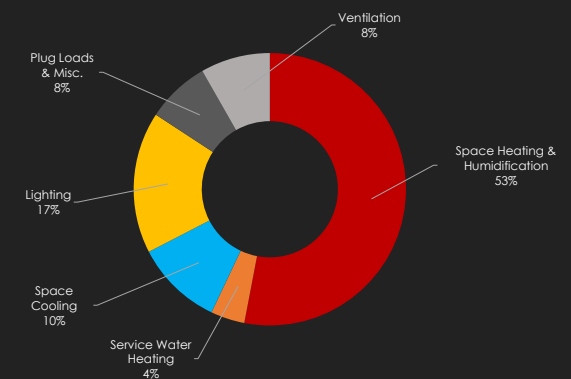
Existing Meter Network



# Monitor and Optimize Energy Use (Continuous Cx)



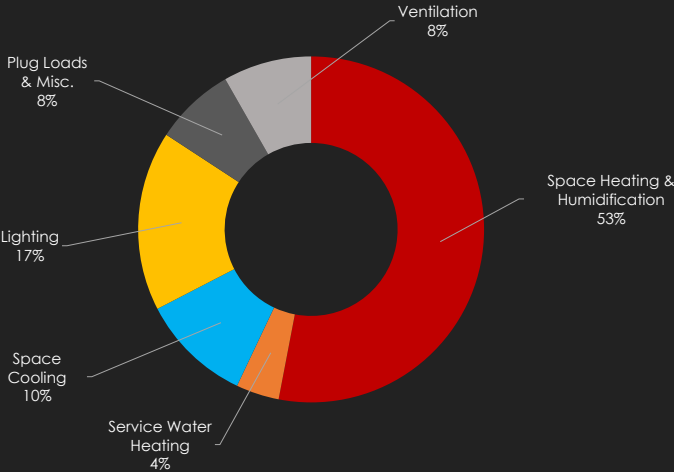
- **Can yield energy savings of 2% to 5%** with a typical payback period of a few years





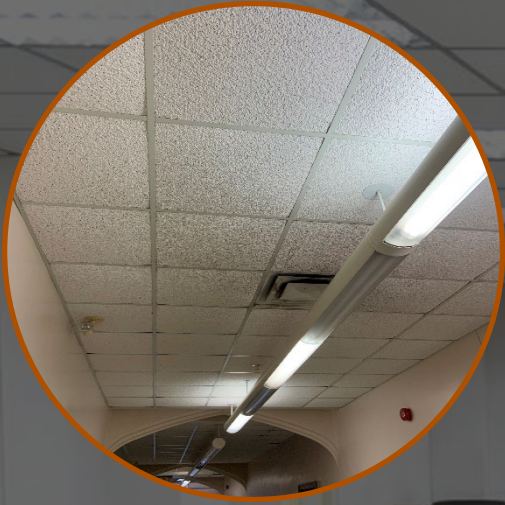
# Building Recommissioning

- Provides opportunities to optimize operations and improve energy efficiency based on current facility requirements
- Can support in identifying capital investments
- Applies to all buildings and end uses, even buildings and equipment that are expected to be retired soon, as payback can be scaled to expected remaining useful life





# Lighting Upgrades

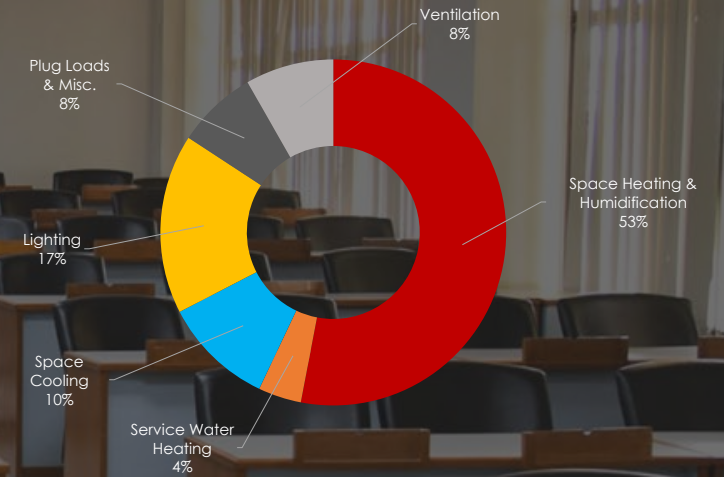


Convert all existing lighting systems to best-in-class LED fixtures

Can yield 10% - 20% energy savings



Install photocell sensors (daylighting), occupancy sensors and addressable controls

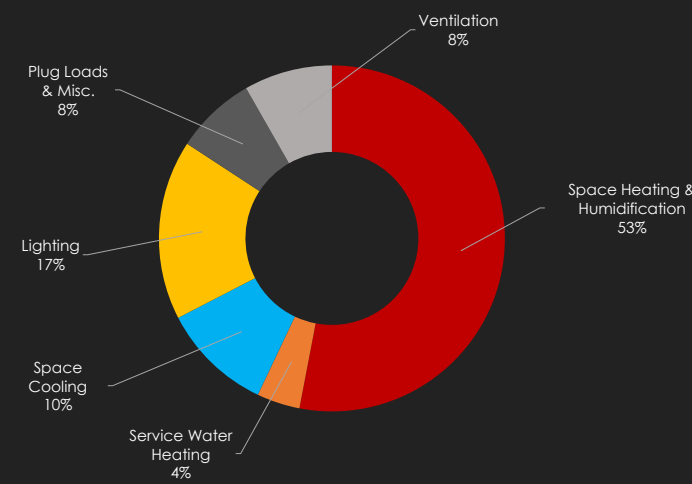






# Envelope Upgrades

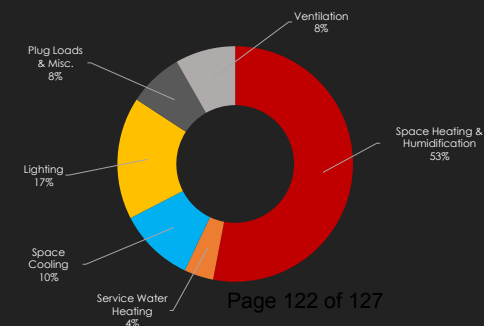
- Improve airtightness
- Increase roof insulation
- Increase wall insulation
- High performance glazing





# Building HVAC Upgrades

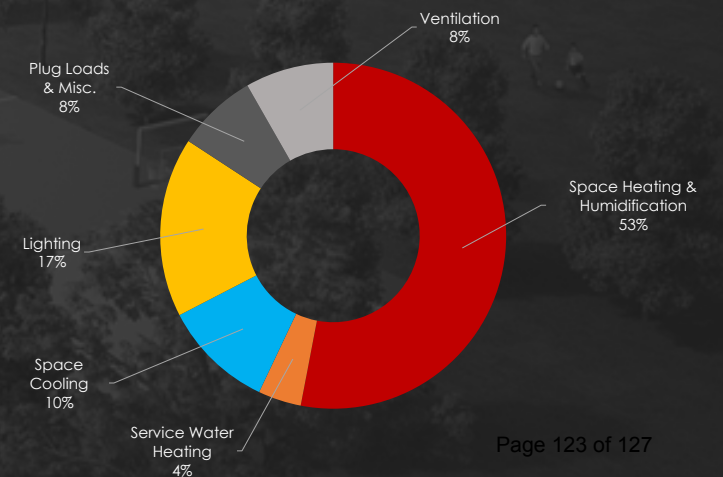
- Convert hydronic systems to low temperature variable flow hot water
- Upgrade chilled water to variable flow
- Optimize ventilation rates through setback and Demand Control Ventilation (DCV)
- Install energy recovery systems
- Upgrade balance of existing system
- Replace gas fired heating systems for standalone buildings with high efficiency electric options such as ground source heat pumps





- Cogeneration plant provides peak demand and backup power only
- Cogen electricity produced from natural gas is replaced with lower carbon grid electricity

**Up to 8,300 tCO<sub>2</sub>e/yr in carbon savings**





- Reduce building energy loads to minimize district energy infrastructure capacity
- Convert distribution system to low temperature hot water
- Replace steam boilers with:
  - high efficiency electric options such as ground source heat pumps
  - wastewater heat recovery (ongoing discussion with the city)
- Utilize geo-exchange infrastructure (boreholes) with ground source heat pumps
- Natural gas condensing boilers could provide backup and resiliency

**Can yield 30% - 60% carbon savings**



Potential Rooftop Area: 49,500 m<sup>2</sup>  
Potential Generation: 9,730 MWh/yr

**40% of total roof area used for analysis**

## Parking Solar PV

Potential Parking Area: 21,720 m<sup>2</sup>  
Potential Generation: 3,870 MWh/yr

**40% of total parking lot area used for analysis**



# Sustainability Performance Standard for New Construction & Major Retrofits



- net-zero carbon standards



# Description of Measures

Measure	Lower Bound
Roof	R-36.5
Windows	Double Glazing R-4.0, SHGC 0.40, VT-62%
Walls	R-23 / (6" = 150mm)
Infiltration	Reduce by 15%
Internal loads	LED lighting fixtures Photosensors (daylighting) Occupancy controls
HVAC	Right size HVAC system New low temperature radiators + VAV + heat recovery
Plant	Low Temperature Heating Water Ground Source Heat Pumps
Renewables	Solar Photovoltaics (PV)

Measure	Upper Bound
Roof	R-46.5
Windows	Triple Glazing R-5.6, SHGC 0.40, VT-62%
Walls	R-34 / (9" = 225mm)
Infiltration	Reduce by 30%
Internal loads	LED lighting fixtures Photosensors (daylighting) Occupancy controls Addressable lighting fixtures
HVAC	Right size HVAC system Decoupled ventilation system consisting of new fan coil unit system + new low temperature radiators + Dedicated Outdoor Air System (DOAS) + heat recovery
Plant	Low Temperature Heating Water Ground Source Heat Pumps
Renewables	Solar PV