

NOTICE OF MEETING

**There will be a meeting of the
Board of Governors
Tuesday, February 27, 2024
at 4:00 pm
Freed-Orman Commons, Assumption Hall**

AGENDA

ITEM	DOCUMENT/ACTION
<i>Land Acknowledgement</i>	
<i>Declaration of conflict of interest</i>	
1 Approval of the Agenda	
2 Minutes of the meeting of November 28, 2023	Brown-Approval BG231128M
3 Business arising from the minutes	
4 Outstanding Business/New Business	
4.1 Reports:	
4.1.1 Remarks from the Acting Chair	Brown-Information
4.1.2 President's Report	Gordon-Information
4.1.3 Questions Arising from the Reports of the Vice-Presidents and Associate Vice-President, External (p. 3)	Vice-Presidents/AVPE-Information BG240227-4.1.3
4.2 Audit Committee	
4.2.1 Emerging Risk Presentation: Research Security Risks (p. 11)	Cowell-Information BG240227-4.2.1
4.2.2 Auditor General of Ontario (AGO) Findings Action Plan – Follow-up Update (p. 23)	Cowell-Information BG240227-4.2.2
4.2.3 MCU Financial Accountability Framework (p. 29)	Cowell-Information BG240227-4.2.3
4.3 Executive Committee	
4.4 Governance Committee	
4.5 Human Resources Committee	

4.6 Investment Committee

4.7 Pension Committee

4.8 Resource Allocation Committee

4.8.1 2023-2024 Operating Budget 9-month Review (p. 39) **Sonego-Information**
BG240227-4.8.1

***4.8.2 Procurement Policy – BPS Threshold Changes (p. 44)** **Sonego-Approval**
BG240227-4.8.2

4.8.3 Strategic Mandate Agreement (SMA3) Annual Report (p. 60) **Sonego-Information**
BG240227-4.8.3

***4.8.4 Capital Projects Dashboard (p. 70)** **Sonego-Information**
BG240227-4.8.4

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: Reports of the Vice-Presidents and Associate Vice-President, External

Item for: **Information**

Report of the Provost and Vice-President, Academic

Robert Aguirre

Dean of Science Search

As reported previously, finalists for the next Dean of Science visited campus in late January. The search is now in its final phases, and further information should be available soon.

Associate Vice President, Academic Search

The lone finalist visited with campus constituencies on Tuesday, Feb. 6. Next steps are the solicitation of feedback and further committee deliberations. I will provide an update on the search's progress soon.

Quality Assurance Process

This year, the University of Windsor is undergoing an audit by the Ontario Universities Council on Quality Assurance. All Ontario institutions are reviewed every eight years (our previous audit at Windsor was in 2014). The focus is on reviewing the institutional processes articulated in Windsor's IQAP Framework, to ensure compliance with the Ontario Quality Assurance Framework. In October, the Quality Council came to Windsor to provide an orientation to various stakeholders. As an update, Phase 1 of the documentation was submitted by our Quality Assurance Audit Team in December 2023. We have now entered Phase 2, and the Quality Council has selected and notified us of eight programs that will be used as representative samples to examine the quality assurance processes. Each of the eight selected programs has been contacted by Windsor's Quality Assurance Audit Team. Programs themselves will not be re-evaluated, rather the audit will focus on the processes and practices followed. The programs in question are:

New Programs:

- Translational Health Sciences, MSc, Faculty of Science, approved by the Quality Council in 2021
- Materials Chemistry and Engineering, MSc, Faculty of Engineering and Faculty of Science, approved by the Quality Council in 2020

Cyclical Program Reviews (CPR):

- Nursing (BScN, MScN, MN, PhD), 2019/20, Faculty of Nursing
- History (BA, BA Honours, MA), 2020/21, Faculty of Arts, Humanities, and Social Science
- Human Kinetics (BHK, MHK, MSML, PhD), 2017/18, Faculty of Human Kinetics
- Dramatic Art (BA, BFA), 2021/22, Faculty of Arts, Humanities, and Social Science

In-Progress Quality Assurance Activities:

- Mechatronics System Engineering (BAsc) (New Program Proposal)
- Communication, Media, and Film (BA, MA) (CPR Schedule: 2022-2023)

Report of the Vice-President, People, Equity, and Inclusion

Clinton Beckford

Organizational & Leadership Development

Employee Mental Health Strategy (EMHS) Update

- The 22 actions outlined in the EMHS are currently being prioritized. As part of that process, we have started conversations with our campus partners to assign responsibility, determine who needs to be consulted, support required and timelines. The EMHS implementation matrix will be presented to the Implementation Working Group for feedback at their February meeting.
- Presentations to Faculty Councils have started this month and will continue in February and March. We look forward to continuing to engage in conversation with faculty across the University.
- The EMHS Ambassador initiative was launched January 24th to enhance communication and engagement with faculty and staff. We are looking for faculty and staff to champion the Employee Mental Health Strategy (EMHS) within their department/faculty. More information can be found on the website.
- A Leadership Development sub-group of the Implementation Working Group was established in December to focus on the leadership development action outlined in the strategy document (page 9, action 2.1). The proposed training plan will be presented to the Implementation working Group in February.
- The Employee Mental Health Coordinator position was posted in November, and it is currently in the selection phase.

Equity, Diversity & Inclusion Awards

- The EDI Awards nomination process closed January 31, 2024.
- Nominations received will be reviewed by the EDI Awards Committee in February/March and award recipients announced in early March.
- Mark your calendars – EDI Awards Celebration will take place on April 3, 2024, 3:00 -4:30 pm at Alumni Auditorium. Appetizers will be served. Given that the celebration falls during Ramadan, arrangements are being made so that individuals who are fasting can enjoy these later. · For more information, please visit the EDI Awards web page.

Anti-Racism and Organizational Change:

Black History/Black Futures Committee

- Black History/Black Futures Committee is presenting list of events once again in recognition of Black History Month. On February 1, 2024, the University will host the 2nd annual Pan-African Flag raising ceremony.

Black Student Support Coordinator

- Black Student Support Coordinator facilitated an information session in January to the campus community to promote their services to ensure staff is aware of her role and the services available for students. There was also a joint presentation this month with the Student Awards Office to bring awareness of scholarships, bursaries, and additional financial supports that are available for students that may not otherwise be aware of the financial opportunities.

Symposium on Slurs

- Organizing the first Symposium on Slurs. Potentially the first of its kind event in higher education in Canada. The week-long series will focus on issues such as ableism, 2SLGBTQIA+, gender, academic freedom, racism, and more. This event will take place during the week of March 18th which is EDID week.

IOT Report

- The IOT Report of the ABR Action Plan Progress Report is currently available on the VP PE&I website as a resource a formal announcement to the campus community pending.

AntiRacism Council

- The UWindsor AntiRacism Council is currently in development and regular updates will be provided.

Office of Human Rights, Equity, and Accessibility

Employment Equity Act Review

- The report is called “A Transformative Framework to Achieve and Sustain Employment Equity – Report of the Employment Equity Act Review Task Force”. The Task Force Chair is Professor Adelle Blackett. The Task Force was mandated to advise the Minister of Labour on how to modernize and strengthen the federal employment equity framework. The Employment Equity Act was established in 1986 and was revised in 1995. The Employment Equity Act framework has not been reviewed at the regular 5-year intervals, although aspects have been reviewed and revised on a few occasions over the past 37 years. This is the first time since the legislation was adopted that an independent task force has been established to offer a comprehensive review of the entire employment equity framework.

The review covers the Employment Equity Act and its supporting programs, with a focus on four areas that structure the report:

- Area 1: Equity Groups
- Area 2: Supporting Equity Groups
- Area 3: Improving accountability, compliance and enforcement
- Area 4: Improving public reporting

Throughout the report, it highlights 187 recommendations. OHREA is reviewing the 187 recommendations and highlighting the ones that may be relevant to our institution and workplace. This will help inform discussions, work that may need to be updated/changed, and what the University is already doing and has in place. More information will be shared in the ongoing PCDI meetings as things evolve.

HK Accessible Entrance

- The accessible entrance at the Human Kinetics building is now completed and open for use. The heavy snowfall in mid-January gave us a chance to test the snow-melting system. We are pleased to confirm that it is fully operational! Using principles of Universal Design, this unique and innovative design provides stairs and an integrated ramp so that everyone can use the same entrance to access the building – a fully inclusive experience. This substantial upgrade is visible from the street level and communicates in a tangible way that the University is a leader that prioritizes accessibility, inclusion, and creating welcoming spaces.

Accessibility Hub

- Designed as a landing page, the Accessibility Hub website will list links to accessibility tools, policies, and resources for students, faculty, staff, and visitors all in one location. The goal is to reduce barriers and make it easier for everyone to find important information. This is just one more initiative to support a welcoming, inclusive campus.

Accessibility Awareness Days

- The 11th annual Accessibility Awareness Days will run every Tuesday in March. The first three events will be 30-minute, virtual workshops. Topics covered include student changemakers, service animals in Ontario, and the proposed Postsecondary Education Standard under the AODA. In the final week, we will be partnering with the Indigenous Education Centre to show the documentary, *Soop on Wheels*, which explores the life of Everett Soop who was an Indigenous and disability advocate. On this 25th anniversary of the documentary, the filmmaker (Dr. Sandy Greer) will participate in a panel discussion.

Additional Key Highlights

The #IamSahraBulle Conference

- On December 1, 2023, the #IamSahraBulle Conference was a collaborative effort between the Sahra Bulle Foundation and the Office of the Vice-President of People, Equity, and Inclusion. This hybrid event was dedicated to fostering dialogue, providing education, and encouraging actionable steps against gender-based violence. It aligned with Canada’s 2023 theme for the 16-Days of Activism, focusing on "Listen, Learn, and Act."

Intimate Partner Violence Roundtable

- The Intimate Partner Violence Roundtable will be a collaborative effort between the Sahra Bulle Foundation and the Office of the Vice-President of People, Equity, and Inclusion. Taking place virtually on March 8 in honour of International Women's Day, this roundtable brings together political and legal guest speakers, along with experts in the field of Intimate Partner Violence (IPV). The discussion will focus on the steps that have been taken, those currently in progress, and the necessary measures needed to combat the alarming prevalence of IPV.

EDID Week 2024

- Discover diverse perspectives during Equity, Diversity, Inclusion, & Decolonization (EDID) Week from March 15 to 22, 2024. Explore events delving into racial issues, EDI efforts, accessibility, violence prevention, 2SLGBTQQIA+ rights, the intersection of historic marginalizations, and so much more. Engage in a condensed exploration of these vital topics.

Report of the Vice-President, Finance and Operations

Gillian Heisz

Budget 2024/25

The team continues to work towards tabling a draft budget for approval by the Board of Governors at its April 2024 meeting. This budget has been particularly challenging given the constantly changing external variables. Activities progressing include:

- The Tuition and Financial Aid Committee has concluded its work on international, out-of-province tuition rates, and scholarships and bursaries. As of the time of preparing this report, the committee's work is on hold until MCU shares its tuition framework for 2024/25.
- The Ancillary Fee Board's work is progressing well. As a reminder, this is a joint committee (Administration and student representatives) where students have a majority vote.
- The Budget Model Governance Committee has concluded its work and is expected to make recommendations for budget model adjustments to the Provost Budget Committee imminently.
- Several series of conversations have occurred with the Deans, particularly those with international cohort based masters programs (ICBM) on enrolment targets. An ICBM task force is meeting bi-weekly to monitor both external and internal trends.
- The Budget Balancing Committee is working hard to identify budget savings and new (or increased) revenue streams to support our objective of tabling a balanced budget.

Administration continues to strive for a balanced budget, as is customary.

Pension Plan Matters

Over the past few months, a significant amount of progress has been made on a number of strategic projects with respect to the pension plans of the University of Windsor, including:

- The Non-Union Employee Group and Administration signed the Non-Union Pension Funding Policy, the second group to execute a Funding Policy for the Employees' Retirement Plan. The final Funding Policy to be negotiated is with CUPE 1393. As is required by the Funding Policies, Administration will meet with Unifor and the Non-Union groups to discuss draft January 1, 2024 positions within the coming weeks.
- Mercer, the plan actuaries, has been working on an actuarial valuation for the Faculty Pension Plan as of July 1, 2023. Through D2 Retirement Committee, Administration and representatives from WUFA have been discussing the potential for a valuation to be filed at this earlier stage. Should it be determined that the valuation will be filed, the Board Pension Committee will be engaged.
- Work continues by the University Pension Plan (UPP) Joint Ad-hoc Sub-Committee to prepare a discussion paper comparing the UPP to the Faculty Pension Plan. The work has been thorough and together we have engaged Mercer to support further quantitative analysis. The committee enjoyed the opportunity to meet with UPP's CEO, CIO, and Board Chair late in the Fall 2023.

VPFO Town Hall Meeting and Employee Engagement

In December 2023, the division hosted its first Town Hall meeting, which was delivered in person as well as available as a video. We were very pleased to have over 200 people attend and/or view the video. Based on feedback, we will continue to offer town hall style updates on a bi-annual basis. The Leadership team also took the opportunity to check in on our Employee Engagement Survey (2022) action plans, with 65% of committed actions fully implemented, 28% in progress, and only 7% not started.

Report of the Vice-President, Research, and Innovation

Shanthi Johnson

The following provides a comprehensive overview of the recent activities and initiatives undertaken by the Office of the Vice-President, Research and Innovation (VPRI) at the University.

Introduction

Research, scholarship, creative activity, and innovation play a pivotal role in shaping the University's local and global influence, reputation, and impact. The research and innovation eco-system directly impacts our ability to recruit and retain undergraduate and graduate students and build a robust education and training capacity pipeline. The functional areas covered by the Office of the Vice-President, Research and Innovation (OVPRI) include:

- Research and Innovation Services (pre/post grant/awards management),
- Research Partnerships,
- Research Integrity (Animal Care, Research Ethics, and Research Safety),
- Senate approved University research centres and institutes (e.g., We-SPARK, GLIER, BSI...), EPICentre, and
- Strategic institutional initiatives (e.g., AgUWIN, public health partnership, etc.).

Our office is committed to inspiring and advancing inclusive research, scholarship, creative activity, and innovation aligned with the University's institutional strategic plan - *Aspire: Together for Tomorrow*. Our goal is to engage our community, creating strong, meaningful collaborations, actively involving both our internal and external stakeholders.

Internal Research and Innovation Ecosystem

- The OVPRI is working with the Associate Deans Research Committee (ADRC), Deans, Library, and Institutional Analysis to identify our existing and emerging research strengths and metrics to measure research success and to identify alternative, more inclusive mechanisms to measure success in fields beyond those captured by more traditional metrics.
- The action plan from the Research and Innovation Services Review is being implemented with the short term, medium, and long-term framing. There is also a subcommittee looking at systems and technologies integration to create greater efficiency and ease of work for our staff and researchers.
- The OVPRI is actively working to ensure that the functional areas covered by the OVPRI, including Research and Innovation Services, Research Partnerships, Research Integrity, University research centres and institutes, and EPICentre, are more integrated and coordinated. The OVPRI is hosting its second Research and Innovation retreat including ORIS, research integrity teams with guests from research finance in early February. The retreat will focus on defining research strength, mechanisms for measuring our success and celebrating excellence, and next steps for implementation of the Research and Innovation Services Review Action Plan.
- On January 19, 2024, EPICentre celebrated its 10 Year Anniversary and a decade of fostering entrepreneurship, innovation, and empowerment on campus and in our community. The review of EPICentre is underway. Future mandate will be informed by *Aspire* as well as the review recommendation to have a strongly integrated entrepreneurship and innovation ecosystem.

Shedding a light on Research Integrity

The Animal Care Committee, Research Ethics Board and Committees, and Research Safety Committee have made significant contributions to the University's research excellence by working to ensure that research is both safe and ethical. The VPRI meets individually with the Chairs and quarterly together as the Research Integrity team with the

three Chairs and Director, OVPRI to discuss cross-cutting and emerging issues and opportunities. Details on their contributions include:

Animal Care

- In 2023, the Animal Care Committee held 5 meetings and received, reviewed, and supported 24 new Animal Utilization Project Proposals (AUPPs); 13 requests to revise existing AUPPs; 19 progress reports; and 21 final reports. All but one current AUPP on file are for externally funded projects. The remaining project is internally funded.
- During this time, there were 14 new Standard Operating Procedures (SOPs) created and 37 SOPs were reviewed and revised.
- With the support of the Animal Care Committee and team, the University hosted a Canadian Council on Animal Care (CCAC) Interim Site Assessment visit on January 31, 2024.

Research Ethics

- The Socio-behavioural and Biomedical Research Ethics Boards meet monthly, the regular Delegated Review Board meets 50 weeks of the year, and the Scholarship of Teaching and Learning, Indigenous, and Delegated Biomedical Review Committees meet as needed. Additional Ad Hoc formal meetings are scheduled as needed to reduce the burden on regular meetings and expedite turnaround on rapid review requests.
- In 2023, Research Ethics received and reviewed 201 applications, of which 105 were received and reviewed between July to December alone. 195 applications were cleared.
- In 2023, 68 of the 201 applications reviewed were funded. Of the 201 applications, 66% were unfunded, 27% internally funded, and 7% externally funded.
- In 2023, Research Ethics also received and reviewed 169 requests to revise applications, 159 progress reports, and 136 final reports; and closed 130 files.
- In 2024, Research Ethics will be hosting a series of ten educational workshops for our research community focused on various research ethics topics ranging from pragmatic application of ethics principles in research design to writing specific sections of research ethics applications for review in collaboration with the Faculty of Education and other experts. For more information, visit the [Research Ethics website](#).

Research Safety

- The Research Safety Committee met quarterly in 2023 and received, reviewed, and supported 6 new applications and 19 requests for amendments. Of the new applications received and reviewed, 4 applications were related to externally funded projects and 1 application was related to an internally funded project.

Research Security

The OVPRI is prioritizing the protection of Canadian research while supporting the research community and remains dedicated to advancing bold and impactful research, scholarship, and creative activity. In January, the OVPRI issued a [Statement on Safeguarding Research](#) via the Daily News in response to the Government of Canada policy on [Sensitive Technologies Research and Affiliations of Concern \(STRAC\)](#) that was issued on January 16, 2024 and has been adopted by all Tri-Agency and CFI funding programs. Included in the Statement is a link to the [Integrated Plan](#) that the OVPRI has created to support and guide faculty and staff in safeguarding our research, as well as links to additional resources and background information. Inquiries related to the Statement, STRAC, and/or safeguarding research at the University of Windsor can be directed to Rahul Banerjee, the University's Research Security Coordinator, at researchsecurity@uwindsor.ca.

Partnerships and Engagement

Our office continues to forge strong external relationships through meetings with those visiting our campus and by participating in external groups such as the Council of Ontario Universities Ontario Council on University Research (OCUR), MITACS, Tri-agencies (CIHR, SSHRC, and NSERC) committees, and others. In January, the OVPRI hosted the Honourable Rechie Valdez, federal Minister of Small Business and Member of Parliament for Windsor-Tecumseh, Irek Kusmierczyk. During the visit, Minister Valdez engaged with faculty, students, and staff to learn about the innovation, entrepreneurship, and incubation supports the University offers. The Office of Research Partnerships also hosted meetings with the National Research Council (NRC), the Province of Ontario, and key industry stakeholders to

promote, develop, and support ongoing collaboration. In January, the OVPRI participated in a Kitchener-Waterloo-Windsor-Detroit Leaders Mobility Tour and Roundtable to explore opportunities for cross-border collaboration, engaging with municipal and academic stakeholders from Canada and the United States.

In summary, the VPRI remains dedicated to advancing research, scholarship, creative activity, and innovation at the University. We look forward to continued collaboration and success in these endeavours.

Report of the Associate Vice-President, External
Marian Gayed

Advancement Update

Integration with Alumni Relations and Donor Communications

The Advancement department is progressing with its interconnectivity with Alumni Relations and Donor Communications. This can be seen through joint projects around data hygiene, stewardship and execution of donor and giving-centric messaging (Alumni newsletter, communication pieces, endowment reports, planned giving efforts, and donor thank you letters).

Prospect Research and Pipeline Management

A plan has been put in place to engage the newly returned prospect researcher to engage with the senior development officers and deans to boost streamlined data and reporting of prospecting and pipeline development. This dovetails into metrics and the accountability of staff.

A transformation gift agreement was signed on January 10, and a media release will be issued at the end of February. Also, a multi-million transformational ask proposal was sent to a corporate client highlighting potential blended gifting opportunities across campus.

Review of Raiser's Edge Data Points

We are realigning the alumni/donor and key stakeholder data points we collect within our engagement and fundraising activities in Raiser's Edge. This will allow us to attain focused and consistent data that will enable the teams to employ a new alumni engagement scoring system and move our donors forward strategically in their giving cycle. Creating a consistent strategy of inputting data into our Raiser's Edge system will support our efforts in increasing our stewardship and cultivation activities of our donors and key stakeholders; and attain data (i.e., guest speakers, community partners) from other potential data contributors across the institution (i.e. faculties, professors, and external facing departments/individuals).

Refresh to Alumni Communications

We are refreshing the electronic newsletter to make it an interactive source of university information for our readers, and to better serve our faculties and institution. Currently the office is researching different interactive alumni communications platforms in consultation with PAC. The goal is to move towards one University wide electronic newsletter versus multiply external electronic newsletters telling the same stories that is leading us to depleting our readership and connectivity to our stakeholders. Moving to one institutional wide external electronic newsletter will also provide a cost savings for faculties and cut down on duplication of work being executed through our institution.

Public Affairs and Communications (PAC) Update

Institutional Brand Campaign Refresh

In partnership with STC Marketing Firm based out of Toronto, a new brand refresh look and feel has garnered support reflecting the strategic direction of the organization and voice of the community. New creative assets and toolbox will be developed along with a marketing and communications strategy for Phase 1 local market. This will include training on brand reputation, policy, and standards and an internal awareness campaign for the campus community.

Review and reporting on External and Internal Communications to inform decisions on strategic communications

A survey to identify current communications released to key int/external stakeholders was completed in December.

PAC is continuing to review Monsido analytics on target entry pages including the main landing page and Daily News. Constant Contact accounts of faculties and departments have been pulled under a UW Parent account in order to mitigate reputational risk, embed cybersecurity best practices, strategize stakeholder communications to support the University's missions and goals, find efficiencies and identify cost savings. Analytic report and strategic recommendations will be provided by the end of Q4, 2023-24 and execution of new plan by Q1.

**University of Windsor
Board of Governors**

4.2.1: **Emerging Risk Presentation: Research Security Risks**

Item for: **Information**

Forwarded by: **Board Audit Committee**

See attached.

Safeguarding Research and Emerging Risks

Research & Innovation

Board of Governors

February 27, 2024



University of Windsor

1. Risks interfacing with research and innovation

Enterprise risks	Research and Innovation footprint in the risks
Cyber Security Risk	Research data management (PI-integrated research data, confidentiality, server locations), research security, research ethics – opportunities to pilot test models Research data management strategy - OVPRI/Library/ITS
Enrolment Targets and Recruitment	Research drives recruitment, national and international rankings driven by research, research capacity pipeline via graduate student, recruitment challenges due to funding; division of professional programs and research programs)
Human Resources Capacity	Staff support commensurate with growth and complexity of research enterprise (research administration and financial services) and meeting government mandates, strategic faculty recruitment to support strategic research strengths and emerging areas of opportunity
Labour Relations	Treatment of lieu time + accrued vacation liabilities, disparities in evaluations vs. market value of key positions
Government Policy and Direction	Changing investment in and policies relating to research and innovation at the federal and provincial levels (research security, interpretation of innovation); funding stagnation
Environmental Scan and Related Emergency Preparedness	Research security, emerging geopolitics and travel for research, gaps in productivity due to inequities
Recruitment and Retention of Staff	Quality/availability of space and resources to support new faculty, lack of succession planning (senior researchers and key staff),
Academic Program/Services Development	Lack of alignment with industry needs, supports for undergraduate research, opportunity for better integration with research strengths
Student Satisfaction and Retention	Integrated opportunities for experiential learning in research at all levels
Performance Measurement (faculty and staff)	Undefined research strengths, lack of research performance metrics and mechanisms for measuring research excellence – opportunity to engage campus community in development of SRP



2. Top risks for research and innovation



Government Policy
and Direction



Performance
Management



Human Resource
Capacity



University of Windsor

3. Enhanced Security Posture in Canada

Federal Statement - February 14, 2023

- Canada's research ecosystem is known for excellence and collaboration.
- Government actively safeguards research while promoting openness.
- As risks evolve, additional targeted measures are deemed necessary.

Sensitive Technology Research and Affiliations of Concern (STRAC) Policy Pillars - January 22, 2024

- List of Sensitive Technology Research Areas
- List of Named Research Organizations



4. STRAC Pillars

SENSITIVE TECHNOLOGY RESEARCH AREAS (STRA) LIST

Advanced and emerging technologies that may be of interest to foreign state, state-sponsored, and non-state actors that may be seeking to undermine Canada’s technological advantages.

Includes technologies at various stages of development; of specific concern is the **advancement of a technology during the course of the research.**

Not intended to cover the use of any ubiquitous technology (i.e. safe and commonplace technologies).

Each high-level technology category includes sub-categories with further specificity regarding the main concerns.

NAMED RESEARCH ORGANIZATIONS (NRO) LIST

Research organizations that pose the highest risk because they are connected to foreign state, state-sponsored, and non-state actors that may be seeking to undermine Canada’s technological advantage.

Beyond this list, researchers are encouraged to apply due diligence practices to mitigate risks that may be associated with any collaboration or partnership in a sensitive research area – even if an institution is not included in the current list.

Both lists will be updated regularly to address evolving threats to Canada’s national security



5. Sensitive or Dual-Use Technologies

Some laws don't cover new technologies because their possible military uses are not clear yet, or international agreements are still uncertain. These technologies, sometimes called dual-use, can be used for both military and civilian purposes.

Advanced Materials & Manufacturing	Advanced Ocean Technologies	Advanced Sensing and Surveillance	Advanced Weapons	Aerospace
Artificial Intelligence	Biotechnology	Energy Generation, Storage and Transmission	Medical Technology	Neurotechnology and Human-Machine Integration
Next Generation Computing and Digital Infrastructure	Positioning, Navigation and Timing	Quantum Science	Robotics and Autonomous Systems	Space Technology

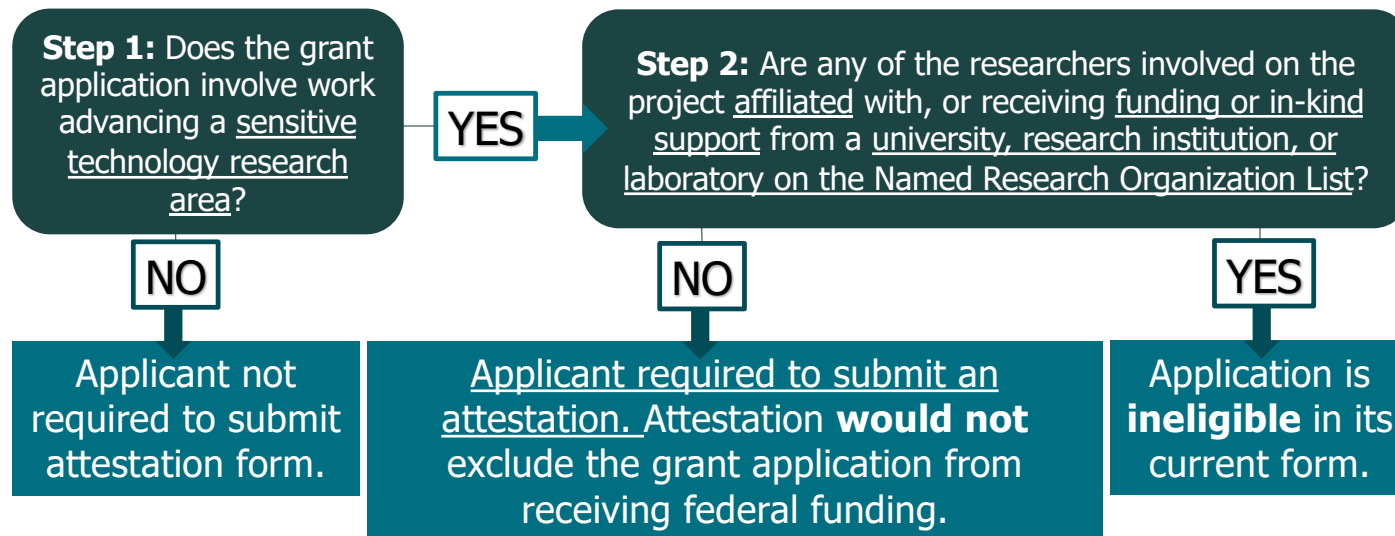
[national_security_guidelines_for_research_partnerships.pdf \(science.gc.ca\)](#)



University of Windsor

6. Process & Compliance

This policy covers all grant applications submitted through a university or affiliated research institution to three federal granting agencies and the Canada Foundation for Innovation (CFI). Grant applicants need to follow a two-step process before applying.



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7. UWIN Integrated Approach

Internal – building mid-air

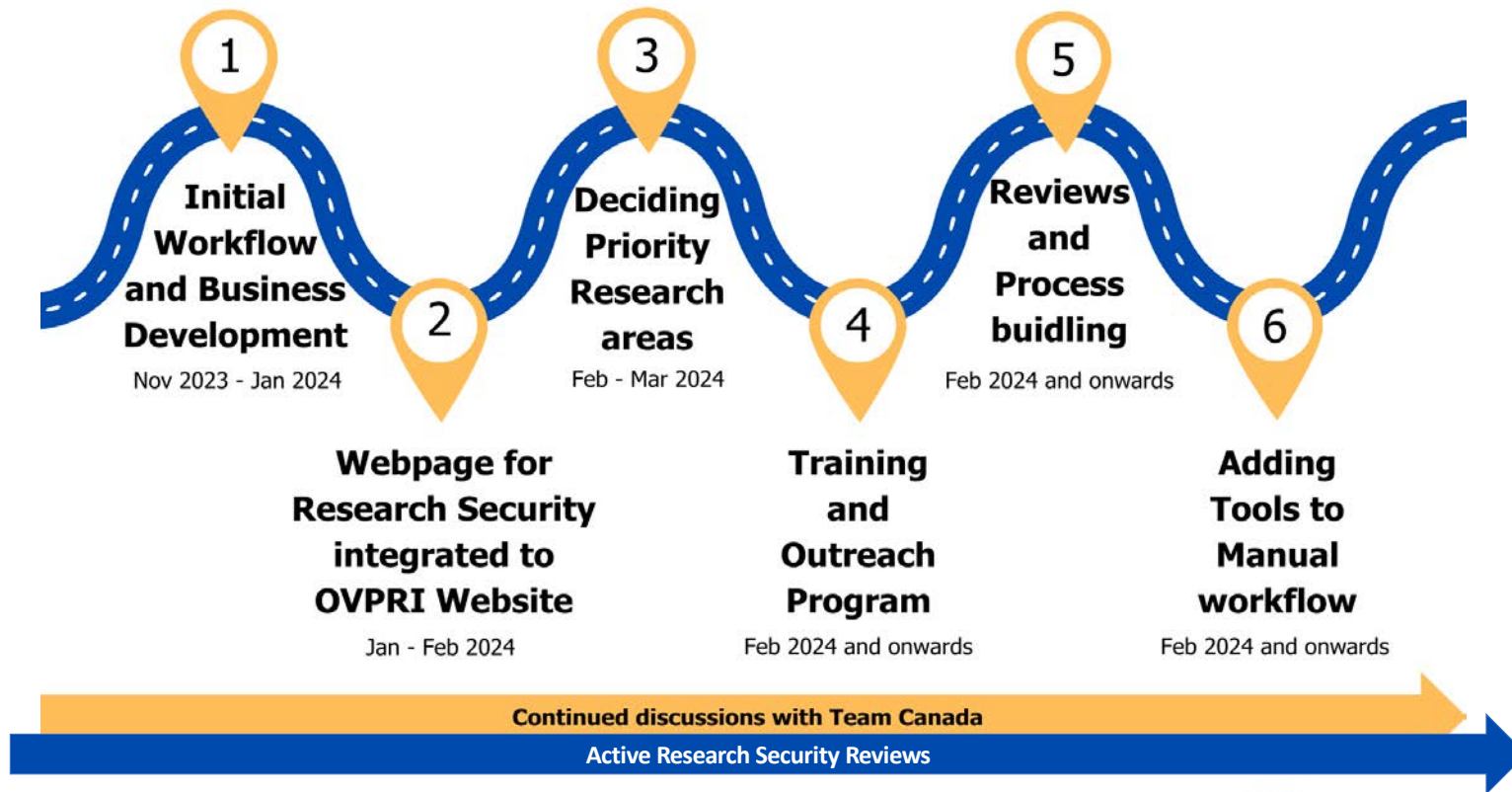
- Process – security reviews and attestations
- Capacity – enhanced, leveraged and tech assisted
 - Now: Research coordinators, new research security coordinator in place + open access tools
 - Future: + Faculty ADRs (with training), technology to assist
- Awareness, education and training
 - Leadership briefing (ELT, Deans)
 - ADRs for faculty-specific needs

External – advocacy, capacity leverage

- TEAM Canada, OCUR, Universities Canada, ...
- Tools – software



8. UWIN Safeguarding Research Roadmap



University of Windsor

9. Considerations

- New Federal policy – provincial context
- People impact – country-agnostic yet
- Partnerships built over time
- Resources – staff time/complexity of work
- Goes beyond research – HR, students/staff recruitment



10. Research and innovation matters

- Critical drivers of progress and development
- Wide ranging impact across multiple sectors
- Major role in shaping the future through novel solutions
- Enhances competitiveness on the global stage – including talent.



**University of Windsor
Board of Governors**

4.2.2: **Auditor General of Ontario (AGO) Findings Action Plan – Follow-up Update**

Item for: **Information**

Forwarded by: **Board Audit Committee and Board Governance Committee**

See attached.

Financial Management in Ontario Universities

A review by the Office of the Auditor General of Ontario (AGO)

BG240227-4.2.2

AGO Findings: Update on University of Windsor Action Plans

*Board of Governors
February 27, 2024*



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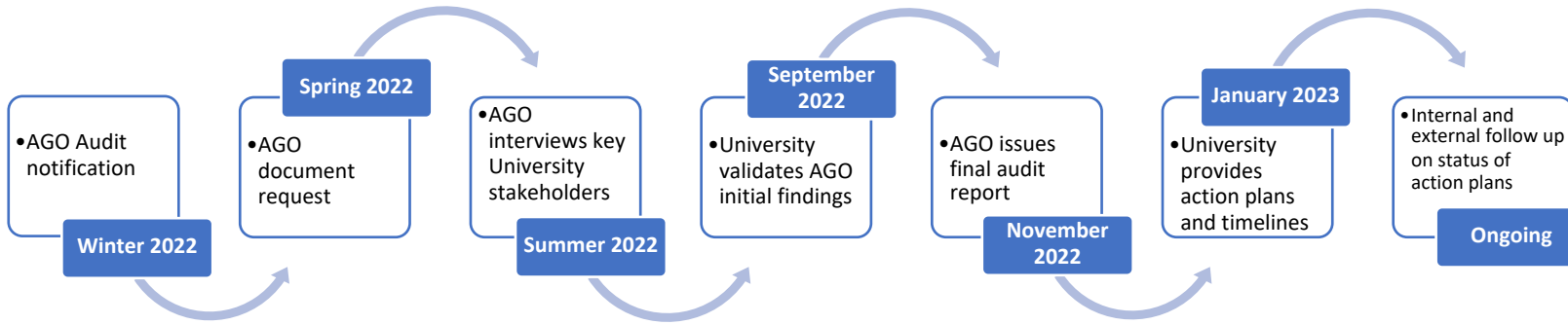
AGO Management Action Plan Update

- ✓ As part of its mandate, the AGO conducts value-for-money audits which assess whether government funds are being spent with due regard for economy and efficiency and whether appropriate procedures are in place to measure and report on the effectiveness of government programs.
- ✓ In 2022, the AGO conducted a value-for-money audit on the financial management and governance in Ontario universities. The University of Windsor was one of four universities included in the review. The other institutions were Algoma, Nipissing and Ontario Tech University.
- ✓ A final audit report was published by the AGO in November 2022 which included 25 recommendations for improvement across six major categories. The University prepared detailed action plans to address the recommendations with timelines ranging from one to three years.
- ✓ Since November 2022, the University has provided updates on the status of management action plans to the Standing Committee on Public Accounts, the Audit and Accountability Committee through the Ontario Internal Audit Division (quarterly). WUFA has also requested regular updates on progress, and to support management with implementation. Administration is meeting with WUFA regularly.
- ✓ The dashboard on the following slide represents the status of management actions as of January 1, 2024.



Status of Management Actions as of January 1, 2024

Audit Timeline



Actions Completed this Period

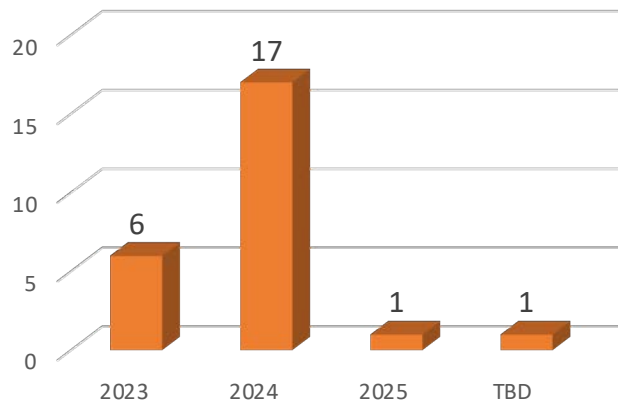
Financial Sustainability:

- ✓ Included debt management metrics, as defined in the Capital Debt Policy, in the annual reporting to RAC; presented at the September 2023 committee meeting.

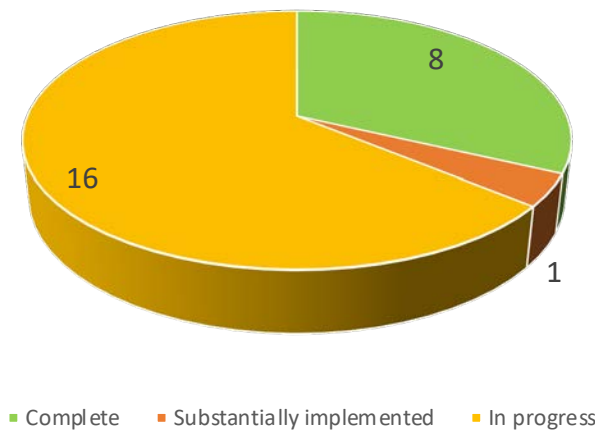
International Students:

- ✓ Established physical locations for in-country recruiters (ICR) in various regions including Mexico, LATAM, East and West Africa, North Africa, Middle East, India, Asia and Southeast Asia.
- ✓ Assigned specific territories to individual ICRs and identified primary, secondary and tertiary markets for each.
- ✓ Determined the distribution of effort by degree-level within each region for ICRs.
- ✓ Received, reviewed and approved recruitment plans for Fall 2023 and Winter 2024 from each ICR; plans include the establishment of enrolment targets.

Action Status: Expected Year of Completion *



Status of Completion **


















* Action deemed TBD relates to reducing the size of the Board and requires additional clarity around the process to open the Act, if required.

** All but one of the actions due November 2023 were completed on schedule. The outstanding action relates to Board member literacy training; a final session will be scheduled for Q1 2024.



Appendix: Completion Status of AGO Recommendations

-  **Financial Sustainability**
 - ✓ Establish a formal capital debt policy (November 2023)
 - ✓ Monitor and adhere to the debt limits outlined in the policy (November 2023)
 -  ✓ Maintain separate bank accounts for externally restricted funds (November 2024)
 -  ✓ Present projected cash flows from operations, financing and capital purchasing activities to the Board (November 2024)
- International Students**
 -  ✓ Regularly complete financial sensitivity analysis of impact of loss of students from various regions (November 2024)
 -  ✓ Develop and apply strategies to diversify recruitment from different geographic regions (November 2023)
 -  ✓ Focus on recruiting students from priority countries identified in government of Canada's International Education Strategy (November 2023)
 -  ✓ Collect relevant data on the location and careers of international alumni (November 2024)
 -  ✓ Use international alumni data to better inform programming and recruitment decisions (November 2025)
 -  ✓ Apply fee structure for international recruiters to target students with higher scholastic achievement (November 2024)
- Profitability of Academic Programming**
 -  ✓ Complete an analysis of profitability at the academic program level (November 2024)
 -  ✓ Determine whether there are programs which can be reduced/restructured to provide better financial contribution (November 2024)
 -  ✓ Reduce or restructure program offerings based on results of program profitability analysis and academic need (November 2024)

 Complete  Substantially implemented  In progress



Appendix: Completion Status of AGO Recommendations (continued)

Capital Planning




- ✓ Business case for each capital project including financial feasibility assessment for decision making (November 2023)

Board Governance

- ✓ Reduce and limit the size of the Board (TBD required additional clarity around the process to open the Act, if required)
- ✓ Reduce the number of committees to limit the Board size (November 2024)
- ✓ Develop and annually review and approve both permanent and emergency presidential succession plans (November 2024)
- ✓ Prioritize and track Board competencies using competency matrices (November 2024)
- ✓ Confirm the Board and committees possess demonstrably requisite competencies to fulfill their terms of reference (November 2024)
- ✓ Strengthen university financial and accounting literacy among Board members (November 2023)
- ✓ Implement oversight functions (i.e., risk management, compliance and internal audit); report regularly to Board (November 2024)
- ✓ The Senate be provided with regular costing information on the financial contribution of individual program offerings

Academic Partnerships and Collaborations

- ✓ Set goals for the type of relationships the University enters into such as revenue generating academic relationships (November 2024)
- ✓ Have these arrangements approved by the Board and/or Senate (November 2024)
- ✓ Consult national security agencies such as Canadian Security Intelligence for information, advice or support before engaging in international collaborations or partnerships (November 2024)

 Complete  Substantially implemented  In progress



University of Windsor
Board of Governors

4.2.3: **MCU Financial Accountability Framework**

Item for: **Information**

Forwarded by: **Board Audit Committee**

See attached.

MCU Financial Accountability Framework

Board of Governors
February 27, 2024

MCU Framework – Metrics/Ratios in Four Categories

Category	Objective	Ratio/Metric
Liquidity	Measures an institution's ability to meet short-term obligations	Primary reserve (days) ¹
		<i>Working capital ratio</i>
Sustainability	Measures an institution's ability to meet long-term obligations	Viability ratio ^{1,2}
		<i>Debt ratio</i>
		<i>Debt to revenue ratio</i>
		Interest burden ratio ^{1,2}
Performance	Measures an institution's operating efficiency & profitability	Surplus (deficit) ratio ^{1,2}
		Net Operating ratio ¹
Credit Rating	Measures institution's debt servicing ability	Independent credit agency rating (Moody's, DBRS, S&P)

Source: Ministry of Colleges & University, University Financial Accountability Framework Technical Manual

¹ Existing ratio under SMA2

² Ratio monitored by Credit Rating Agency (e.g. DBRS & Moody's)



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MCU Framework – Metric Thresholds

Category	Ratio/Metric	Medium – risk Threshold (more favorable to left) [1 point]	High – risk Threshold (less favorable to right) [2 points]
Liquidity	Primary reserve (days) ¹	90 days	30 days
	Working capital ratio	1.25	1
Sustainability	Viability ratio ^{1,2}	60%	30%
	Debt ratio	35%	55%
	Debt to revenue ratio	35%	50%
	Interest burden ratio ^{1,2}	2%	4%
Performance	Surplus (deficit) ratio ^{1,2}	1.5%	0%
	Net Operating ratio ¹	7%	2%

Source: Ministry of Colleges & University, University Financial Accountability Framework Technical Manual

¹ Existing ratio under SMA2

² Ratio monitored by Credit Rating Agency (e.g. DBRS & Moody's)



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Quantitative Observations - UWindsor (Apr 2023)

Financial Accountability Framework Ratios & Thresholds		Medium Risk (1 pt)	High Risk (2 pt)	UWindsor 2023	Metric Score
LIQUIDITY RATIOS					
Primary Reserve Ratio (Days)	$\frac{\text{Expendable Net Assets} * 365}{\text{Total Expenses}}$	< 90	< 30	77	1
Working Capital Ratio	$\frac{\text{Current Assets}}{\text{Current Liabilities}}$	< 1.25	< 1	1.34	0
Liquidity Category Score					0.5
SUSTAINABILITY RATIOS					
Viability Ratio	$\frac{\text{Expendable Net Assets}}{\text{Long-term Debt}}$	< 60%	< 30%	39.8%	1
Debt Ratio	$\frac{(\text{Total Liabilities} - \text{Deferred Capital Contributions})}{\text{Total Assets}}$	> 35%	> 55%	59.2%	2
Debt to Revenue Ratio	$\frac{\text{Long-term Debt}}{\text{Total Revenue}}$	> 35%	> 50%	50.7%	2
Interest Burden Ratio	$\frac{\text{Interest Expense}}{(\text{Total Expenses} - \text{Depreciation})}$	> 2%	> 4%	2.7%	1
Sustainability Category Score					1.5
PERFORMANCE RATIOS					
Net Income / Loss Ratio	$\frac{(\text{Total Revenues} - \text{Total Expenses})}{\text{Total Revenues}}$	< 1.5%	< 0%	4.4%	0
Net Operating Revenues	$\frac{\text{Cashflow from Operating Activities}}{\text{Total Revenues}}$	< 7%	< 2%	11.9%	0
Performance Category Score					0
CREDIT RATING					
Credit Rating	Third Party Credit Rating	Moody's		Aa3 Stable	
Overall Action Plan					1.5 Med Action Plan

No action
 < 1 point
 Metrics above band

Low action
 ≥ 1 point, < 1.5 points
 No reporting required (communication only)

Medium action plan
 ≥ 1.5 points, < 2 points
 Internal recovery plan

High action plan
 ≥ 2 points
 Independent advisor assisted recovery plan

Our quantitative Action Plan would be “Medium Action Plan” **before** consideration of qualitative factors by MCU

Qualitative Observations

Sustainability Category (Score 1.5 = Medium Action Plan)

Caused by the two newly introduced debt related metrics (Debt Ratio & LT Debt to Revenue Ratio), each equally weighted by MCU's Framework

- ~75% of LT debt are debentures with lump-sum repayments at maturity (2046+)
- Current working capital investments are generating returns > fixed interest rates on Series B & C debentures (3.745% & 2.786%) and TD mortgages (3.03% & 3.13%)
- Debt Ratio also impacted by variability in valuations outside of institution's control (e.g. discount rate impact on pension liabilities, mark-to-market on swaps)
- Our credit ratings are comparable/equal to the Province of Ontario, providing evidence that we are financially stable

Financial health should be assessed based on a holistic & comprehensive approach:

- All our other metrics would result in Category scores in the "No Action" grouping
- We should evaluate trends over time (even though MCU is calculating metrics based on April 2023), and establish long-term targets to ensure financial stability

Communications Plan with Ministry

Medium Action Plan

- Ministry's Initial Action = written notification to VP Finance, Chair of Audit Committee, Board Chair, and President identifying metrics and categories requiring action
- University develops & submits written response to Ministry within 4 weeks
 - We will provide an in-depth explanation and analysis to explain the financial metric results calculated
 - We will highlight the qualitative factors to support our financial strengths (e.g. strong/stable credit ratings from DBRS & Moody's), strength & stability in our other metrics (e.g. Liquidity and Performance categories)
 - Sustainability Category score due to two newly introduced metrics not commonly used in education sector (yet weighted equally as other metrics)
 - We will undertake discussions with the Ministry to provide additional information to demonstrate our financial strength
 - Written response will be shared with Audit Committee for information
- Ministry evaluates both quantitative and qualitative factors before confirming the final Action Plan, and the resulting reporting requirements (e.g. remain at Medium Action Plan, or revise to Low Action Plan)

Area of Focus – Sustainability Category Ratios

Viability Ratio³ and Interest Burden Ratio³:

- Continue with current financial management practices to maintain metrics at current levels within Medium threshold band (1 point for each metric)

LT Debt to Revenue Ratio⁴:

- Goal to improve this metric to Medium threshold band (1 point)
 - i.e. 50.7% as at April 2023 vs 50.0% threshold
- Improve revenue via strategies such as sustained enrolment growth, new international course-based masters programming in high demand areas, alternative revenue streams

Debt Ratio⁴:

- Longer-term goal (10+ years) to move towards Medium threshold band (1 point)
 - i.e. 59.2% as at April 2023 vs 55% threshold
- Our debt structure (i.e. debentures with fixed maturities) not conducive to debt extinguishment without negatively impacting other ratios
- Seek out opportunities to address liabilities associated with non-pension post-employment benefits, and pension liabilities (e.g. Faculty Pension Plan)

Goal: Medium-term Category Score = 1.25 (Overall Low Action Plan)

³ Ratio monitored by Credit Rating Agency (e.g. DBRS & Moody's)

⁴ Ratio introduced in MCU's 2023 Framework; ratio **not** evaluated/monitored by Credit Rating Agency (e.g. DBRS & Moody's)



Sector Highlights (as compiled by COFO)

Based on quantitative results for the year-ended April 2023):

- Institutions in **High Action** Plan: 2
- Institutions in **Medium Action** Plan: 6
- Institutions in **Low Action** Plan: 7
- Institutions in **No Action**: 8

Comparative Snapshot of Medium sized Universities:

	April 2021 Year-end	April 2022 Year-end	April 2023 Year-end
Peer 1	Low Action (Performance)	Med Action (Performance)	High Action (Performance)
Peer 2	Med Action (Performance)	Low Action (Sustainability)	Low Action (Sustainability)
Peer 3	Med Action (Sustainability)	Med Action (Sustainability)	High Action (Performance)
Peer 4	Low Action (Performance)	High Action (Performance)	Low Action (Liquidity)
UWindsor	Med Action (Sustainability)	Med Action (Sustainability)	Med Action (Sustainability)

MCU Financial Accountability Framework

Board of Governors
February 27, 2024



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University of Windsor
Board of Governors

4.8.1: **2023-2024 Operating Budget 9-Month Review**

Item for: **Information**

Forwarded by: **Board Resource Allocation Committee**

Rationale:

- The process for ongoing monitoring of the Board-approved 2023-2024 operating budget includes a review of the University's spending at the 9-month point.
- As the 9-month review does not include a proposal to revise the 2023-2024 operating budget but rather provides a projection to year end, the 9-month review is provided for information only.

See attached.


Department of Finance

401 Sunset Avenue
 Windsor, Ontario N9B 3P4
 T 519-253-3000 F 519-971-3619

To: Members of the Board of Governors

From: Vincent Yeung, AVP Finance

Date: February 27, 2024

Subject: 2023/24 Operating Budget 9-month Review

During each fiscal year, there are two key times when the Operating Budget is reviewed and a projection to year-end is completed. The second, our 9-month review, is completed after confirmation of Winter enrolment counts. Below is a summary of our findings and projections after nine months of operations.

Winter Tuition Update

At the 6-month review, Administration forecasted a \$3.3M positive adjustment to the tuition fee revenue budget based on actual results and our forecast for the Winter 2024 semester. Within this adjustment was an \$800K decrease to international graduate student revenue projections as we were concerned that geo-political pressures and VISA processing timelines would negatively impact the Winter 2024 semester.

Actual Winter 2024 results have been slightly better than the forecast provided at the 6-month review. We are now forecasting \$117.9M in graduate international student tuition, equal to the original budget. Undergraduate domestic student tuition had the best performance at \$4.1M above the original budget. Graduate domestic student tuition results are higher than original budget by \$185K. Only undergraduate international tuition results are below original budget by -\$250K.

While overall the tuition revenues have exceeded our conservative assumption at the 6-month review, concerning trends have emerged with our Winter 2024 intake of international cohort-based masters' students. The international education sector faced considerable disruptions before the Winter term, prompting many students to postpone enrolment. Overall, the intakes missed budget by 30% because of lower than typical conversion rates (the percentage of students that have accepted an offer and ultimately enrol in classes). The impact of this enrolment shortfall is disguised by the extraordinary enrolments from the Winter and Spring 2023 cohorts, who will graduate during fiscal 2024/25.

It is important to remember that these students are generally not "lost" and rather have deferred their enrolment to a future term. As we have seen over the last 2 years, the majority of students who have deferred ultimately attend UWindsor, just in a future term. However, with the extreme volatility in the international education sector in Canada and the IRCC announcements as of late, this trend could be another that starts to shift in the immediate term.

Overall, we are projecting total 2023/24 tuition fees of approximately \$240.5M which is \$3.95M higher than the original tuition budget of \$236.5M. This represents a further \$650K increase compared to the forecast provided at the 6-month review.

Trends and Risks in International Education Sector Since the November 2023 RAC and Board Meetings

At the November meetings, administration discussed the heightened risks associated with international enrolment, which is material to the University's operating budget. In the few months since that meeting (and up to January 31, 2024) there have been several IRCC (Immigration, Refugees and Citizenship Canada) announcements that have impacted the market including:

1. **Cap on Study Permits:** IRCC has implemented a temporary two-year cap on the number of new international student permits. For 2024, the cap is set to result in approximately 360,000 approved study permits, a 35% decrease compared to 2023. This cap is distributed among the provinces and territories, weighted by population. Notably, this cap does not impact renewals of existing study permits or those pursuing master's and doctoral degrees (for complete clarity, this means that UWindsor's international cohort-based masters' programs, along with our research-based graduate and PhD programs are exempt).
2. **Provincial Attestation Letters:** Starting January 22, 2024, international students applying for study permits must provide an attestation letter from the province or territory as part of their application. This requirement aims to align student admissions with regional educational strategies and is expected to be fully implemented by March 31, 2024. Similar to above, masters' and PhD students are exempt from this process. There has been considerable pushback by the higher education sector of this element given its immediate effective date since the provinces and territories are not yet prepared to support this process.
3. **Changes to Post-Graduation Work Permit (PGWP) Eligibility:** The eligibility criteria for PGWPs are being adjusted. Notably, as of September 1, 2024, international students enrolled in programs that are part of a curriculum licensing arrangement will no longer be eligible for a post-graduation work permit. This change does not impact the University of Windsor. Additionally, graduates of masters' degree programs will soon be eligible to apply for a 3-year work permit, a change from the current criteria where the length of the work permit is based solely on the size of the study program. This is a positive change for our graduates.
4. **Restrictions on Open Work Permits for Spouses:** In the coming weeks, open work permits will be available only to spouses of international students in masters' and doctoral programs. Spouses of students in other levels of study, including undergraduate and college programs, will no longer be eligible for these permits. This will have a very minimal impact on UWindsor.

Overall, the changes themselves do not have a high impact on UWindsor's international strategy given that the vast majority of our international focused programs are exempt from the cap. However, these changes are likely to change the global perception of Canada as a destination for international study. The exemption of masters' and PhD programs is also likely to ratchet up competition within Canada for these students. This is all added onto existing pressures caused by diplomatic issues, the cost of living in Canada, etc.

At this time administration has begun recasting its budget projections for 24/25, a process that is not complete until the February 1 count of existing students has been conducted. Further updates and discussion will occur at the RAC meeting on February 8 and Board of Governors meeting on February 27.

Enrolment Contingency and Extraordinary Enrolment Offset Reserves

With tuition fees projected above original budget at the 9-month review, we will not need to utilize the \$2M Enrolment Contingency Reserve (ECR). These funds will be set aside as part of Reserve Funds to help offset potential budgeting challenges in 2024/25. We will conduct a reconciliation of extraordinary enrolment for the Odette School of Business and Faculty of Engineering to determine if these Faculties will receive an allocation from the \$5.5M Extraordinary Enrolment Offset Reserve (EER). A portion of these funds have already been deployed to support international student recruitment efforts and the remainder will be assigned for future strategic priorities.

Government Operating Grants

The University has met its Strategic Mandate Agreement (SMA3) targets, negating the need for the SMA3 Reserve which has been transferred on a one-time basis into the University fund for strategic priorities. In addition, the University's Faculty of Nursing received a \$249K grant for a new Registered Nurse (RN) prescription program that will be operated in partnership with our Continuing Education department. These funds have been earmarked by the Faculty to support program development costs. Minor budget adjustments are required for the International Student Recovery (-\$120K) and the Nursing Collaborative Grant (-\$210K) based on our 9-month review projections.

Investment Income from Working Capital

Working capital balances and interest rates available to the University on deposit products have been higher this year than planned as we continue to see returns in the 5% to 6% range on short-term deposits. We forecasted a \$3M positive adjustment at the 6-month review and are forecasting a further increase of \$1.2M at the 9-month review.

Operating Expenditures

Investments of \$2.1M are being made into operating expenditure budgets during the 9-month review in support of the following activities:

- \$600K to cover costs associated with outsourced custodial services rate increases,
- \$550K in support of domestic graduate student scholarship spending,
- \$500K to fund international recruitment partner commission costs,
- \$249K in funding for the Faculty of Nursing RN prescribing program development costs (matches the revenue noted in the Government Grant section above),
- \$185K in support of student recruitment initiatives specifically targeted in India, and
- \$50K for international student application processing costs in the Registrar's office.

Strategic Investment Funds

Administration is making a further \$1M investment in the Human Resources Information System (HRIS) implementation project and will be moving \$2.2M from the EER to the Strategic Priority Fund (SPF) to support future investments aligning with UWindsor strategic priorities.

Reserve Funds

To summarize, the following funding has been moved to institutional Reserve Funds:

- \$2M funding from the ECR,
- \$2M from the EER based on the reconciliation of extraordinary student enrolment levels, and
- \$100K funding from the SMA3 reserve fund.

Administration continues to project a balanced budget for 2023/24 and has made a concerted effort to move funding to reserves as contingency for potential challenging budgeting situation in the 2024/25 fiscal year and beyond.

UNIVERSITY OF WINDSOR
2023/24 Operating Budget
Mid-year Review Adjustment

	2023/24				
	APPROVED BASE BUDGET	6-month Review Adjustment	9-month Review Adjustment	Total Adjustments	2023/24 PROJECTION
	(\$000s)	(\$000s)	(\$000s)	(\$000s)	(\$000s)
BASE OPERATING REVENUE					
Student Academic Fees	\$ 245,374	\$ 3,300	\$ 650	\$ 3,950	\$ 249,324
Less: Enrolment Contingency Reserve	(2,000)	-	2,000	2,000	-
Less: Extraordinary Enrolment Offset Reserve	(5,500)	-	5,500	5,500	-
Government Grant - Provincial	96,684	1,200	(81)	1,119	97,803
Less: SMA3 Protection Reserve	(100)	-	100	100	-
Government Grant - Federal	3,444	-	-	-	3,444
Investment Income	3,772	3,000	1,230	4,230	8,002
Other Revenue	3,528	-	-	-	3,528
TOTAL OPERATING REVENUE	\$ 345,202	\$ 7,500	\$ 9,399	\$ 16,899	\$ 362,101
BASE OPERATING EXPENDITURES					
Faculty Expenditures	\$ 169,613	\$ 2,556	\$ 249	\$ 2,805	\$ 172,418
Research	7,361	27	-	27	7,388
Outreach & Communications	14,140	1,505	685	2,190	16,330
Academic & Student Services	29,075	106	50	156	29,231
Library	14,037	38	-	38	14,075
Scholarships	14,352	240	550	790	15,142
Administration	26,187	83	-	83	26,270
Information Technology	15,323	38	-	38	15,361
Facility Costs (including Utilities)	30,463	57	600	657	31,120
External Debt Costs	10,954	-	-	-	10,954
<i>Subtotal Base Operating Expenditures</i>	\$ 331,504	\$ 4,650	\$ 2,134	\$ 6,784	\$ 338,288
STRATEGIC INVESTMENT & RESERVE FUNDS					
Strategic Investment Funds	\$ 5,598	\$ 2,850	\$ 3,170	\$ 6,020	\$ 11,618
Reserve Funds	8,100	-	4,095	4,095	12,195
<i>Subtotal Strategic Investment & Reserve Funds</i>	\$ 13,698	\$ 2,850	\$ 7,265	\$ 10,115	\$ 23,813
TOTAL EXPENDITURES	\$ 345,202	\$ 7,500	\$ 9,399	\$ 16,899	\$ 362,101
BASE OPERATING POSITION (DEFICIT)	\$ -	\$ -	\$ -	\$ -	\$ -

University of Windsor
Board of Governors

*4.8.2: **Procurement Policy – BPS Threshold Changes**

Item for: **Approval**

Forwarded by: **Board Resource Allocation Committee**

MOTION: **That the Board approve the proposed revisions to the Procurement Policy.**

Rationale:

- Revisions to the Broader Public Sector Procurement Directive came into effect January 1, 2024 and include updated dollar thresholds related to procurement.

See attached.

Policy Title: Procurement Policy

Policy Number: FIN-PUR-1008-001

Established: November 25, 1998

Approved by: Board of Governors

Last Approval Date: June 11, 2012

Revision Dates: October 18, 2023, February 27, 2024

Position Responsible for Maintaining and Administering the Policy: Procurement Manager

Contact: Ana Jain, Procurement Manager

1. Policy Statement

The University has adopted the Procurement Policy to govern all University Procurement. This policy is governed by directives and legislation that may be introduced from time to time, and include:

- Ontario Broader Public Sector (BPS) Procurement Directive
- Canadian Free Trade Agreement (CFTA)
- Comprehensive Economic and Trade Agreement (CETA)
- Ontario-Quebec Trade and Cooperation Agreement (OQTC)
- Freedom of Information and Protection of Privacy Act (FIPPA)
- Accessibility for Ontarians with Disabilities Act (AODA)

The University is committed to obtaining the best value for the total acquisition cost of all goods and services purchased, to facilitate and encourage the timely purchase of goods and services through a competitive process whenever practical, and to ensure commitment to accountability, transparency, efficiency, and equity.

2. Purpose

The primary purpose of the Procurement Policy is to ensure that the acquisition of goods and services is undertaken in an open, fair, transparent, efficient, ethical, and cost-effective manner while obtaining the best value for money for the University. Furthermore, the purpose of the policy is:

- i. Define the roles and responsibilities, means of Procurement, and approval thresholds applicable in the purchase of goods and services.
- ii. To ensure that current legislative requirements with respect to public entity purchases are met, including mandatory requirements of the governing directives or trade agreements.
- iii. To ensure that all University employees involved in the purchase of goods or services are aware of the applicable governing legislation, regulation and the Ontario BPS Supply Chain Code of Ethics as outlined in **Appendix C - Ontario Broader Public Sector (BPS) Supply Chain Code of Ethics**.
- iv. To ensure an appropriate level of internal control and accountability with respect to supply chain related activities.
- v. To establish guidelines for purchasing goods and services for all University units, including procurement planning and risk mitigation considerations, as well as to outline the University's accountability in using public funds for the purchase of those goods and services.

- vi. To ensure University vendors are permitted to participate in fair competition for the supply contracts awarded by the University, in accordance with their qualifications.

3. Scope

This policy applies to the acquisition of goods and services, including construction and renovation work, consulting services, and information technology, **regardless of the source of funding**, unless specifically indicated otherwise by the funding source. This policy applies to all employees of the University.

4. Roles and Responsibilities

- I. All individuals involved in purchasing or other supply chain related activities must adhere to the principles and standards promulgated by the University's Procurement Code of Ethics (Section 10) to ensure an ethical, professional, and accountable supply chain.
- II. Employees with purchasing approval authority shall ensure that University policy requirements are followed in the procurement of goods and services.
- III. No person shall commit the University to agreements, licenses, contracts, leases, or other legally enforceable obligations unless authorized by the Board of Governors.
- IV. Procurement Services is responsible for and shall have the authority, on behalf of the University, to:
 - Enter into binding agreements such as purchase orders, equipment leases and other contracts for the supply of materials and/or services from operating budgets.
 - Acquire and dispose of goods and services, including amending or cancelling purchase orders. *(Procurement Services is the only department authorized to issue, amend, or cancel a purchase order).*
 - Provide guidelines on procurement policies and procedures and the structure, format and general content of bid solicitations; review proposed bid solicitations to ensure clarity, reasonableness and quality; and advise staff of suggested improvements.
 - Establish standards, terms and conditions for bid solicitation, purchase orders, contracts and other documents required to manage supply chain related activities, including call, receive, open, and review bids.
 - Ensure open, fair, and impartial purchasing processes for goods and services.
 - Facilitate negotiations with preferred vendor agreements in conjunction with units and to utilize collaborative buying programs with other organizations where feasible.
 - Promote the standardization of goods and services, where such standardization demonstrably supports the purpose and scope of this Policy.
 - Incorporate where appropriate, accessibility criteria and features when procuring goods, services, or facilities to create and maintain an accessible university community as required under the Accessibility for Ontarians with Disabilities Act (the "AODA").
 - Ensure compliance with this Policy and advise the Vice-President, Finance and Operations through the Associate Vice-President, Finance when there has been non-compliance. The Vice-President, Finance and Operations shall take appropriate action to address and correct any non-compliance.
- V. It is the responsibility of the end user department (requisitioners) to:
 - Identify the need for a product or service and provide the specifications to Procurement Services.
 - Approve a purchasing transaction. An employee with purchasing approval authority must ensure that:
 - Authorized Approving Officer has delegated authority over account(s) to which a charge is being made.
 - Transaction is within dollar value limits of delegation.
 - Purpose of transaction aligns with account(s) being charged and any restrictions related to those funds.
 - Transaction is in compliance with this Policy and other contract terms.
 - Transaction does not personally benefit themselves or their supervisor(s), and that transaction approval does not create a conflict or perceived conflict of interest.
 - Ensuring that all goods and services purchased have been received and recording receipt has been captured in the form prescribed by Procurement Services.

5. Procurement Thresholds and Competitive Procurement Requirements

The determination of the method of competitive procurement required for goods, non-consulting services, and construction purchases will be done in conjunction with Procurement Services in accordance with requirements in **Table 1** below.

Competitive bidding requirements for “Consulting Services” are discussed further in **Section 7 - Procurement of Consulting Services**.

Table 1: Competitive Bidding and Procurement Methodology

Total Procurement Value (in CDN, excluding taxes)	Method of Purchase	Competitive Procurement Requirement	Procurement Services Consultation Requirement
Up to \$5,000	UW Purchasing Card; Invoice; or Purchase Order <i>(Only if required)</i>	None required <i>(End user can place order directly with supplier)</i>	Not required
\$5,000 to \$15,000	Purchase Order	Minimum of one (1) written competitive quote required. Two (2) additional quotes may be required by Procurement Services to ensure best value.	Required
\$15,001 to \$100,000 \$121,200	Purchase Order	Minimum of three (3) written competitive quotes – Procurement Services to advise on process and obtain quotes.	Required
Over \$100,000 \$121,200	Purchase Order	Public competitive bid process required (i.e. MERX) via Procurement Services	Required

All orders **between \$5,000 to \$15,000** will require a minimum of one (1) written quote from the proposed supplier (unless otherwise specified for a research grant, where the more stringent purchasing requirements will take precedence). This written quote can be obtained by either Procurement Services or the end user. Purchasing Services, at its discretion, may require two (2) additional quotes to ensure best value is obtained.

All orders **between \$15,001 and ~~\$100,000~~ \$121,200** will require a structured invitational procurement process to be followed unless it is an allowable exception to this policy or sole source supplier claim is submitted for approval (see **Appendix B – Procurement Policy Exemptions: Limited Tendering and Non-Application Provisions**). This process will ensure the University gains the best possible value within the context of legal and purchasing directives and that it is practicing an open and fair business policy. In the case of a sole source procurement, Procurement Services will obtain a formal quotation from the requested supplier.

All orders **above ~~\$100,000~~ \$121,200** will require public competitive procurement process. Procurement services must be consulted and will facilitate the formal competitive procurement process.

Reducing the overall value of procurement by dividing a single procurement into multiple procurements (splitting transactions) to circumvent competitive procurement thresholds is not acceptable and does not comply with this Policy.

6. Procurement Approval Authorities

This policy establishes different levels of authorized spending, as well as the associated competitive procurement method required for goods or services. These levels of authorization are designed to limit the exposure of the University to major expenditure commitments without appropriate due diligence.

The Total Procurement Value referred to below is calculated based on the net value of the purchase in Canadian dollars (or a total purchase, within a single contract, over a set time period) before taxes and freight are considered.

As the procurement for all consulting services must be competitively bid, irrespective of the Total Procurement Value, the following Procurement Approval Authority Schedule is divided into two separate sections, for clarity purposes:

- Goods, Non-Consulting Services and Construction (**Table 2**).
- Consulting Services (**Table 3**)

All expenditures or commitments to expend must be authorized by an Authorized Approving Officer or an employee with the delegated purchasing approval authority.

6.1 Delegation of Authority

Authorized Approving Officers can appoint a Delegate Authorized Approver, to exercise the authority of the Authorized Approving Officer, on a permanent basis, or when absent for any reason, including vacation. They can do this by indicating the period during which absence or permanent delegation is effective (beginning and end date) using the delegation function in UWinsite Finance. Appointments should ideally be in a position at the same level or higher than the Authorized Approving Officer, on the University Organization Chart. Authorized Approving Officers who choose to delegate authority acknowledge and accept that they are fully accountable for decisions made on their behalf by their delegate.

Table 2: Competitive Procurement Authority – Goods, Non-Consulting Services and Construction

Total Procurement Value (in CDN, excluding taxes)	Procurement Services Consultation Requirement	Competitive Procurement Method	Approval Authority
Up to \$5,000	None	Not required	Authorized Approving Officer for budget in relevant business unit
\$5,001 to \$15,000	Buyer	Invitational Competitive	Authorized Approving Officer for budget in relevant business unit
\$15,001 to \$99,999 \$121,199	Buyer	Invitational Competitive	Authorized Approving Officer for budget in relevant business unit
\$100,000 \$121,200 to \$499,999	Procurement Manager, and Associate Vice-President, Finance	Open Competitive	Authorized Approving Officer for budget in relevant business unit; and Vice-President of respective department
Over \$500,000	Procurement Manager, and Associate Vice-President, Finance	Open Competitive	Authorized Approving Officer for budget in relevant business unit; Vice-President of respective department; and President

7. Procurement of Consulting Services

Procurement for all consulting services must be competitively bid, irrespective of the Total Procurement Value. Prior to commencement, any procurement of consulting services must be approved in accordance with the **Table 3 - Procurement Approval Authority Schedule for Consulting Services**.

Procurement Services will assist in the determination as to whether the service is consulting or non-consulting, as well as determination of the type of competitive procurement method required, in accordance with the requirements outlined in table below:

Table 3: Competitive Procurement Authority – Consulting Services

Total Procurement Value (in CDN, excluding taxes)	Procurement Services Consultation Requirement	Competitive Procurement Method	Approval Authority
Up to \$99,999 \$121,199	Buyer	Invitational Competitive (minimum three quotes)	Authorized Approving Officer for budget in relevant business unit;
\$100,000 \$121,200 to \$499,999	Procurement Manager, and Associate Vice-President, Finance	Open Competitive	Authorized Approving Officer for budget in relevant business unit; and Vice-President of the respective department
Over \$500,000	Procurement Manager, and Associate Vice-President, Finance	Open Competitive	Authorized Approving Officer for budget in relevant business unit; Vice-President of the respective department; and President

8. Non-Competitive Procurement

The University will utilize an open competitive procurement process as required and whenever possible to increase the possibility of achieving the greatest value for money. However, in specific circumstances, a competitive procurement processes may not be reasonable and therefore exceptions to competitive procurement may be required, through sole sourcing, single sourcing and limited tendering. Please refer to **Appendix B - Procurement Policy Exemptions: Limited Tendering and Non-Application Provisions for further details**.

Circumstances in which exceptions may be considered must be justified and documented in advance, by the requisitioner, on the **Procurement Policy Exemptions: Limited Tendering and Non-Application Justification Form**.

9. Consistency and Contradictions

Where there may be apparent contradictions between this policy and other legal requirements to which the University is subject, every effort should be made to interpret both this policy and the other requirement in a consistent and harmonious manner.

If any provision of this policy is found to be inconsistent with the provisions of a collective agreement, the collective agreement will prevail, unless the policy provision is required by law, in which case the policy provision will prevail.

Where funding for a purchase is provided by a funding/external agency, and where those purchasing requirements (i.e. dollar limit thresholds, number of quotes required, approvals, etc.) are different from University requirements, the more stringent requirements will take precedence.

10. Procurement Code of Ethics

The University further requires that all individuals involved in purchasing or other supply chain- related activities must adhere to the principles and standards promulgated by the University's Procurement Code of Ethics below, to ensure ethical, professional, and accountable supply chain activities.

The University's Procurement Code of Ethics has been established, in accordance with the Ontario BPS Supply Chain Code of Ethics ("Code") to supplement other regulations, policies and guidelines related to duty of transparency and ethics that is owed to all public institutions. This Code applies to all members of the University community who are involved in the procurement process of goods and services.

The Code of Ethics is comprised of 3 elements:

1. Personal Integrity
2. Professionalism, Accountability, Transparency
3. Compliance and Continuous Improvement

It is the responsibility of each member of the University to promote the institution as one that deals fairly and equitably with all suppliers to create and maintain business relationships. This can be accomplished by:

- Maintaining fair and transparent competition amongst suppliers
- Being honest and truthful in all inferences and statements
- Treating all communication with vendors as confidential
- Allowing vendors a full and courteous hearing
- Never benefiting from the errors of suppliers

11. Conflict of Interest

University employees must maintain a fair and impartial relationship when dealing with suppliers. End users and Procurement Services staff are responsible for ensuring that any potential conflict of interest or non-arm's length transactions in dealing with suppliers are declared per the ***University Conflict of Interest or Commitment Policy***.

This Policy further requires disclosure where a contract for goods or services may be awarded to a person or firm in which a University employee has a material interest. Declaration of any conflict of interest must be made using the University ***Conflict of Interest Disclosure Statement form***.

12. Environmental Sustainability

The University is committed to promoting the values of environmental sustainability and social responsibility. To the degree possible, the University shall incorporate environmental sustainability standards into its procurement practices and give favourable consideration in its evaluation process to those goods and services which reflect this commitment to environmental sustainability or broader social responsibility.

13. Accessibility for Ontarians with Disabilities Act

The University of Windsor is also committed to meet accessibility obligations in procurement related activities under the Ontario Human Rights Code, 1990 and the Accessibility of Ontarians with Disabilities Act, 2005 (AODA).

In accordance with section 5 of the AODA, Integrated Accessibility Standards Regulation, the University of Windsor is committed to incorporating accessibility criteria or features when procuring or acquiring goods, services, or facilities, except where it is not practicable to do so. Therefore, when procuring or acquiring goods, services, or facilities, the person responsible for the purchasing documents is also responsible for enquiring about the accessibility features of the products. Considerations should be made to ensure that the item(s) being purchased do not pose a barrier for persons with disabilities. If the purchaser determines that it is not practicable to incorporate accessibility criteria and features into the purchase, the purchaser shall keep a written explanation.

14. Confidentiality

Any and all confidential information shall be the sole and exclusive property of the University and shall be held by all employees in trust for the benefit of the University only. Confidential information shall not be disclosed by University employees to outside parties except in the necessary course of business. University employee's privity to confidential information shall be prohibited from communicating the confidential information to anyone, including other University employees, except in the necessary course of business. Efforts will be made to limit access to confidential information to only those in a need-to-know position.

All University employees shall take all reasonable actions that the University deems necessary or appropriate to handle, store and maintain supplier confidential information to prevent the unauthorized use or disclosure.

15. Monitoring and Compliance

The policy will be reviewed every five (5) years. There may be certain circumstances that may cause for the review of the policy prior to that date: changes in legislation that affect the policy; a specific incident triggers a review of the policy; there is a request made by Senior Management or the Board of Governors to review the policy.

16. Appendices

- Appendix A - Definitions
- Appendix B - Procurement Policy Exemptions: Limited Tendering and Non-Application Provisions
- Appendix C - Ontario Broader Public Sector (BPS) Supply Chain Code of Ethics

17. Cross References and Procedures

- University of Windsor Travel Policy
- University of Windsor Hospitality Policy
- Policy on Conflict of Interest of Commitment
- Gift Acceptance Policy
- Purchasing Card Program
- Travel Card Program

Appendix A – Definitions

Authorized Approving Officer: The Authorized Approving Officer must have authorization over the account(s) being charged when approving purchase requisitions. They also must not be asked to approve purchase requisitions for an individual to whom they report. The Authorized Approving Officer is typically the one-up approver, the manager or supervisor of the requisitioner. However, if the Authorized Approving Officer is not also the claimants one-up approver, then an additional approval is required by the Authorized Approving Officer for the general ledger account being charged.

In the case of research accounts, the Authorized Approving Officer must have a one-up reporting relationship to the requisitioner, and purchase requisitions must always be approved by the Principal Investigator (PI) or their delegate.

Competitive procurement: means a set of procedures for developing a procurement contract through a bidding or proposal process. The intent is to solicit a fair, impartial, competitive bids. Competitive Procurement can be done through open or invitational process.

Construction: means construction, reconstruction, demolition, repair or renovation of a building, structure, or other civil engineering or architectural work and includes site preparation, excavation, drilling, seismic investigation, the supply of products and materials, the supply of equipment and machinery if they are included in and incidental to the construction, and the installation and repair of fixtures of a building, structure or other civil engineering or architectural work, but does not include professional consulting services related to the construction contract unless they are included in the procurement.

Consultant: means a person or entity that under an agreement, other than an employment agreement, provides expert or strategic advice and related services for consideration and decision-making.

Consulting Services: means the provision of expertise or strategic advice presented for consideration and decision-making. Examples: IT Consulting, such as developing technology strategy; Technical Consulting, such as engineering, health, social sciences, employment, and actuarial; and Management Consulting.

Delegate Authorized Approver: Employees who can approve purchase requisitions on behalf of the Authorized Approving Officer.

Employee: means any person who directly or indirectly receives wages from the University in return for supply of services. For certainty, this definition includes all unionized and non-unionized academic and support staff as well as those whose salary is paid through sources other than the University's operating funds, such as, but not limited to, grants, research grants and external contracts.

Invitational Competitive Procurement: means a form of competitive procurement conducted by inviting three or more qualified suppliers to submit written proposals, to supply goods or services, in response to the defined requirements outlined by the procuring organization.

Limited Tendering: means a procurement method whereby the procuring entity contacts a supplier or suppliers of its choice, provided that it does not use this provision for the purpose of avoiding competition among suppliers or in a manner that discriminates against suppliers of any other Party or protects its own suppliers. A procuring entity may use limited tendering under any of the circumstances described in **Appendix B - Procurement Policy Exemptions: Limited Tendering and Non-Application Provisions, Table 5**

Non-Application Provision under CFTA, CETA, OQTCA: are provisions that exempt a given procurement from the application of the government procurement chapter obligations of the applicable agreement (CFTA, CETA or OQTCA). These are described in **Appendix B - Procurement Policy Exemptions: Limited Tendering and Non-Application Provisions, Table 6**

Non-consulting Service Provider: an individual/company who contracts to provide services, other than consulting services to another individual or business. Examples may include “consultants” such as property brokers, head-hunters or trainers.

Open Competitive Procurement - a form of competitive procurement conducted by inviting, through an electronic tendering system, any qualified supplier to submit a written proposal to supply goods or services in response to the defined requirements outlined by the procuring organization.

Procurement Value: means the total cost of the contract, from the date of first supply through to the expiry date of the contract, in Canadian dollars, excluding applicable taxes and including all applicable charges such as extension options, warranties, maintenance, training, currency exchange, and freight.

Purchase Order: a written offer made by a purchaser to a supplier formally stating the terms and conditions of a proposed transaction.

Request for Proposal (RFP): a document used to request suppliers to supply solutions for the delivery of complex products or services or to provide alternative options or solutions. It is a process that uses predefined evaluation criteria in which price is not the only factor.

Request for Quotation (RFQ): a document similar to an RFP where an organization describes exactly what needs to be purchased and the evaluation is based solely on price and delivery.

Quotation: means a submission from a supplier in response to a Request to Quotation (RFQ).

Service: an intangible product that does not have a physical presence. No transfer of possession or ownership takes place when services are sold and they 1) cannot be stored or transported, 2) are instantly perishable, and 3) come into existence at the time they are bought or consumed.

Single Source: A non-competitive procurement of goods or services from a particular supplier in situations where there may be more than one supplier capable of delivering these goods or services.

Sole Source: means the use of a non-competitive procurement process to acquire goods or services where there is only one available supplier for the source of the goods or services.

Supply Managed Contract (SMC): a contract established by the University with pre-negotiated suppliers for the procurement of low value, highly repetitive goods, or services. The benefits of the program include improved pricing, simplified ordering process, monthly invoicing and electronic payment processes.

Tender: means a submission from a supplier in a response to a tender notice (open competitive procurement)

Total Procurement Value: means calculated based on the net value of the purchase (or a total purchase, within a single contract, over a set time period) before taxes and freight and valued in Canadian dollars.

Appendix B – Procurement Policy Exemptions: Limited Tendering and Non-Application Provisions

There may be circumstances where neither invitational nor open competitive procurement can be used as the procurement method. A Procurement Policy Exemption may be permitted provided it meets the criteria in a **Limited Tendering (including Sole or Single Source) Exception or Non-Application Provision** of the CFTA, CETA, OQTC or other regulations applicable to the University as introduced from time to time. These provisions are defined and listed on the Limited Tendering Exception or Non-Application Provision tables 6 and 7 below and included on the **Procurement Policy Exemptions: Limited Tendering and Non-Application Justification Form (Justification Form)**.

The Justification Form must be completed with the necessary authorizations before an award is made to any Supplier. Once authorized, this Justification Form must be submitted to Procurement Services for compliance vetting, tracking, and reporting purposes where required by applicable trade agreements, before any procurement contracts are finalized.

Limited Tendering Exception or Non-Application Provision Authority:

Prior to commencement, any Limited Tendering or Exception procurement must be approved in accordance with the Procurement Approval Authority Schedule for Limited Tendering as outlined in **Table 4** below.

Table 4: Procurement Approval Authority Schedule for Limited Tendering and Non-Application Provisions: Goods, Non-Consulting Services and Construction

Procurement Value	Procurement Services Consultation Requirement	Approval Authority
\$0 to \$99,999 \$121,199	Buyer	Authorized Approving Officer for budget in relevant business unit
\$100,000 \$121,200 to \$499,999	Buyer and Procurement Manger	Authorized Approving Officer for budget in relevant business unit; and Vice-President of the respective department
\$500,000 or more	Buyer, Procurement Manger, and Associate Vice-President, Finance	Authorized Approving Officer for budget in relevant business unit; Vice-President of the respective department; and President

Table 5: Procurement Approval Authority Schedule for Limited Tendering and Non-Application Provisions: Consulting Services

Procurement Value	Procurement Services Consultation Requirement	Approval Authority
\$0 to \$99,999 \$121,199	Buyer	Authorized Approving Officer for budget in relevant business unit
\$100,000 \$121,200 to \$999,999	Buyer, Procurement Manger, and Associate Vice-President, Finance	Authorized Approving Officer for budget in relevant business unit; Vice-President of the respective department; and President
\$1,000,000 or more	Buyer, Procurement Manger, Associate Vice-President, Finance, and Vice-President, Finance and Operations	Authorized Approving Officer for budget in relevant business unit; Vice-President of the respective department; and President and Board of Governors

Public Disclosure Requirements:

Trade Agreements require that when a Limited Tendering exception or Non-Application provision is used, the conditions and circumstances that justified its use be published and reported as follows:

- Contract award and value be published on the Procurement Services web site within 72 days of contract signing; and
- Contract awards and values be reported to the Province of Ontario on an annual basis. This report will be prepared by Procurement Services on behalf of the University.

Table 6: Limited Tendering Exception (Single Source and Sole Source)

Exception code	Description
A-i <input type="checkbox"/>	Note that in any of the cases under exemption code A, the exception is only available provided that the requirements of the tender documentation are not substantially modified. If no tenders or quotations were submitted or no suppliers requested participation;
A-ii <input type="checkbox"/>	If no tenders or quotations that conform to the essential requirements of the tender or quotation documentation were submitted;
A-iii <input type="checkbox"/>	If no suppliers satisfied the conditions for participation (Note: Contact Purchasing Services for guidance); or
A-iv <input type="checkbox"/>	If the submitted tenders were collusive (Note: Contact Purchasing Services for guidance);
B-i <input type="checkbox"/>	If the goods or services can be supplied only by a particular supplier and no reasonable alternative or substitute goods or services exist for any of the following reasons: - the requirement is for a work of art;
B-ii <input type="checkbox"/>	the protection of patents, copyrights, or other exclusive rights;
B-iii <input type="checkbox"/>	due to an absence of competition for technical reasons;
B-iv <input type="checkbox"/>	the supply of goods or services is controlled by a supplier that is a statutory monopoly (Note: This is not available under CETA or the OQTCA. Contact Purchasing Services for guidance);
B-v <input type="checkbox"/>	to ensure compatibility with existing goods or to maintain specialized goods that must be maintained by the manufacturer of those goods or its representative (Note: This is not available under CETA or the OQTCA. Contact Purchasing Services for guidance);
B-vi <input type="checkbox"/>	work is to be performed on property by a contractor according to provisions of a warranty or guarantee held in respect of the property or the original (Note: This is not available under CETA or the OQTCA. Contact Procurement Services for guidance);
B-vii <input type="checkbox"/>	work is to be performed on a leased building or related property, or portions thereof, that may be performed only by the lessor (Note: This is not available under CETA or the OQTCA. Contact Procurement Services for guidance);

Exception code	Description
B-viii <input type="checkbox"/>	the procurement is for subscriptions to newspapers, magazines, or other periodicals (Note: This is not available under CETA or the OQTCA. Contact Purchasing Services for guidance);
C <input type="checkbox"/>	For additional deliveries by the original supplier of goods or services that were not included in the initial procurement, if a change of supplier for such additional goods or services: (i) cannot be made for economic or technical reasons such as requirements of interchangeability or interoperability with existing equipment, software, services, or installations procured under the initial procurement; and (ii) would cause significant inconvenience or substantial duplication of costs for the procuring entity (Note: Both (i) and (ii) must apply);
D <input type="checkbox"/>	If strictly necessary, and for reasons of urgency brought about by events unforeseeable by the procuring entity, the goods or services could not be obtained in time using open tendering (Note: a failure to plan and allow sufficient time for a competitive procurement does not constitute an unforeseeable situation or urgency);
E <input type="checkbox"/>	For goods purchased on a commodity market;
F <input type="checkbox"/>	If a procuring entity procures a prototype or a first good or service that is developed in the course of, and for, a particular contract for research, experiment, study, or original development. Original development of a first good or service may include limited production or supply in order to incorporate the results of field testing and to demonstrate that the good or service is suitable for production or supply in quantity to acceptable quality standards, but does not include quantity production or supply to establish commercial viability or to recover research and development costs;
G <input type="checkbox"/>	For purchases made under exceptionally advantageous conditions that only arise in the very short term in the case of unusual disposals such as those arising from liquidation, receivership, or bankruptcy, but not for routine purchases from regular suppliers;
H <input type="checkbox"/>	If a contract is awarded to a winner of a design contest provided that: (i) the contest has been organized in a manner that is consistent with the principles of this Chapter, in particular relating to the publication of a tender notice; and (ii) the participants are judged by an independent jury with a view to a design contract being awarded to a winner (Note: Contact Purchasing Services for guidance); and
I <input type="checkbox"/>	If goods or consulting services regarding matters of a confidential or privileged nature are to be purchased and the disclosure of those matters through an open tendering process could reasonably be expected to compromise government confidentiality, result in the waiver of privilege, cause economic disruption, or otherwise be contrary to the public interest (Note: This is not available under CETA. It is a non-application provision under OQTCA. Contact Purchasing Services for guidance).

Table 7: Non-Application Provisions

Provision code	Description
A <input type="checkbox"/>	Public employment contracts (Note: Contact Human Resources for guidance);
B <input type="checkbox"/>	Non-legally binding agreements (Note: Contact Purchasing Services for guidance);
C <input type="checkbox"/>	Any form of assistance such as grants, loans, equity infusions, guarantees, and fiscal incentives (Note: “grants” refers to the granting of money by University of Windsor. It does not refer to the spending of granting money - i.e. research grants);
D <input type="checkbox"/>	A contract awarded under a cooperation agreement between a Party and an international cooperation organization if the procurement is financed, in whole or in part, by the organization, only to the extent that the agreement includes rules for awarding contracts that differ from the obligations of this Chapter (Note: This is not available under CETA or OQTCA. Contact Purchasing Services for guidance);
E <input type="checkbox"/>	Acquisition or rental of land, existing buildings, or other immovable property, or the rights thereon;
F <input type="checkbox"/>	Measures necessary to protect intellectual property, provided that the measures are not applied in a manner that would constitute a means of arbitrary or unjustifiable discrimination between the Parties where the same conditions prevail or are a disguised restriction on trade;
G-i <input type="checkbox"/>	Procurement or acquisition of: Fiscal agency or depository services (Note: Not applicable for University of Windsor);
G-ii <input type="checkbox"/>	Liquidation and management services for regulated financial institutions (Note: Not applicable for University of Windsor);
G-iii <input type="checkbox"/>	Services related to the sale, redemption, and distribution of public debt, including loans and government bonds, notes and other securities (Note: Not applicable for University of Windsor);
H-i <input type="checkbox"/>	Procurement of: financial services respecting the management of government financial assets and liabilities (i.e., treasury operations), including ancillary advisory and information services, whether or not delivered by a financial institution (Note: “financial service” means any service or product of a financial nature and a service incidental or auxiliary to a service of financial nature, and includes: deposit taking; loan and investment services; insurance; estate, trust and agency services; securities; and all forms of financial or market intermediation including the distribution of financial products);

H-ii <input type="checkbox"/>	health services (Note: Contact Purchasing Services for guidance) or social services (Note: “social services” generally includes the following services to the extent that they are established or maintained for a public purpose: income security or insurance; social security or insurance; social welfare; public education; public training, health, and childcare);
Provision code	Description
H-iii <input type="checkbox"/>	services that may, under applicable law, only be provided by licensed lawyers or notaries; or
H-iv <input type="checkbox"/>	services of expert witnesses or factual witnesses used in court or legal proceedings (Note: this is not available under OQTCA. Contact Purchasing Services for guidance);
I-i <input type="checkbox"/>	Procurement of goods or services: Financed primarily from donations that require the procurement to be conducted in a manner inconsistent with Chapter 5 of CFTA (Note: This is not available under CETA. Contact Purchasing Services for guidance);
I-ii <input type="checkbox"/>	by a procuring entity on behalf of an entity not covered by Chapter 5 of CFTA/Chapter 19 of CETA/Chapter 9 of OQTCA (Note: Contact Purchasing Services for guidance);
I-iii <input type="checkbox"/>	between enterprises that are controlled by or affiliated with the same enterprise, or between one government body or enterprise and another government body or enterprise;
I-iv <input type="checkbox"/>	by non-governmental bodies that exercise governmental authority delegated to them;
I-v <input type="checkbox"/>	from philanthropic institutions, non-profit organizations, prison labour, or natural persons with disabilities (Note: This is not available under CETA. Contact Purchasing Services for guidance);
I-vi <input type="checkbox"/>	under a commercial agreement between a procuring entity which operates sporting or convention facilities and an entity not covered by Chapter 5 of CFTA that contains provisions inconsistent with Chapter 5 of CFTA (Note: this is not available under CETA or OQTCA. Contact Purchasing Services for guidance);
I-vii <input type="checkbox"/>	conducted for the specific purpose of providing international assistance, including development aid, provided that the procuring entity does not discriminate on the basis of origin or location within Canada of goods, services, or suppliers; or
I-viii <input type="checkbox"/>	Conducted under the particular procedure or condition of an international agreement relating to the stationing of troops or relating to the joint implementation by the signatory countries of a project;
I-ix <input type="checkbox"/>	Conducted under the particular procedure or condition of an international organization, or funded by international grants, loans, or other assistance, if the procedure or condition would be inconsistent with Chapter 5 of CFTA;
J <input type="checkbox"/>	Procurement with respect to Aboriginal peoples.

Appendix C – Ontario Broader Public Sector (BPS) Supply Chain Code of Ethics

In accordance with the Broader Public Sector (BPS) Procurement Directive, effective April 1, 2011, and as amended from time to time, the University of Windsor formally adopts the Ontario BPS Supply Code of Ethics, as follows:

Goal: To ensure an ethical, professional, and accountable procurement program at the University of Windsor

Personal Integrity and Professionalism

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

Accountability & Transparency

Supply chain activities must be open and accountable. In particular, tendering, contracting and purchasing activities must be fair, transparent and conducted with a view to obtaining the best value for public money. All participants must ensure that public sector resources are used in a responsible, efficient, and effective manner.

Compliance & Continuous Improvement

All BPS supply chain participants must comply with this Code of Ethics and the laws of Canada and Ontario. Participants should continuously work to improve supply chain policies and procedures, to improve supply chain knowledge and skill levels, and to share leading practices.

Strategic Mandate Agreement (SMA3) 2020-2025 Annual Report

Evaluation Year 4

Board of Governors

February 27, 2024



Metrics

Year 3



2020/21	2021/22	2022/23 and on
1. Graduate Employment	1. Graduate Employment	1. Graduate Employment
2. Institutional Strength*	2. Institutional Strength*	2. Institutional Strength*
3. Graduation Rate	3. Graduation Rate	3. Graduation Rate
4. Community Impact	4. Community Impact	4. Community Impact
5. Economic Impact*	5. Economic Impact*	5. Economic Impact*
6. Research Funding	6. Research Funding	6. Research Funding
	7. Experiential Learning	7. Experiential Learning
	8. Innovation: Industry Funding	8. Innovation: Industry Funding
	9. Graduate Earnings	9. Graduate Earnings
		10. Skills and Competencies*
25% of Grant	35% of Grant	45% to 60% of Grant

\$23.5M

\$32.8M

\$42.3 to \$56.4M



Weightings



	Institutional Assigned Weightings/Outcomes-Based Funding				
	2020-21	2021-22	2022-23	2023-24	2024-25
	Max 35%, Min 10%	Max 30%, Min 5%	Max 25%, Min 5%	Max 25%, Min 5%	Max 25%, Min 5%
Metric	(%)	(%)	(%)	(%)	(%)
1. Graduate Employment Rate	10%	5%	5%	5%	5%
2. Institutional Strength	25%	20%	20%	20%	20%
3. Graduation Rate	10%	5%	5%	5%	5%
4. Community Impact	35%	30%	25%	25%	25%
5. Economic Impact	10%	20%	20%	20%	20%
6. Research Funding	10%	5%	5%	5%	5%
7. Experiential Learning	--	5%	5%	5%	5%
8. Innovation: Industry Funding	--	5%	5%	5%	5%
9. Graduate Earnings	--	5%	5%	5%	5%
10. Skills & Competencies*	--	--	5%	5%	5%



Performance Funding Status

- MCU reactivated the performance-based funding for Year 4:
 - System-wide proportion of 10%.
 - Re-weighting for Year 5 will be permitted.
 - Stop loss mechanism- anything below 95% of targeted achievement will be capped at 95%.
- No announcement yet for Year 5 funding:
 - MCU response to the BRP report expected by end of Feb.



Annual Evaluation- Year 4 (2023/24)



Metric Performance Year 4

Metric ID	Metric Name	SMA3 Values			
		2023-24			
		Target	Band of Tolerance	Allowable Performance Target	Actual
1	Graduate Employment Rate in a Related Field	88.35%	2.11%	86.49%	90.06%
2	Institutional Strength/Focus	31.34%	3.00%	30.40%	32.28%
3	Graduation Rate	74.55%	1.00%	73.81%	77.01%
4	Community/Local Impact of Student Enrolment	11.77%	2.23%	11.50%	12.32%
5	Economic Impact (Institution-specific)	\$173,111,098	8.14%	\$159,014,028	\$186,654,228
6	Research Funding and Capacity: Federal Tri-Agency Funding Secured	1.36%	4.49%	1.29%	1.431%
7	Experiential Learning	73.78%	11.49%	65.30%	73.40%
8	Research Revenue Attracted from Private Sources	\$6,588,444	13.80%	\$5,679,003	\$7,030,667
9	Graduate Employment Earnings	\$49,550	2.00%	\$48,561	\$55,354
10	Skills and Competencies				

Actual values have exceeded the allowable performance target for all metrics. We will receive full funding for each metric.

Metric 10 is based on participation



Status to Date

Theoretical Allocation Year 1 to Year 3

- Year 1 (\$161,071)
- Year 2 +\$13,950
- Year 3 +\$92,421
- Year 4: All targets met, 100% of funding.
- We continue to monitor the metrics.



Year 5 2024/25 Risks

1. Continued impact of the pandemic. These impacts have been communicated to MCU (e.g. Graduation Rates)
2. Metrics for which we have higher risk of not meeting targets
3. Economy and its effect on metrics:
 - Employment rates
 - Research revenue from private sources
4. International student/study permit issues



Looking Ahead

- Planning for SMA4
 - Government and accountability (introduction of the financial sustainability metrics)
 - Any changes in metrics
 - Blue Ribbon Panel recommendations.



Strategic Mandate Agreement (SMA3) 2020-2025 Annual Report

Evaluation Year 4

Board of Governors

February 27, 2024



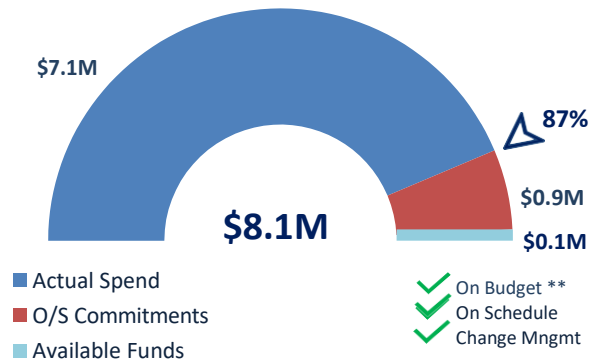
Board Approved Capital Projects > \$2.5M

Chiller Replacement

Board Approval Date: December 2021
 Substantial Completion Date: Summer 2023

Total Project Spend*

* to December 31, 2023



** the metrics for this project have been updated following the February 2023 board approval of budget increase

Funding Sources	Approved	Status	Notes
1. Internal financing	\$2.7M		Deferred Maintenance Strategy including \$1.7M from Facilities Renewal Government Grant
2. One-time contribution from Operating funds	\$2.2M		(Energy Projects Fund – generated from utility savings); funds currently available
3. Energy Sustainability Fund	\$3.0M		Contribution from Energy Sustainability Annual Funding Strategy
4. External Incentive	\$0.2M		Enbridge incentive

PROJECT COMPLETE