



# York University Board of Governors Notice of Meeting

Tuesday 4 May 2021 1:30 to 4:30 pm  
Via Videoconference

Page

**I. CLOSED SESSION**

**II. OPEN SESSION - 2:45 pm approximately**

- 1. Chair’s Items (P. Tsaparis) *2:45 pm*
  - a. Report on Items Decided in the Closed Session
  - b. Consent Agenda Approval
- 2. Executive Committee (P. Tsaparis)
- 3. President’s Items (R. Lenton) *2:55 pm*
  - a. Kudos Report..... 1

**Break Period – 10 minutes: 3:10 pm to 3:20 pm**

- 4. Academic Resources Committee (A. Di Domenico) *3:20 pm*
  - a. Chairs and Professorships (For approval)
    - Establishment of the George Weston Ltd. Chair for Sustainable Supply Chains .. 5
- 5. External Relations Committee (J. Lassonde) *3:30 pm*
  - a. Presentation: Economic and Social Impact Report (I. Maxwell Rodrigues)
  - b. Points of Pride ..... 9
- 6. Finance and Audit Committee (B. White) *3:45 pm*
  - a. Capital Projects (For approval)
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# PRESIDENT'S KUDOS REPORT

APRIL 2021



York University has released its first-ever list of [Top 30 Changemakers](#) Under 30, shining a spotlight on remarkable young alumni who are making a difference in their communities, the country, and around the world. Included in the list are:

- Ajith Thiyagalingam, BA '15, JD '18, Liberal Arts & Professional Studies, Osgoode Hall Law School
- Alexandra Lutchman, BA '14, Liberal Arts & Professional Studies
- Aurangzeb Khandwala, BA '18, Liberal Arts & Professional Studies
- Bailey Francis, BA '19, Liberal Arts & Professional Studies
- Basia Pozin, BBA '17, Schulich School of Business
- Bo Cheng, BSC '17, MMAI '20, Science, Schulich School of Business
- Christine Edith Ntomba Dikongué, BA '14, Glendon
- Dani Roche, BDES '13, School of Arts, Media, Performance & Design
- David (Xiaoyu) Wang, MSCM '20, Schulich School of Business
- David Marrello, BBA '15, Schulich School of Business
- Deanna Lentini, BSC '16, Health
- Eunice Kays, BA '17, Liberal Arts & Professional Studies
- Farzia Khan, BA '17, Lassonde School of Engineering
- Giancarlo Sessa, BBA '19, Schulich School of Business
- Iman Mohamed, BA '14, Liberal Arts & Professional Studies
- Isabella Akaliza, BA '20, Liberal Arts & Professional Studies
- Jillian Lynch, BA '19, Health
- Krystal Abotossaway, BHRM '13, Liberal Arts & Professional Studies
- Larissa Crawford, BA '18, Liberal Arts & Professional Studies
- Luke Reece, BA '15, School of Arts, Media, Performance & Design
- Maneesha Gupta, JD '17, Osgoode Hall Law School
- Matthew Ravida, BCOM '18, Liberal Arts & Professional Studies
- Mikhaela Gray Beerman, BA '14, MED '18, Glendon, Education
- Miranda Baksh, BES '17, MES '19, Environmental & Urban Change
- Nicole Doray, IBA '17, MES '19, Glendon, Environmental & Urban Change
- Prakash Amarasooriya, BSC '15, Health
- Rana Nasrazadani, BA '20, Liberal Arts & Professional Studies
- Rowena Tam, BA '17, School of Arts, Media, Performance & Design
- Shant Joshi, BFA '17, School of Arts, Media, Performance & Design
- Shaquille Omari, BA '15, Liberal Arts & Professional Studies



York University [Professor Huaiping Zhu](#) has received \$2.5 million in federal funding to build a new network of researchers and collaborators who will bring a “One Health” approach to disease modelling in order to better predict, prevent, and respond to emerging infectious diseases.



[Three teams from the Schulich School of Business](#) made it to the top 10 in the national finals of the L'Oréal Brandstorm case competition, with one team earning second place. The second-place team members consisted of Anne Villeneuve (BBA '22), Ananthen Karunakaran (BBA '22), and Hugo Pinto (BBA '22).



[Three students from the Japanese Studies Program in the Faculty of Liberal Arts & Professional Studies](#) earned first-place prizes during the Canadian National Japanese Language Speech Contest. Heshan Wadumasethrige, Peter Wenxiang Zang, and Lilika Zheng earned the top spots in the Beginner, Intermediate, and Open categories during the contest. These three students were also the first-prize winners in their respective categories at the 2021 Ontario Japanese Speech Contest.



York University PhD student [Giovanni Hernández-Carranza](#) from the Department of Sociology and undergraduate student [Enzo Flores Montoya](#) from the Department of Languages, Literatures, and Linguistics were named the recipients of the 2020 Michael Baptista Essay Prize from the Centre for Research on Latin America and the Caribbean.



On behalf of Osgoode Hall Law School's [Environmental Justice & Sustainability Clinic](#), Professors Dayna Nadine Scott and Estair Van Wagner have been awarded \$225,000 in funding from the Impact Assessment Agency of Canada to develop practical guidance for working with Indigenous Governing Authorities as partner jurisdictions to assess major projects under the Impact Assessment Act.



York University Professor [Joel Katz](#), Distinguished Research Professor of Psychology and Canada Research Chair in Health Psychology, was the recipient of the Senior Investigator Award by the Health Psychology/Behavioural Medicine section of the Canadian Psychological Association. The annual award recognizes exceptional researchers who have supported and contributed to health psychology and behavioural medicine in Canada.



Canadian poet and York University alumna [Canisia Lubrin](#) was named one of two winners of the Windham-Campbell Literature Prize in poetry. In addition to a citation and award, winners of the prizes receive an unrestricted grant of US\$165,000 to support their writing.



[Franz Newland](#), Associate Professor, Teaching, and Undergraduate Program Director in the Department of Earth and Space Science & Engineering at the Lassonde School of Engineering, has been awarded the prestigious St. Lawrence Section Outstanding Teaching Award from the American Society for Engineering Education.



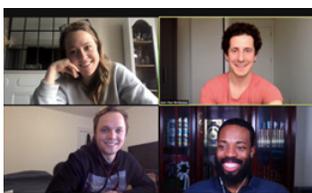
[Four York University Lions](#) student-athletes have been selected as the recipients of the 2021 Lions Legacy Awards. Men's hockey player Kaleb Dahlgren, women's hockey standout Lauren Dubie, women's soccer player Teni Odetoynbo, and track and field athlete Monique Simon-Tucker were presented with the awards, which are given to graduating student-athletes who have made outstanding contributions to varsity sport at York.



York University graduate [Amanda Sears](#) (BA '20) was among 20 Canadians chosen as inaugural McCall MacBain Scholars, recipients of the country's first comprehensive leadership-based scholarship that supports master's and professional studies. York graduates Christina Hoang, Betty Nwaogwugwu, and Kaitlyn Smoke were also offered McCall MacBain Finalist Awards, and Berta Kaisr was offered a McCall MacBain Regional Award.



[Zhen Ming \(Jack\) Jiang](#), Associate Professor in the Department of Electrical Engineering and Computer Science, has been awarded the CS-Can | Info-Can Outstanding Early-Career Computer Science Researcher Prize for excellence in research.



[Osgoode Hall Law students](#) Jessie Armour, Joshua Harriott, and Thomas Prentice won the Client Advocate Category at the International Academy of Dispute Resolution International Law School Mediation Tournament. They also garnered additional awards: first for Individual Mediator for Joshua Harriott, and first for Individual Client-Advocate Pair for Jessie Armour and Joshua Harriott.



[Joan Judge](#), Professor of History at the Faculty of Liberal Arts and Professional Studies, was named a 2021 Guggenheim Fellow in the field of East Asian Studies.



[Dr. Peter Park](#), Associate Professor, Lassonde School of Engineering, was part of a team that was awarded with \$11 million in funding from the National Sciences and Engineering Research Council for their “CLUE: City Logistics for the Urban Economy” initiative, which will help fill major knowledge gaps about the Canadian urban freight system.



[Teams from Osgoode Hall Law School](#) placed first and second out of a field of 26 teams from Canada and the United States in the annual Hockey Arbitration Competition of Canada. The winning team members were Jordan Kazan Baigrie and Jeremy Wright and the semi-finalists were Nolan Cattell and Vaughan Rawes.

## Appointments



[E. Louise Spencer](#) has been appointed acting Vice-President, Advancement.

## Board of Governors

### Memorandum

To: Board of Governors

From: Antonio Di Domenico, Chair, Academic Resources Committee

Date: 4 May 2021

Subject: Establishment of the George Weston Ltd. Chair for Sustainable Supply Chains

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### Recommendation:

**The Academic Resources Committee recommends that the Board of Governors approve the establishment of the George Weston Ltd. Chair for Sustainable Supply Chains.**

### Rationale:

In accordance with the York Act, individual and program-based Research and Teaching Chairs and Professorships are formally established by the Board of Governors after consultation with Senate through its Academic Policy, Planning and Research Committee. The Academic Resources Committee is responsible for recommending approval by the Board after completing its own review and approval.

The Vice-President Academic and Provost is required to determine that a proposal is consistent with York's academic interests and all relevant policies and agreements. Confirmation of the Provost's support and details about the Chair, which will be housed in the Schulich School of Business, are provided in correspondence appended to this memorandum. At its meeting on 25 March 2021, the Senate Academic Policy, Planning and Research Committee (APPRC) reviewed and provided its concurrence with the Provost's recommendation to establish the proposed new Chair.

## Board of Governors

### **Policy and Procedures**

**Policy:** Establishment and Designation of Research and Teaching Chairs, Professorships and Distinguished Fellowships

<http://secretariat-policies.info.yorku.ca/policies/establishment-and-designation-of-research-and-teaching-chairs-professorships-and-distinguished-fellowships-policy/>

**Guidelines and Procedures:** Establishment and Designation of Research and Teaching Chairs, Professorships and Distinguished Fellowships

<http://secretariat-policies.info.yorku.ca/policies/establishment-and-designation-of-research-and-teaching-chairs-professorships-and-distinguished-fellowships-guidelines-and-procedures/>

# Memorandum

OFFICE OF THE  
PROVOST & VICE-PRESIDENT  
ACADEMIC

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Brenda Spotton-Visano, Chair, APPRC

Lisa Philipps, Provost & Vice-President Academic

March 25, 2021

Recommendation to establish George Weston Ltd. Chair for  
Sustainable Supply Chains, Schulich School of Business



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I write to seek the concurrence of APPRC for the establishment of the George Weston Ltd. Chair for Sustainable Supply Chains in the Schulich School of Business. The Chair will be funded by an expendable gift from George Weston Ltd. that includes additional funds in support of the George Weston Ltd. Centre for Sustainable Supply Chains.

The Chair-holder will be a senior scholar and thought leader in sustainable supply chains and responsible enterprise, and will contribute to Schulich through a combination of teaching, research and curriculum development. In particular, the Chair will focus on developing new curriculum and reinforcing existing courses in the area, integrating supply chain management teaching across the Schulich School and the University, and will provide research leadership to enhance the School's existing strengths in this area. This Chair will engage in new collaborations and knowledge exchange with academic, private sector, industry and government/policy partners through academic and applied research, strategic outreach and sector engagement and thought leadership.

The GWL Chair for Sustainable Supply Chains will be for a funded term of five years, and will have a mandate to teach across and collaborate with other Centres within the School, including the Centre of Excellence in Responsible Business, the Centre in Business Analytics and Artificial Intelligence, the Brookfield Centre in Real Estate & Infrastructure, the Centre for Customer Centricity, the Centre for Global Enterprise, and a planned Centre for Excellence in Blockchain Technology.



This new Chair builds on Schulich's established eminence in the field of supply chain management, which is the basis for an existing MBA specialization and in which a new 12-month Master's program has recently been established. At the levels of undergraduate, graduate and executive education, the School has set the standard nationally and internationally for supply chain teaching, which the GWL Chair in Sustainable Supply Chains will continue to develop and refresh in line with the School's established focus on responsible business, ethics and triple bottom-line thinking.

Furthermore, this Chairship builds on several of the key priorities central to the University Academic Plan 2020-2025, including: 21st Century Learning: Diversifying Whom, What, and How We Teach; Knowledge for the Future: From Creation to Application; and Working in Partnership. Likewise, this Chair will align with Schulich's Integrated Research Plan in the areas of maintaining and intensifying research culture within and across the School's units and throughout the University; taking a student-centred approach to stakeholder engagement and the professional development and experiential education opportunities of students; and ensuring and enhancing the recognition and reputation of the School and its faculty and students and knowledge leadership locally, nationally and internationally.

The proposed Chair will contribute to an existing, Senate-approved teaching program and meets the terms of the York University Policy on Establishment and Designation of Research and Teaching Chairs, Professorships and Distinguished Fellowships. As such, I request the concurrence of APPRC in order that this matter may advance to the Board of Governors meeting scheduled for May 4, 2021.

SPRING 2021

# Points of Pride



*York University is a leading international teaching and research university and a driving force for positive change.*

## 1 YORK RESEARCHERS DRIVEN TO BOOST SAFE AND EFFICIENT VACCINATIONS IN CANADA AND US

A vaccination drive-through simulation developed by York Associate Professor Ali Asgary helps organizations in Canada and the US plan to vaccinate as many people as possible, as quickly as possible. Developed in collaboration with York's Laboratory for Industrial and Applied Mathematics, it is one of the best community models available.

## 2 THREE YORK RESEARCHERS RECEIVE MORE THAN \$9 MILLION IN FEDERAL INNOVATION RESEARCH FUNDING

Three major research projects at York University received more than \$9 million from the Canada Foundation for Innovation to support research in fundamental physics, biopharmaceutical development, and 3D tech for space exploration.

## 3 YORK UNIVERSITY'S JEAN AUGUSTINE CHAIR RECEIVES \$1.2 MILLION FROM RBC TO SUPPORT BLACK YOUTH

York received a new \$1.2 million donation from the RBC Foundation directly supporting the work of the Jean Augustine Chair in Education, Community and Diaspora which is held by well-known educator Professor Carl James. This generous donation builds on James' education initiatives for Black youth in priority areas, including student success, pathways to education, and support for Black scholars.



**Carl James**  
Professor, Jean Augustine Chair in Education, Community and Diaspora

## Board of Governors

### Memorandum

To: Board of Governors

From: Bobbi-Jean White, Chair, Finance and Audit Committee

Date: 4 May 2021

Subject: Faculty of Liberal Arts & Professional Studies Building Addition – Vari Hall

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### Recommendation:

**The Finance and Audit Committee recommends that the Board of Governors approve a \$31.3M budget, inclusive of HST, for the construction of a two-storey addition to the south wing of Vari Hall, for the Faculty of Liberal Arts & Professional Studies.**

### Background and Rationale:

The Faculty of Liberal Arts & Professional Studies (LA&PS) is the largest liberal arts Faculty in Canada, with over 23,000 graduate and undergraduate students, representing 43% of York's total undergraduate student body and 54% of York International undergraduate students. The Faculty has projected a 9% enrolment growth by 2023-24.

Despite being the largest Faculty, LA&PS has very low visibility on campus. The dispersal of departments and functions across multiple campus sites precludes LA&PS from having a distinctive precinct to the degree enjoyed by other Faculties. This lack of visibility, presence and a branded 'front door' for LA&PS hinders Faculty recognition, makes wayfinding challenging for students and visitors, and impedes the development of a sense of connectedness and community pride among students, faculty, staff and partners.

## Board of Governors

As LA&PS continues to grow and develop enrolments, program offerings, faculty complement, research activities, and student success support services, demand for space continues to increase. Additionally, the LA&PS objective of providing students with a quality academic and campus life experience is currently hindered by the lack of space for students to gather, study, socialize and connect with each other and their professors within LA&PS.

The 2012 Long-Term Space Plan for LA&PS prepared by York's Campus Planning Group projected a space shortfall by 2020 of 3,770 net assignable square metres (NASM) comprised of 1,400 NASM for academic department space and 2,400 NASM for student space.

The addition of a third and fourth floor to the south wing of Vari Hall will advance the priorities of LA&PS and that of the University Academic Plan in relation to 21<sup>st</sup> Century Learning, and Student Success. The additional floors will include new technology-enhanced, flexible teaching and learning spaces, research space, departmental offices, and student services and lounge spaces. The renovations will also include ripple effect improvements to the 2nd floor of Vari Hall, such as improved access and egress. In addition, these plans include proposed and future potential connections to the Ross Building, which align with the University's overarching master plans for the Keele campus.

### **Project Status and Next Steps:**

Architects were selected in November 2020 to conduct a feasibility study for the purposes of validating and refining the space program, confirming building code items and establishing a construction budget via a 3<sup>rd</sup> party Quantity Surveyor. The feasibility study concluded in April 2021. If the Board approves the project budget, Facilities Services will work with LA&PS to move the project forward, including developing and issuing a Request for Supplier Qualifications for potential architects. The projected completion of this project is July 2024.

The Land and Property Committee will review the proposed project at their meeting of May 3, 2021.

### **Financial Details:**

The project funding of \$31.3M, inclusive of HST, also includes design and construction contingencies of \$4.8M. The project will be funded by LA&PS Capital Reserve funds.

## Board of Governors

### Memorandum

To: Board of Governors

From: Bobbi-Jean White, Chair, Finance and Audit Committee

Date: 4 May 2021

Subject: Faculty of Education Building Renovations in Winters and McLaughlin Colleges

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### Recommendation:

**The Finance and Audit Committee recommends that the Board of Governors approve a \$7.46M budget, inclusive of HST, for Faculty of Education Renovations in Winters and McLaughlin College buildings.**

### Background and Rationale:

The Faculty of Education's administrative offices and student services are located across three floors in the Winters College building. Additionally, the Faculty utilizes several classrooms in the Winters College and McLaughlin College (MC) buildings for teaching/learning. If approved, the budget will be used to renovate and renew research space, Teacher Assistant workspace, an educational resource centre, student service space, faculty offices, and washrooms. In developing the renovation plans, 17 consultation sessions took place with students, faculty and staff. Feedback from the consultations is reflected in the proposed renovation plans, prepared by DPAI architecture. This will allow the Faculty to better maintain or better its 2<sup>nd</sup> in Canada rating.

The total renovated space is approximately 2,537.2 sm, with 2,348.4 sm, over three floors in Winters College, and 188.8 sm on the ground floor of McLaughlin College. Construction is proposed to begin later this year.

## Board of Governors

The following shows the breakdown by building, broken out between direct construction cost and other related non-construction costs.

<b>McLaughlin</b>	
Construction Cost	770,000.00
Soft Cost	470,000.00
HST (post rebate)	43,000.00
	<b>1,283,000.00</b>
<b>Winters</b>	
Construction Cost	4,720,000.00
Soft Cost	1,247,000.00
HST (post rebate)	210,000.00
	<b>6,177,000.00</b>
<b>Total Project Cost</b>	<b>7,460,000.00</b>

Responsibilities for funding are:

Faculty of Education	\$ 6.96 M
University Funds - Washroom Upgrades	\$ 0.50 M

# Board of Governors

## Memorandum

To: Board of Governors

From: Bobbi-Jean White, Chair, Finance and Audit Committee

Date: 4 May 2021

Subject: Long-Term Debt Policy

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### Recommendation:

**The Finance and Audit Committee recommends that the Board of Governors approve a new policy on long-term debt (Policy on Long-Term Debt), attached at Appendix A.**

### Background and Rationale:

York University has identified long-term debt as an integral component of the University's overall capital structure and its long-term asset management plan.

The University currently has approximately \$600M in debentures, with maturity dates ranging from 2042 to 2060. Other debts totaling less than \$2M will mature by 2023.

Long-term debt may be used as a source of financing for capital intensive projects and other critical needs, subject to approval by the Board of Governors.

The management and monitoring of debt is an important element in preserving credit worthiness. Long-term debt policies have been implemented at several peer Ontario universities, including Toronto, Ottawa, McMaster, Queens, and Guelph, to inform decisions around debt management. These peer universities have received debt ratings of A (high) or higher, by DBRS Morningstar, in their most recent ratings.

The policy outlines the philosophy for debt usage by the University and introduces specific metrics to assess overall debt capacity and debt affordability. The policy

## Board of Governors

framework also ensures that the University has a robust debt management and monitoring review process and informs future decisions around uses and limitations.

The policy was reviewed by the President and Vice-Presidents (PVP).

**Attached:** Appendix A - Policy on Long-Term Debt



## University Policy

### Long-term Debt Policy

<b>Topic:</b>	Long-term Debt Policy
<b>Approval Authority:</b>	Board of Governors
<b>Approval Date:</b>	May 4, 2021
<b>Effective Date:</b>	January 1, 2022
<b>Last Revised:</b>	

#### 1. Purpose

Capital projects and other university priorities require a combination of funding sources including internal reserves, external debt, gifts, future revenue streams, and grants. Debt is an integral component of the University's overall capital structure.

The purpose of this policy is to ensure that the University has a robust debt management and monitoring review process. The policy will provide credit rating agencies, the holders of University debt, and other external stakeholders, with comfort that the University has a disciplined approach to managing its long-term debt obligations.

This policy assists in ensuring that debt is used strategically to support the University's mission and strategy.

#### 2. Scope and Application

This policy applies to all long-term debt assumed by the University.

#### 3. Principles and Definitions

In order that present and future University administrations preserve the overall financial health and credit worthiness of the University, the University monitors and manages its long-term debt obligations, and develops and updates its strategy to retire or refinance its debt. The University may use debt to finance long-term capital projects, including ancillary capital projects.

The University will not use long-term debt to finance operations.

## 4. Policy

The University will maintain the following key financial ratios.

### 4.1 Debt per FTE (\$)

Total university debt ÷ FTEs  
Where total university debt includes

- Long-term debt (debentures, bank loans, long-term credit facilities)
- Public-private partnership obligations
- Capital leases
- Less: Sinking fund assets

And where FTEs is the number of enrolled students on a standard credit load basis

Maximum debt per FTE (\$) =12,250

### 4.2. Viability Ratio (Expendable resources to debt (%))

Expendable resources ÷ Total university debt  
Where expendable resources include:

- Internally restricted endowments
- Internally restricted net assets (excluding investment in capital assets and employee future benefits and other amounts which are committed to near term uses or otherwise restricted)
- Unrestricted surplus (deficit)

Minimum expendable resources to debt = 80%

### 4.3 Interest coverage (times)

Adjusted cash flow from operations + gross interest charges ÷ gross interest charges  
Where adjusted cash from operations is:

- Excess of consolidated revenue over consolidated expense (as reported)
- Amortization
- Less: other non-cash adjustments (before change in working capital)

An institution's interest coverage ratio (adjusted OCF-to-interest charges) is a key metric tracked by credit rating agencies to assess capacity to meet annual debt servicing requirements with cash generated from operations.

Minimum interest coverage (times) = 2.5 times

## 5. Surplus to revenue (five-year rolling average) (%).

The University’s consolidated operating balance in relation to its total revenue is a key measure of financial sustainability. The credit assessment of an institution is often assessed based on an historical five-year rolling average of this ratio, where the adjusted surplus (deficit) is the excess of consolidated revenue over consolidated expense (as reported), less any non-recurring/ one-time revenue or expenses.

Minimum Surplus-to-revenue (five-year rolling average) (%) = 2%

### Summary of Key Financial Ratios

Key Financial Ratio	Min/Max
Debt per FTE (\$)	< 12,250
Viability Ratio (%)	>80
Interest coverage (times)	>2.5
Surplus to revenue (five-year rolling average) (%)	>2

## 6. Monitoring

On an annual basis, the Finance and Audit Committee will review the University’s debt management, which will include the following:

- A review of the University’s debt rating, as provided by debt rating agencies
- A review of the University’s debt rating as compared to other universities
- The financial metrics outlined in this policy

## 7. Review

This policy will be reviewed biannually to consider changes in the University’s objectives and the external environment.

<b>Legislative history:</b>	
<b>Date of next review:</b>	January 2, 2024
<b>Policies superseded by this policy:</b>	
<b>Related policies, procedures and guidelines:</b>	

## Board of Governors

### Memorandum

To: Board of Governors

From: Bobbi-Jean White, Chair, Finance and Audit Committee

Date: 4 May 2021

Subject: Student System Renewal Program – Budget Adjustment

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### Recommendation:

**The Finance and Audit Committee recommends that the Board of Governors approve a budget increase of \$79M (from \$41M to \$120M), inclusive of HST, for the Student Systems Renewal Program (SSRP).**

### Background and Rationale:

In September 2018, the Board, through the Finance and Audit Committee, was updated on the University's Enterprise Architecture (UEA) - the foundation on which future projects can be built, and the creation of an integrated information technology (IT) environment that enhances the University's ability to approach and resolve complexities. York's IT ecosystem has many interfaces and dependencies.

In April 2019, the Board approved a \$41M budget for the acquisition and implementation of a new student information system (SIS), one component of the University's technology infrastructure. Since then, a more comprehensive review of the IT environment was undertaken and the University is now embarking on an ambitious SSRP, a 5-year journey to transform and radically improve how students design and navigate their learning journey, from application to graduation and beyond. This transformation will sustain our leadership position in higher education, attracting and supporting a broad diversified student body.

## Board of Governors

The implementation of the University's Service Excellence Program (SEP) and the SSRP will be the change catalyst to drive this transformation.

After significant planning, a new budget of \$120M, including a contingency of 27%, has been developed to cover the total costs of the Program that will propel the University's success on strategic goals over the next 15 years. The additional budget is needed for internal salaries, professional services, SSRP facilities, and the addition of the Division of Advancement and the School of Continuing Studies to the Customer Relationship Management (CRM) project scope.

Given the magnitude of this 5-year investment, an external validation was conducted by Nous Consulting in December 2020, which confirmed that the Program was heading in the right direction: objectives, scope, governance, benefits, controls, etc.

Appendix A attached provides an overview of the SSRP, including an executive summary, highlights from the Nous review, targeted outcomes and benefits, program governance and risk management and an update on the program.

### Cost Breakdown

Table 1 below shows the anticipated key milestones:

**Table 1: SSRP Spend Timing**

SSRP spent + signed contract commitments	Milestone	Date
\$11.81M + applicable taxes	Request remaining \$79M to reach the \$120M program costs	April 2021
\$9.46M* + applicable taxes	At start of CRM Implementation	September 2021
\$7.21M* + applicable taxes	At start of IAM Implementation and NextGen SIS Pre-Implementation and Award Cloud release	November 2021
\$91.63M* + applicable taxes	At start of Nextgen SIS Implementation	November 2023
<b>\$120M* Total + applicable taxes (rounded)</b>		

\*=Costs to be confirmed during initial negotiations

Table 2, below, shows the recommended 5-year budget to implement the entire program, compared to the original approved budget.

## Board of Governors

**Table 2: SSRP Recommended Budget Comparison**

Budget Line Item	Approved Budget April 2019	Budget Reallocation May 2020	Recommended Budget
NextGen SIS	\$26.00M	\$20.80M	\$19.59M
CRM	4.50	3.60	4.55
Institutional Reporting and Analytics	4.00	3.20	2.30
IAM	3.50	2.80	2.88
Integration Platform	2.30	1.84	0.55
Mobile and Portal	0.70	0.56	1.59
Data Definition and Management			1.76
<b>Sub-Total</b>	<b>\$41.00M</b>	<b>\$32.80M</b>	<b>\$33.22</b>
Contingency (20% to 27%)		8.20M	33.09
Program Office			52.36
Net Tax			1.44
<b>Total</b>	<b>\$41.00M</b>	<b>\$41.00M</b>	<b>\$120M(Rounded)</b>

The following are the CapEx key differences between the original 2019 Board approved budget and the recommended budget:

1. Added Program Office costs of \$52.36M for staffing and professional services (Architecture/PMQA)
2. Increased solution costs based on third-party business case (KPMG), from \$32.8M to \$33.22M, including School of Continuing Studies and Advancement in the CRM costs
3. Increased contingency from \$8.2M at 20% (on the original \$41M) to \$33.09M at 27% (on the \$120M)

### **Funding Amendment Recommendation:**

- Administration is recommending that the SSRP budget be increased by \$79M, to \$120M. The increase in budget is primarily driven by the need to second key personnel to the Program and to backfill roles to ensure continuity of operations while the Program is being implemented.
  - The \$41M original budget is funded as follows: \$29.5M from Reserve and \$11.5M from Debenture.
  - The proposal is to fund the remaining \$79M balance from the University Fund over the next four years.

## Board of Governors

- Approving the \$120M revised budget will prevent any potential delays once the initial \$41M Board approved budget is consumed by the Fit Gaps, Proof of Concept and implementation progress
- Approving the \$120M will avoid potentially under-budgeting the University's overall Operating Budget, particularly in 2023-25 by which time operating funds (University Fund) will be required to support the SSRP
- Regular SSRP updates will be provided to the Finance and Audit Committee until SSRP completion (targeted December 2025)

### SSRP Update

#### Current

The following are key program updates since the last report (February 2021) to the Finance & Audit Committee.

#### Program Management

- A joint service excellence website was launched with communications to senior leaders, faculty and staff (<https://www.yorku.ca/service-excellence/>).
- The SSRP and the Service Excellence Program (SEP) have obtained Provost/VPFA approval for the creation of a joint Organizational Change Management (OCM) Office. The OCM Office will coordinate OCM activities and effectively plan and manage the impact of both the SSRP and SEP programs on Faculties and Divisions.
- The February Risk Assessment (covering the period of October – December 2020) was completed and signed off by Program Executive Sponsors in March 2021.

#### Vendor Management

The SSRP continues to make progress with partner organizations.

- A 6-way Non-Disclosure Agreement (NDA) have been negotiated with all vendors involved in the SSRP (Deloitte, KPMG, KeyData, PWC, Nous Group, and Alithya). This will enable effective communications and collaboration between the vendors to support the SSRP.
- **Customer Relationship Management (CRM):** KPMG was selected as the Solution Integrator, and Microsoft Dynamics/KPMG Australia Higher Education Advancement was selected as the Solution Providers on December 4, 2020, conditional upon outcomes of the Fit Gap process. Initial negotiations were completed on December 21, 2020 with the sign-off and approval of the Master Services Agreement (MSA) and Fit Gap (confirmation that the proposed solution can fulfill the University's requirements and align with the University's Enterprise Architecture strategy) Statement of Work (SOW) with KPMG. The Fit Gap commenced March 22, 2021 and is targeted to complete July 2021.

## Board of Governors

- **Identity and Access Management (IAM):** KeyData was selected as the Solution Integrator, with industry leaders ForgeRock (Access Management), SailPoint (Identity Governance and Administration) and CyberArk (Privileged Access Management) selected as the Solution Providers on December 4, 2020, conditional upon outcomes of the Fit Gap/Proof of Concept (POC) process. Initial negotiations were completed in February 2021, consisting of an MSA, Fit Gap/Proof of Concept SOW and initial license pricing. The Fit Gap/POC commenced March 1, 2021 and is targeted to complete August 2021.
- **NextGen Student Information System (NextGen SIS):** A preferred proponent was recommended on December 8, 2020. Procurement was put on hold pending the results of the external review conducted by Nous which completed in December 2020. Based on the recommendations received by Nous, work resumed on NextGen SIS procurement in mid-January 2021. Deloitte was selected as the Solution Integrator and Oracle and SmartSimple were selected as the Solution Providers on January 23, 2021, conditional upon outcomes of the Fit Gap process. York was formally accepted into the Oracle Student Cloud Early Adopter program (which provides York a unique opportunity to contribute to the strategic direction of the product development) on March 22, 2021. Initial negotiations are targeted to complete in May 2021, consisting of the MSA, Fit Gap #1 SOW and initial license pricing. Fit Gap #1 is targeted to commence June 2021 and complete in October 2021.
- **Program Management Quality Assurance (PMQA):** A Request for Proposal for PMQA (independent third party to perform regular program health checks and provide proactive risk mitigation recommendations) was issued on July 6, 2020 and closed on August 14, 2020; presentations took place September 7-11, 2020. PwC was selected as the preferred proponent on November 17, 2020. Procurement was put on hold pending the results of the Nous review. Based on the recommendations received by Nous, work resumed on PMQA procurement in mid-January 2021. A service agreement was negotiated March 16, 2021. The PMQA kicked off on March 24, 2021.
- **Enterprise Architecture:** Work continues with Alithya (contracted by York on November 18, 2020) to assist in the creation of a target architecture vision to ensure alignment for all vendors and the planning of the necessary integrations and systems targeted for decommissioning.

## Board of Governors

### Program Budget

- As of March 2021, of the \$41M Board approved budget, there were expenditures of approximately \$3M, primarily for internal salaries, external professional services procured to support the acquisition process and architecture activities.

As the program completes the IAM, CRM and NextGen SIS Fit Gaps and final negotiations with the Solution Integrators, both the individual project plans and the integrated program plan will be refined.

# Student Systems Renewal Program Update

Board of Governors  
4 May 2021

CAROL MCAULAY, VP FINANCE AND ADMINISTRATION  
LISA PHILIPPS, PROVOST AND VP ACADEMIC

YORK 

# Executive Summary

The SSRP consists of a suite of seven projects:

1. NextGen Student Information System (SIS) which provides an integrated system that makes it easy for students, staff, and faculty to manage everything required from admissions to enrollment to graduation to continuous learning.
2. Customer Relationship Management (CRM) which provides a holistic view of prospective, current, and past students and their interactions with York and enables faculty and staff to communicate easily with each other and students.
3. Identity and Access Management (IAM) which enhances York's security and determines who needs access to which systems and enables that access.
4. Analytics and Reporting which provides faculty and staff data and reports they need to effectively do their jobs.
5. Mobile and Portal which provides a window into all student, faculty, and staff services as well as self-service options.
6. Data Definition and Management which determines and defines York data elements eliminating duplication and improves data quality and integrity.
7. Integration Platform which enables York systems to easily connect and interface with each other.

# Executive Summary Cont'd

- A budget of \$41M inclusive of HST and 20% contingency, was approved by the Board (April 2019) to fund the Solution Integrators, software, hardware, and some external resources.
- After significant planning, a new budget of \$120M, including a contingency of 27%, has been developed to cover the total costs of the Program that will propel the University's success on strategic goals over the next 15 years.
- The additional budget is needed for internal salaries, professional services, SSRP facilities, the addition of the Division of Advancement and the School of Continuing Studies to the Customer Relationship Management (CRM) project scope.
- Given the magnitude of this 15-year investment, an external validation was conducted by Nous Consulting in December 2020, which confirmed that the SSRP was heading in the right direction: objectives, scope, governance, benefits, controls, etc.
- The objective of this presentation is to provide the Finance & Audit committee with a Program update and recommend that the allocated SSRP budget be augmented by \$79M from \$41M to \$120M - to cover costs not originally included in the April 2019 approved budget.

# Nous SSRP External Review Summary

- There is a strong case for change - continue with the SSRP.
  - Aging legacy systems need to be replaced and represent significant risk to York.
  - A cloud-based Student Information System (SIS) solution is the right direction. Solution Providers are now focused on cloud-based instead of premise-based solutions. Although proceeding with a cloud-based SIS solution entails risks, no practical alternatives exist, and additional steps can be taken to mitigate the risks of being an early adopter.
- The SSRP scope is ambitious – reducing scope is not a viable option, options for doing less in parallel.
- The SSRP business outcomes and benefits should be clearly understood – link benefits to University Academic Plan (UAP) and specific business outcomes, have benefits realization plan address Return on Investment.
- SSRP governance is complex – consider centralizing IT and project intake and prioritization to enable effective decision-making which will improve SSRP efficiency.
- Enhance Board Finance and Audit Committee communications – this will enable better oversight, insight, and foresight.
- There should be multi-staged funding approvals – take into consideration the insights learned from Fit Gaps and final negotiations.

# Budget and Approval Highlights

- The SSRP has created a detailed budget and is rigorously tracking costs. The overall SSRP budget will be validated after the Customer Relationship Management (CRM), Identity and Access Management (IAM), and next generation student information system (NextGen SIS) Fit Gaps (confirmation that the proposed solution can fulfill York’s requirements and align with York’s Enterprise Architecture strategy) and final negotiations with the Solution Integrators.
- Administration is recommending that the SSRP budget be increased to \$120M. The increase in budget is primarily driven by the need to second key personnel to the program and to backfill roles to ensure continuity of operations while the SSRP is being implemented. After getting approval for the \$120M, the SSRP will return to each F&A Committee meeting with updates. The following are the anticipated key milestones.

SSRP spent + signed contract commitments	Milestone	Date
\$11.81M + applicable taxes	Request remaining \$79M to reach the \$120M program costs	April 2021
\$9.46M* + applicable taxes	At start of CRM Implementation	September 2021
\$7.21M* + applicable taxes	At start of IAM Implementation and NextGen SIS Pre-Implementation and Award Cloud release	November 2021
\$91.63M* + applicable taxes	At start of Nextgen SIS Implementation	November 2023
<b>\$120M* Total + applicable taxes (rounded)</b>		

- The SSRP has an approach for implementation contracting with Solution Integrators for release-based milestone-based payment schedules. This provides an additional level of delivery assurance for each implementation deliverable before funds are dispersed for the next phase. The release Statements of Work (SOW) will be negotiated after the Fit Gaps.

\* = Costs to be confirmed during final negotiations

# Budget and Approval Highlights Cont'd

Budget Line Item	Approved Budget April 2019	Budget Reallocation May 2020	Recommended Budget
NextGen SIS	\$26.00M	\$20.80M	\$19.59M
CRM	4.50	3.60	4.55
Institutional Reporting and Analytics	4.00	3.20	2.30
IAM	3.50	2.80	2.88
Integration Platform	2.30	1.84	0.55
Mobile and Portal	0.70	0.56	1.59
Data Definition and Management			1.76
<b>Sub-Total</b>	<b>\$41.00M</b>	<b>\$32.80M</b>	<b>\$33.22</b>
Contingency (20% to 27%)		8.20M	33.09
Program Office			52.36
Net Tax			1.44
<b>Total</b>	<b>\$41.00M</b>	<b>\$41.00M</b>	<b>\$120M(Rounded)</b>

The following are the CapEx key differences between the original 2019 Board approved budget and the recommended budget:

1. Added Program Office costs of \$52.36 for Staffing and Professional Services (Architecture/PMQA)
2. Increased solution costs based on third-party business case (KPMG) from \$32.8M to \$33.23M including School of Continuing Studies and Advancement in the CRM costs
3. Increased contingency from \$8.2M at 20% (on the original \$41M) to \$33.09M at 27% (on the \$120M)

# Outcomes and Benefits Highlights

- An SSRP Benefits Committee was established Aug 2020 identifying business outcomes and benefits by project. This committee is responsible for confirming, validating and realizing outcomes and benefits during various program phases.

Key SSRP Benefits	
<b>Enhanced Relationships and Stakeholder Engagement</b>	<ul style="list-style-type: none"> <li>• Enhanced personalized engagement</li> <li>• Increased student satisfaction as measured by internal surveys, NSSE, rankings, alumni engagement</li> <li>• Achieve our 21st Century Learning goals by connecting every student to opportunities for experiential education, transferable skills, global learning, micro-credentials and other flexible learning formats</li> <li>• Increased retention, persistence, graduation and post-graduation employment rates, aligned with UAP Priority on Access to Success, and SMA3 metrics</li> <li>• Enhanced brand reputation for York amongst its peers</li> </ul>
<b>Increased Efficiencies and Cost Savings</b>	<ul style="list-style-type: none"> <li>• Enhanced technology services and reduced cybersecurity risk</li> <li>• Reduced and automated transactions via enterprise systems</li> <li>• Reduced staff time through streamlined processes eliminating work around legacy, shadow and duplicate systems</li> <li>• Increased coordination and collaboration across departments</li> <li>• Simplified technology ecosystem</li> <li>• Improved client satisfaction with digital supports</li> </ul>
<b>Increased Revenues</b>	<ul style="list-style-type: none"> <li>• Enhanced recruitment and increase in market share of domestic applications</li> <li>• Increased international students (to 20%) in highly competitive market</li> <li>• Increased contributions from partners, alumni, donors, granting agencies</li> </ul>

- Explicit links between SSRP business outcomes and benefits, and the UAP and the 11 York Risks were identified to maximize the SSRP business outcomes and benefits and minimize risk to York (these will be confirmed and validated during the various program phases).
- A preliminary SSRP delivery roadmap has been developed with associated business outcomes and benefits identified. Validation will take place after each project Fit Gap and final negotiation to ensure alignment between the anticipated business outcomes and benefit realization, and the SSRP confirmed deliverables.

# SSRP Governance

- Regular program update meeting cadence in place: monthly President, Program Steering, Project Steering, Faculty and Division updates; biweekly Executive Sponsors updates; weekly Co-Chair updates, Regular Finance & Audit Committee updates.
- Executive Vendor Management governance meetings are being established with Solution Integrators and Solution Providers to manage the relationship, monitor the strategic roadmap progress and the project status.
- Master Services Agreements and SOWs with industry leading contract terms and conditions will be in place.
- Fit Gaps are underway for CRM and IAM and planned for Nextgen SIS to confirm that the proposed solutions can fulfill York's requirements and align with York's Enterprise Architecture strategy.
  - Completion of the Fit Gaps will result in the sequencing of the implementation in the most efficient and effective way mitigating risks and managing rework implications (extending timelines where appropriate).
- Pre-defined program gates and recommendation reports are in place with Provost and VPFA sign-off required for each phase: Preferred Proponent selection, initial negotiations, Fit Gap, final negotiations, end to end project implementation to close-out.
- A Formal Change Request Process is in place with SSRP Change Review Board for any new unforeseen requirements and/or changes:
  - CIO and University Registrar signoff required for any changes to scope, timeline, budget and resources
  - President, Provost and VPFA signoff required for any changes that require use of contingency budget

# SSRP Risk Management

Key Risks	Mitigation
<p><b>1. Significant organizational change management (OCM) required</b></p>	<ul style="list-style-type: none"> <li>• Hire an experienced Director OCM – recruitment underway</li> <li>• Executive level SSRP OCM AVP &amp; Chief Human Resources sponsorship and oversight</li> <li>• Established SSRP OCM, Communications, HR/LR Advisory Groups</li> <li>• Engaged senior level Faculty and Divisional Leaders and 60+ Program Champions to be liaisons within their communities</li> <li>• Initiated a joint SEP/SSRP OCM Office to coordinate two significant transformational programs and minimize disruption</li> <li>• Establish university governance to centralize IT functions and reduce fragmentation</li> </ul>
<p><b>2. Competing initiatives and the organizations capacity to resource day to day operations and key programs</b></p>	<ul style="list-style-type: none"> <li>• Assembled a high performance SSRP leadership team of technology and higher education seasoned professionals dedicated to the SSRP</li> <li>• Early communication of time required of Faculty/Division subject matter experts</li> <li>• Executive Sponsor leadership involvement in SSRP, SEP and other pan-University initiatives (e.g. Markham Centre Campus) to ensure minimal duplication of work and institutional awareness of people’s time and energy</li> <li>• Re-design of ITEX (institutional IT steering committee) into a broader institutional project portfolio planning committee</li> </ul>

# SSRP Risk Management Cont'd

Key Risks	Mitigation
<p><b>3. Cloud-based SIS maturity</b></p>	<ul style="list-style-type: none"> <li>• Accepted into Early Adopter program to influence product direction</li> <li>• Established senior executive Systems Integrator and Solution Provider relationships with quarterly strategic roadmap discussions</li> <li>• Regular project scorecard reviews for relationship and project progress</li> <li>• Master Services Agreement (reviewed and confirmed by Gartner, McCarthy Tetreault and York's Legal Counsel, Risk Management Offices) industry terms and conditions to mitigate cost impacts of any delays</li> <li>• Selected well-established Systems Integrators and Solution Providers</li> <li>• Conservative Fit Gap and release approach based on Solution Provider roadmap</li> </ul>
<p><b>4. Having three Systems Integrators</b></p>	<ul style="list-style-type: none"> <li>• Established the York Enterprise Architecture as the guiding principles for design and integration</li> <li>• Engaged an independent third party, Alithya, to oversee the SSRP architecture, design and integration and alignment with the York Enterprise Architecture</li> <li>• Master Services Agreement with terms on collaboration and integration with other SSRP partners</li> <li>• Established an Integration Committee for all Systems Integrators to meet regularly</li> <li>• All partners signed a six-way non-disclosure agreement (KPMG, PwC, Alithya, Deloitte, KeyData and Nous Consulting)</li> </ul>

# SSRP Risk Management Cont'd

- Quarterly Risk Assessments are underway which identify any new risks and report on risk mitigation progress on existing risk register - risk is mitigated, no change, risk is heightened.
- An independent Project Management Quality Assurance body (PwC) has been selected to objectively perform regular program health checks and provide risk mitigation recommendation. The engagement commenced March 24, 2021.
- The Oracle Student cloud-based NextGen SIS solution maturity is being actively monitored.
  - York was formally accepted into the Oracle Student Cloud Early Adopter program (which provides York a unique opportunity to contribute to the strategic direction of the product development) on March 22, 2021.
  - Most core features are already available and are in production in institutions in the US.
  - Oracle has a detailed roadmap and has been meeting their goals to date with four releases per year. The timeline for the NextGen SIS Fit Gaps and planned releases considers the Oracle roadmap while providing early benefits to York.
- As the SSRP completes the IAM, CRM and NextGen SIS Fit Gaps and final negotiations, the overall integrated plan will be refined to be cognizant of risks due to multiple parallel, interdependent streams of work.
- To mitigate risk a conservative approach is being adopted to tighten central IT coordination and extending implementation timelines as appropriate based on Fit Gap findings and recommendations.
- A joint SSRP/SEP Organizational Change Management Office has been initiated to provide a consistent approach to executive reporting, Human Resources, Labour Relations, communications and business outcome and benefit planning.

# Funding Amendment Recommendation

- Administration is recommending a budget amendment for Board approval for the revised total SSRP budget from \$41M to \$120M to cover costs not originally included in the initial ask
  - The \$41M original budget is funded as follows: \$29.5M from Reserve and \$11.5M from Debenture.
  - The proposal is to fund the remaining \$79M balance from the University Fund over the next four years.
- After getting approval for the \$120M budget, the SSRP will seek approvals from the President and Executive Co-Sponsors to release funding for individual project implementations at specific intervals with regular updates to Finance and Audit (see page 7).
- Approving the \$120M revised budget will prevent any potential delays once the initial \$41M Board approved budget is consumed by the Fit Gaps, Proof of Concept and implementation progress
- Approving the \$120M will avoid potentially under-budgeting the University's overall Operating Budget, particularly in 2023-25 by which time operating funds (University Fund) may be required to support the SSRP
- Regular SSRP updates will be provided to the F&A Committee until SSRP completion (targeted December 2025)

# SSRP Budget and Funding Detail

➤ The following is the summary of the SSRP's expenditure requests to the Board:

	By April 2021		By Sept. 2021		By Nov. 2021		By November 2023 (for remaining program costs)		Total
	Fit Gap	Implementation	Fit Gap	Implementation	Fit Gap	Implementation	Fit Gap	Implementation	
IAM	\$0.56M					\$2.32M			\$2.88M
CRM	1.57			\$2.98M					4.55
SIS	4.00					3.00		\$12.59M	19.59
Integration		0.55							0.55
Data				1.76					1.76
Reporting & Analytics								2.30	2.30
Mobile and Portal								1.59	1.59
Program Office	5.13		4.73		1.89		40.61		52.36
Net Taxes							1.44		1.44
Contingency (27%)							33.09		33.09
Time Period Total	11.81		9.46		7.21		91.63		\$120.11M
Cumulative Total	\$11.81M		\$21.27M		\$28.48M		\$120.11M		

\$33.22M

# SSRP Budget and Funding Detail Cont'd

➤ After getting approval for the \$120.11M budget, the SSRP will return to each F&A Committee with updates. The following are the anticipated key milestones: CRM (August 30, 2021), IAM (October 22, 2021) and NextGen SIS (November 2023).

- The \$120.11M budget amount will be confirmed after completion of the Fit Gaps and final negotiations for CRM, IAM and NextGen SIS (November 2023)
- In April 2021, the SSRP would have spent and committed to signed contracts for \$11.81M + applicable taxes

Milestone	Cost
IAM Fit Gap and Proof of Concept	\$0.56M
CRM Fit Gap	1.57
NextGen SIS Fit Gaps	4.00*
Integration Platform	0.55*
Program Office to date	5.13
TOTAL	\$11.81M*

\* = Costs to be confirmed during initial negotiations

➤ In September 2021 – CRM Fit Gap and Final Negotiations will conclude

- At this point the SSRP would have spent and committed to signed contracts for an additional \$9.46M\* (cumulative \$21.27M\*) + applicable taxes

Milestone	Cost
Costs up to April 2021	\$11.81M
CRM Implementation	2.98*
Data Implementation	1.76*
Incremental Program Office costs until end of September 2021	4.73*
TOTAL	\$21.27M*

\* = Costs to be confirmed during final negotiations

# SSRP Budget and Funding Detail Cont'd

- In November 2021 –IAM Fit Gap - Proof of Concept and final negotiations and NextGen SIS Phase 1 Fit Gap and Pre-Implementation and Award Cloud Negotiations would be concluding
  - At this point the SSRP would have spent and committed to signed contracts for an additional \$7.21M\* (cumulative \$28.48M\*) + applicable taxes

Milestone	Cost
Costs from September 2021	\$21.27M*
NextGen SIS Pre-Implementation and Award Cloud Release	\$3.00M*
IAM Implementation	\$2.32M*
Incremental Program Office costs until end of November 2021	\$1.89M*
TOTAL	\$28.48M*

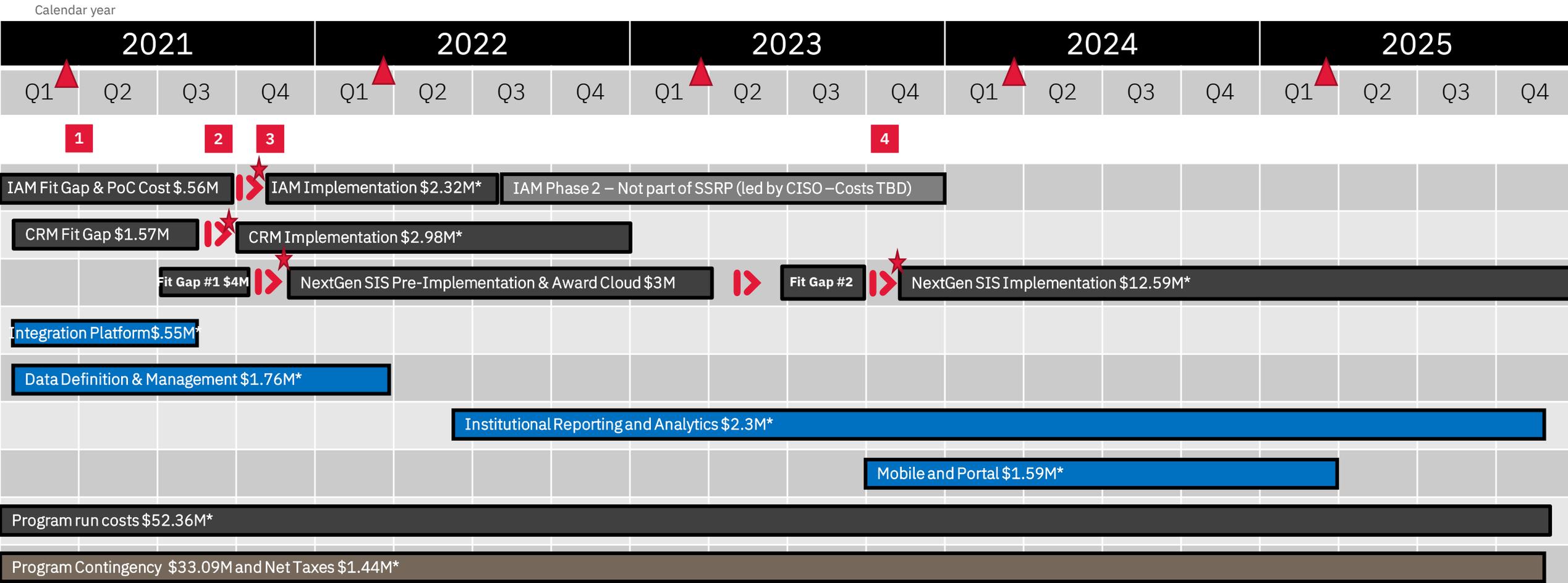
\* = Costs to be confirmed during final negotiations

- In November 2023 –NextGen SIS Phase 2 Fit Gap and final negotiations would be concluding
  - At this point the SSRP would have spent and committed to signed contracts up to an additional \$91.63M\* (cumulative \$120.11M) including applicable taxes and contingency

Milestone	Cost
Costs from November 2021	\$28.48M*
NextGen SIS Implementation	\$12.59M*
Reporting	\$2.30M*
Mobile and Portal	\$1.59M*
Incremental Program Office costs until the end of the program	\$40.61M*
Net taxes	\$1.45M*
Contingency	\$33.09M*
TOTAL	\$120.11M*

\* = Costs to be confirmed during final negotiations

# SSRP Budget and Funding Detail Cont'd



## Legend

\* = Costs to be confirmed during final negotiations

Note: The above numbers do not include Net Taxes

▶ = SSRP Program Gate    ★ = Potential SSRP Project Release SOW signoffs

16 ▲ = Annual Program Office funding

1 April 2021 - Board Approval on remaining SSRP budget for \$79M

2 September 2021 – F&A update on CRM Implementation

3 November 2021 – F&A update on AM Implementation, NextGen SIS Pre-implementation & Award Cloud

4 November 2023 – F&A update on NextGen SIS release SOWs

# SSRP Budget and Funding Detail Cont'd

➤ The following is the SSRP expenditure breakdown by Fit Gap and Implementation costs:

	Fit Gap	Implementation	Total
IAM	\$0.56M	\$2.32M	\$2.88M
CRM	1.57	2.98	4.55
SIS	4.0	15.59	19.59
Integration		0.55	0.55
Data		1.76	1.76
Reporting		2.30	2.30
Mobile and Portal		1.59	1.59
Program Office	32.60**	19.76	52.36
Net Taxes		1.44	1.44
Contingency (27%)			33.09
<b>Total</b>	<b>\$38.73M</b>	<b>\$48.29M</b>	<b>\$120.11M*</b>

\*= Costs to be confirmed during final negotiations, \*\* = Costs for Program Office until November 2023

Note: The Fit Gaps and final negotiations are targeted to conclude in FY 2023/24

The Program is estimated to complete by FY 2025/26, however the SSRP has been asked to extend timelines where possible to mitigate risks.

# SSRP Budget and Funding Detail Cont'd

➤ The following is the SSRP Program Office Breakdown:

Item	5 Year Program Totals (CapEx Only)
Architecture and Professional Services	\$6.29M
Salaries and Benefits (CPM, TCM, YUSA)	44.02
SSRP staff development, equipment and facilities	2.05
<b>Program Office Total (excludes net taxes)</b>	<b>\$ 52.36M</b>

# SSRP Project Specific Benefits

## Customer Relationship Management (CRM)

- Enables faculty and staff to communicate easily with each other and students
- Consolidates data on the full learner/academic life cycle; unified identities for a person interacting with York (for example one person who may be a student, staff, faculty member, donor, or alumni)
- Improves engagement with learners throughout the learner/academic lifecycle from prospect, admissions to alumni to continuous learner
- Central point for all interactions and engagement throughout the lifecycle, from recruitment to application to transition and ultimately graduation
- Provides Funding and Giving solution for Advancement Services

## Example of Deliverables:

- Staff serving students will have access to all information about previous interactions and relevant items from the student record to understand the full history
- Increase to 20% international student market share
- Reduced wait times and transparency on request statuses
- Consolidated information about every “identity” a person has on campus e.g. knowing that a student is also a staff member; so that communications and services can be tailored
- Consistent set of tools for recruiters such as event management and measurements of how effective each event was in driving applications or conversions
- Ensure a 360-degree view of the student leading to a more holistic perspective of student and alumni engagement, ultimately deepening relationships with alumni and donors

# SSRP Project Specific Benefits Cont'd

## Next Generation Student Information System (NextGen SIS)

- Provides a holistic view of prospective, current and past students and their interactions with York
- Improves service experience for Students, Faculty and Staff
- Improves automated processes and student data management from admissions to graduation
- Improves sustainability through a cloud-based platform, automation, and reduces rework and data manipulation
- Provides personalized engagement to improve student retention, academic and financial choices (e.g., student dashboard with key dates/actions, nudges proactively delivered)
- Enhances BI, insight-based advising, Data Analytics and Government Reporting
- Integration Platform - seamless integrations with all York systems that require student data

## Example of Deliverables:

- Online study plans which can not only support students in understanding their path towards completion but also be used for course planning in faculties
- Enrolment tools to support a variety of methods from straight-forward to more complex enrolments for blocks of courses; tools such as automated waiting lists and better notifications for students about pre-requisites and repeated attempts
- Targeted recruiting and admissions and follow-up supports to improve student retention
- Develop flexible learning formats including micro-credentials that will tap into new markets for short-term and lifelong learning
- Enabling students to receive targeted information on awards and scholarships for which they are eligible
- Tracking of progress towards milestones in graduate programs to allow proactive support by supervisors
- Reporting that will help faculties understand what is driving budget performance

# SSRP Project Specific Benefits Cont'd

## Identity Access Management (IAM)

- Determines who needs access to which systems and enables that access
- Provides enterprise-wide security policy, modern, integrated security platform
- Enables stronger, consistent security, reduced risk, and more efficient security administration
- Simplifies critical system access for Faculty and Staff
- Extends beyond SSRP to integrate all York applications

## Data and Reporting

- Determines and defines York data elements eliminating duplication and improving data integrity
- Catalyst for enterprise data standards and data governance
- Enables improved data management, security requirements, analytics
- Provides platform for improved data accuracy and integrity to reduce migration risks and optimize implementation and run costs
- Improves reporting platform and integrated, quality data
- Improves analytics and decision making to enable UAP
- Reduces manual transactions and improves data management
- Enables a data-driven approach including data governance to ensure a shared understanding of data, and full data integrity as York migrates to new systems and tools

# SSRP Benefits Overview – Potential Outcomes and Timelines

To Be confirmed during Fit Gaps and Final Negotiations

Timeframe	Project Outcome	Project	
<b>Late 2021 – 2022</b>	Clean Constituent Data	CRM – Release 1	Data & Reporting
	Advancement – Alumni and Donor Management		CRM – Release 1
	School of Continuing Studies Functionality		CRM – Release 1
	Student Financial Profile		CRM – Release 1
	Awards Search and Application		CRM – Release 1
	Applicant Services Portal (MyFile)		CRM – Release 1
	Security Platform Released		IAM – Release 1
<b>2023</b>	Graduate Student Application		CRM – Release 2
	Undergraduate Student Direct Application		CRM – Release 2
	Osgoode Law (JD) Applicant Decision Process		CRM – Release 2
	Business owner transition of CRM		CRM – Release 2
<b>2023-25</b>	Student Financial Aid		NextGen SIS – Release 1
	Student Records and Enrollment		NextGen SIS – Release 2
	Student Account and Financials		NextGen SIS – Release 2
	Student Registration		NextGen SIS – Release 2
	Integrate NextGen SIS with CRM		CRM - – Release 3
	Integrate NextGen SIS with IAM		IAM – Release 2
	Analytics & Gov't Reporting		NextGen SIS – Release 3
	Graduate Milestones		NextGen SIS – Release 3
	Undergraduate Study Plan and Degree Audit		NextGen SIS – Release 3
	Advisement and Academic Status		NextGen SIS – Release 3
	Business owner transition of NextGen SIS		NextGen SIS – Release 3



# SSRP Benefits Overview – UAP Alignment

## UAP Objective

### 21<sup>st</sup> Century Learning: Diversifying Whom, What and How We Teach

The delivery options can only be as innovative and flexible as the systems that support it. As such, NextGen SIS is a necessary condition for realizing the goal of providing innovative learning and curriculum delivery. Along with a CRM, it will contribute to creating virtual capacity to support innovations in higher education

### From Access to Success: Next Generation Student Supports

A NextGen SIS combined with a relationship management platform CRM will multiply and systematize the wide range of touch points that are essential to creating an exceptional student experience. With an institution-wide CRM, prospective and current students will have the capability to receive timely and targeted information throughout the student life cycle. Building on a new and enhanced data architecture, descriptive and predictive analytics will provide the ability for York to have deeper insight into students' individual situations, allowing for personalized and proactive feedback and other data-driven decisions that will enhance student experience and success.

## SSRP Examples

- NextGen SIS to support innovative curriculum such as collaborative or joint programs, fellowships, experiential learning
  - Enable flexible meeting patterns for delivering courses of different types of lengths and durations
  - CRM to connect lifelong learners to continuing education and other opportunities relative to their interests
  - Connect students to alternative format options such as online and blended course offerings as well as highlighting course topics such as Black Canadian Studies, Indigenous Studies, Gender Studies, etc.
  - Staff will develop new methods and skills through knowledge transfer and training programs to adopt new technology
- 
- Next Generation tools to ease the process of accessing awards, scholarships, government financial aid and managing financials
  - Milestone information and tracking for graduate students to assist their planning
  - Online study plans students may follow to enroll and track their progress towards degree completion
  - CRM tools to help link students to the advice they need
  - Business intelligence tools to provide more insights on our students
  - Increased personalization capabilities to meet the needs of a diverse student population

# SSRP Benefits Overview – UAP Alignment Cont'd

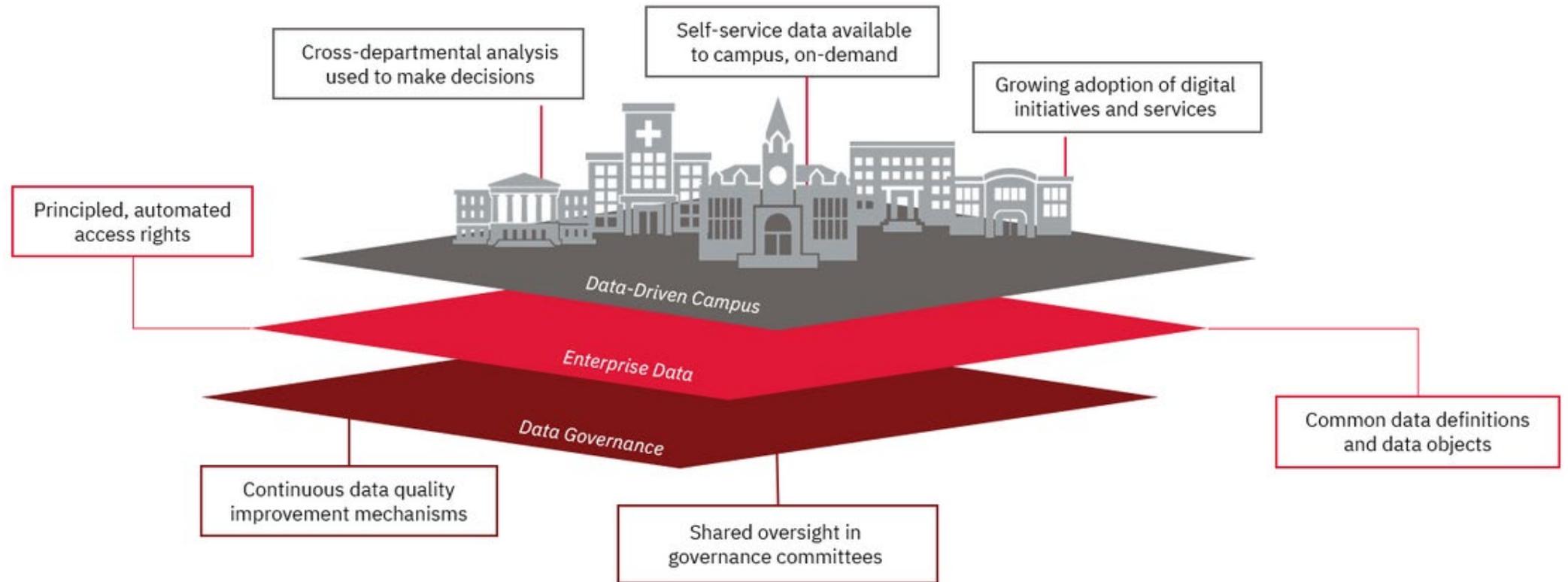
UAP Objective	SSRP Examples
<p><b>Advancing Global Engagement</b>            A CRM will facilitate relationships with a globally connected community of students, faculty, partners and alumni. It will provide the capability to track and ensure sustained relationship cultivation, research collaboration, active communication with the goal of expanding York’s global reach.</p>	<ul style="list-style-type: none"> <li>• CRM to manage a globally connected community of students, partners and alumni</li> <li>• Sustainability through using tools to make processes more efficient, less paper-based, and reducing our technology footprint</li> <li>• CRM will facilitate connecting students to global learning and research opportunities</li> </ul>
<p><b>Working in Partnership</b>            The CRM will enable York to connect virtually to our community, engage them in meaningful interactions and understand the full scope of relationships our community has with York. Collaboration with industry, government, alumni, donors, and community partners will be more efficiently managed through a CRM, setting the conditions for strong partnerships.</p>	<ul style="list-style-type: none"> <li>• SSRP will engage solution integrators and technology providers to partner with York on building world-class student services and management tools</li> <li>• CRM will identify connections between alumni, employers and students creating connections to different experiential learning opportunities in the GTA and around the world</li> </ul>
<p><b>Living Well Together</b>            The CRM will provide the capability to enhance our virtual presence and create new opportunities for external groups to connect with the University. In particular, it will enable better interactions with alumni through specialized capabilities, increasing capacity for alumni to become friends, donors, mentors and otherwise engaged partners.</p>	<ul style="list-style-type: none"> <li>• Constituent Profiles in CRM to understand all the ways individuals engage with York, as students, faculty, staff, alumni and donors</li> <li>• Insights through Business Intelligence and Analytics to evaluate our efforts to build an engaged, inclusive community</li> <li>• Data and Reporting will provide staff and faculty with timely and relevant information to do their job in partnership</li> <li>• Enhanced security in IAM will build a trust foundation on which community members can reliably interact</li> </ul>

# SSRP Benefits Overview – York 11 Risk Mitigation

<p>1) Labour Relations</p>	<p>Integration between SIS and the resource management systems will be enhanced and minimize delays (CUPE and/or YUFA/OHFA teaching assignments and/or payments). Improved service satisfaction by addressing cumbersome processes.</p>	<p>5) Campus Experience</p>	<p>Portals to direct students to the right staff for their needs and self-service tools to handle more routine requests will improve the quality of interactions.</p>	<p>9) Financial Sustainability</p>	<p>Enable the use of systems to reduce administrative, low value work and redirect resources to strategic priorities such as support for increase revenue generation.</p>
<p>2) Academic Quality</p>	<p>Connect students to learning and co-curricular options that align with their personal goals.</p>	<p>6) Information Security and Management</p>	<p>Improved data definitions, data quality and integrity. Improved identity and security management, to minimize exposure to information security breaches.</p>	<p>10) Faculty and Staff</p>	<p>Enhanced tools and a robust platform to engage with students and provide innovative and flexible pathways and outcomes to learning.</p>
<p>3) Change and Innovation</p>	<p>Enables more flexibility and agility in responding to strategic priorities and changing or enhancing systems and processes on an ongoing basis.</p>	<p>7) Service Delivery</p>	<p>Streamline and optimize processes to support service delivery targeted to students and staff. Will provide the ability to optimize delivery through the learner life cycle.</p>	<p>11) Institutional Culture and Identity</p>	<p>Improved branding and public image through unity, collaboration and integration.</p>
<p>4) Government</p>	<p>Enables agility to respond to government policy changes.</p>	<p>8) Enrolment</p>	<p>Enhance information around enrollment and support a sustainable and quality level of enrollment.</p>		

# SSRP Program Architecture - Towards a Digital University

A **data driven campus** provides university technological advancements to refine the quality of classroom instruction and student learning. In other words it helps in creating a better student experience.



# SSRP Program Architecture Cont'd

➤ **A modern architecture that enables IT strategic priorities**

## Integration Platform & Services

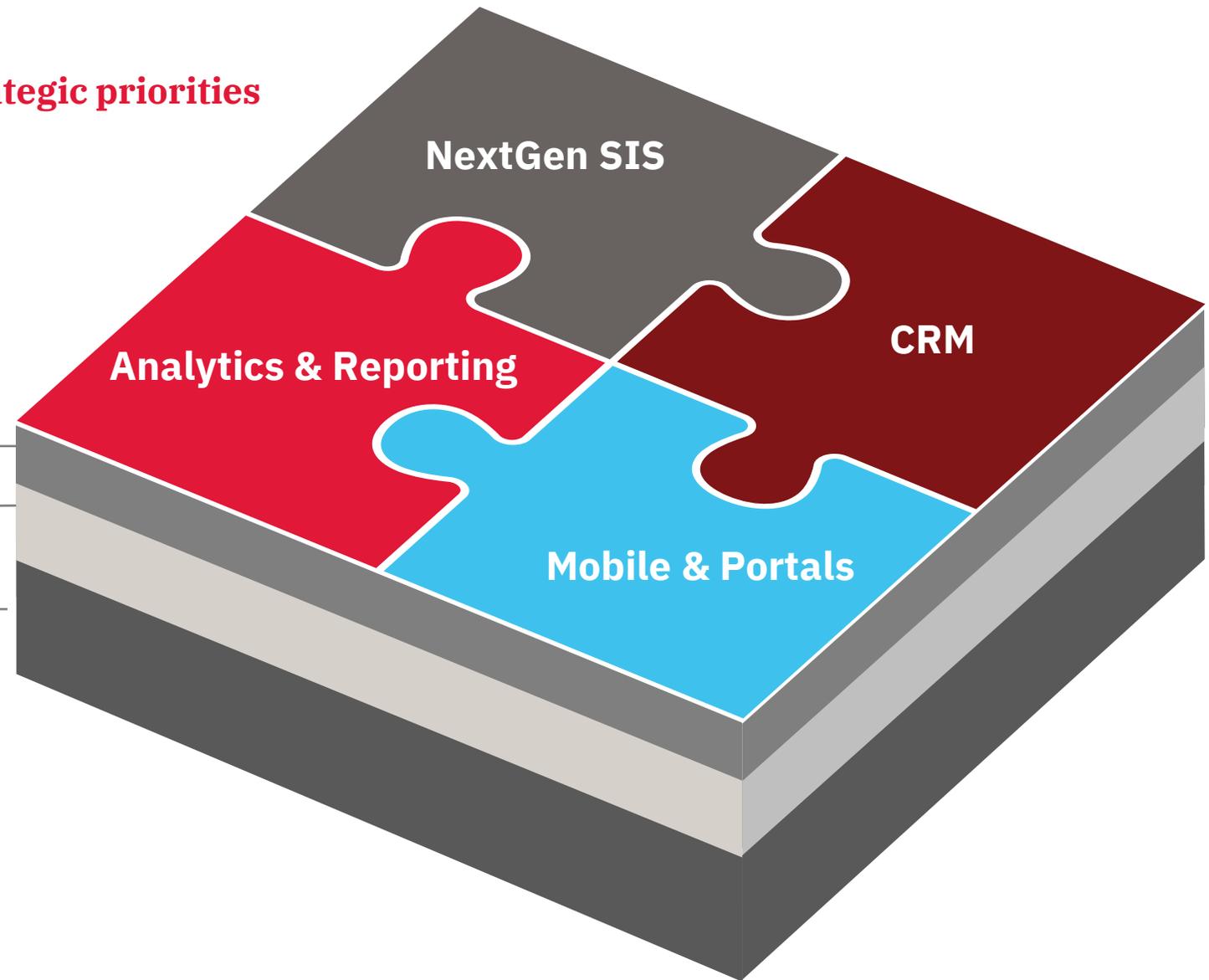
- Enables agility and innovation
- Reusable components
- Rapidly load and update big data

## Master Data Services

- Master data and reference data
- Data management and quality that evolves with the solutions
- Modern institutional reporting services

## Identity & Access Management

- Reduced wait times for access
- Administrative efficiency in security management



## Board of Governors

### Memorandum

To: Board of Governors

From: Konata Lake, Chair, Governance and Human Resources Committee

Date: 4 May 2021

Subject: Human Rights Policy and Procedures

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### Recommendation:

**The Governance and Human Resources Committee recommends that the Board of Governors approve a new human rights policy (*Human Rights Policy and Procedures*) and repeal of the existing Racism (*Policy and Procedures*). Appendix A attached.**

### Background and Rationale:

In November 2019, students and other community members were involved in a protest of a permitted York University student organization event. The event participants and protestors demonstrated behaviour that required intervention from the University's Community Safety Department. In response to public inquiry and demand to address the November 2019 event, the University appointed the Honourable Thomas A. Cromwell C.C., retired Supreme Court of Canada Justice, to conduct an independent review of the event.

Justice Cromwell's review resulted in a series of recommendations to York University, one being that York University strengthen its policy framework in relation to harassment and discrimination. Specifically, Justice Cromwell noted that the Racism (Policy and Procedures) (1995) was the closest the University had to a human rights policy, but that it was not providing sufficient guidance to the community. In response to this recommendation, and in broad consultation with community members, the

## Board of Governors

University drafted the proposed new *Human Rights Policy and Procedures* to replace the existing *Racism (Policy and Procedures)*.

### **Drafting Framework and Consultation**

The proposed *Human Rights Policy and Procedures* uses a compliance based model and conforms with all of the legally mandated protections in the *Ontario Human Rights Code*, adapted to the specific needs and conditions of the University. The new policy was designed to work alongside existing procedures and commitments of York University, including those that have been collectively bargained or created to satisfy other statutory obligations, including the *Occupational Health and Safety Act* and the *Ministry of Training, Colleges, and Universities Act*.

The draft policy was reviewed by key stakeholders, including student leaders, community support services, labour relations, human resources, legal counsel, the President's Advisory Committee on Human Rights (and its sub-committees), and many others. The document was also reviewed by the President, Provost, Vice Presidents and Vice Provosts.

Feedback from these consultations has been incorporated into the policy, where appropriate, including adding a provision to address complaints against the Centre for Human Rights, Equity and Inclusion; adding a provision to permit University-initiated complaints; extending harassment protection to services; and a few other minor amendments. Based on the feedback received during the consultations the University recognizes that educational resources will be important to the implementation of this policy, particularly with the aim to make human rights concepts more accessible. For example, companion guides can be prepared to aid the community in understanding and interpreting the language of the policy. One example to draw on is the work of the Ontario Human Rights Commission in providing plain-language interpretive resources, as well as be guided by the feedback received throughout consultations.

The proposed new *Human Rights Policy and Procedures* is attached.



# University Policy/Procedures/Guidelines

## Human Rights Policy and Procedures

<b>Topic:</b>	Harassment and Discrimination
<b>Approval Authority:</b>	Board of Governors
<b>Approval Date:</b>	May 4, 2021
<b>Effective Date:</b>	June 15, 2021
<b>Last Revised:</b>	

### 1. Purpose

- 1.1 Whereas York University recognizes the dignity and worth of every member of the York University community (“Community Member”);
- 1.2 And whereas York University seeks to provide for equal rights and opportunities without discrimination that is contrary to law;
- 1.3 And whereas York University has as its aim the creation of a climate of understanding and mutual respect for the dignity and worth of each Community Member so that each person feels a part of York University and able to contribute fully to the development and well-being of the York University community.

### 2. Scope and Application

- 2.1 In this *Human Rights Policy* (hereinafter this “Policy”), York University affirms its commitment to human rights, and, in particular, to the principle that every member of the York community has a right to equal treatment in services (including education, facilities, or, accommodation (hereinafter “housing”), contracts, and employment, without harassment or discrimination on the grounds prohibited by the Ontario *Human Rights Code*, as amended. This *Policy* maintains the prohibition on discrimination or harassment on the basis of race or colour from any preceding policy.

2.2 Any Community Member who infringes a right of any other Community Member which is protected by the Ontario *Human Rights Code*, as amended, shall be subject to complaint procedures, remedies, and sanctions set out in the University's policies, codes, regulations, and collective agreements as they exist from time to time, and to such discipline (up to and including suspension, expulsion or discharge) or such other remedies as may be appropriate in the circumstances.

2.3 To the extent that any other York University policy, code, regulation, or collective agreement provides any greater right or benefit than provided by this Policy or the *Human Rights Code*, nothing in this Policy derogates from any such greater right or benefit. To the extent that any other York University policy, code, regulation or collective agreement provides any lesser right or benefit, this Policy will take precedence. Related York University policies are listed at the end of this document.

2.4 This policy applies to:

- a. Those persons involved in conducting York University affairs including:
  - i. All registered York University students;
  - ii. York University student groups and their members;
  - iii. York University employees including retired or emeritus employees;
  - iv. Volunteers;
  - v. Contract workers;
  - vi. Members of the Board of Governors and the Senate, and
  - vii. Employees of organizations representing the University while they are either on or using University property or participating in University programs and activities, on or off the University's premises.
- b. This policy applies in the following contexts:
  - i. where a Community Member experiences the infringement of a right under this Policy that is alleged to have occurred either on University premises or at a University-related event on- or off-University premises; and

- ii. to virtual environments such as any form of electronic or social media where there is a substantial connection to University programs or activities.

### 3. Definitions

In this Policy,

**“Age”** means an age that is 18 years or more, except in respect of housing where the Community Member is a person who is 16 or 17 and has withdrawn from parental control.

**“Community Members”** means students, staff, and faculty of York University.

**“Disability”** is defined in accordance with the Human Rights Code, as amended.

**“Discrimination”** is defined in accordance with the relevant policy, code, regulation, or collective agreement applicable to the person(s) or incident(s) at issue.

“Discrimination” is established in the Ontario Human Rights Code as the absence of equal treatment. “Equal” is defined in the Code as having its plain and ordinary meaning, but,

...subject to all requirements, qualifications, and considerations that are not a prohibited ground of discrimination.

**“Harassment”** is defined in accordance with the relevant York University policy, code, regulation, or collective agreement applicable to the person(s) or incident(s) at issue. The definition of harassment from the Ontario Human Rights Code, as amended, also applies to Community Members in respect of services, housing, and employment:

Harassment means engaging in a course of vexatious comment or conduct that is known or ought reasonably to be known to be unwelcome.

**“Family status”** means the status of being in a parent and child relationship.

**“Marital status”** means the status of being married, single, widowed, divorced, or separated, and includes the status of living with a person in a conjugal relationship outside marriage.

**“Prohibited Grounds of Discrimination”** are those generally immutable personal characteristics, group memberships, or identities, upon which basis it is prohibited to

treat Community Members in an unequal way and/or to harass Community Members, as listed in the Ontario Human Rights Code, as amended:

a. Services, Goods, Facilities

race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, gender identity, gender expression, age, marital status, family status, or disability;

b. Employment

race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, gender identity, gender expression, age, record of offences, marital status, family status, or disability;

c. Housing

race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, gender identity, gender expression, age, marital status, family status, disability, or the receipt of public assistance.

**“Record of offences”** means a conviction for an offence in respect of which a pardon has been granted under the Criminal Records Act (Canada) and has not been revoked, or an offence in respect of any provincial enactment.

**“Sex”** as one of the Prohibited Grounds of Discrimination includes the right to equal treatment without discrimination because a person is or may become pregnant.

**“Sexual harassment”** is defined and prohibited by York University’s Policy on Sexual Violence. Sexual harassment is also defined and prohibited by the Ontario Human Rights Code.

**“Spouse”** means the person to whom a person is married or with whom the person is living in a conjugal relationship outside marriage.

## **4. Policy**

### **4.1 Services.**

- a. Community Members have the right to equal treatment with respect to services (including education) and facilities offered by York University without discrimination or harassment on any of the applicable Prohibited Grounds of Discrimination.

## 4.2 Housing

- a. Community Members who are eligible for York University housing have the right to equal treatment with respect to such housing without discrimination on any of the applicable Prohibited Grounds of Discrimination.
- b. Community Members who occupy housing provided by York University also have a right to freedom from harassment by the University or by an occupant of the same building on any of the applicable Prohibited Grounds of Discrimination.

## 4.3 Employment

- a. Community Members have the right to equal treatment with respect to employment at York University without discrimination on any of the applicable Prohibited Grounds of Discrimination.
- b. Community Members who are employees also have the right to be free from harassment in the workplace by the employer or agent of the employer or by another employee because of any of the applicable Prohibited Grounds of Discrimination.

## 4.4 Sexual Harassment

- a. Community Members who occupy York University housing have the right to be free from harassment because of sex, sexual orientation, gender identity, or gender expression by the University or by an occupant of the same building.
- b. Community Members employed by York University have a right to freedom from harassment in the workplace because of sex, sexual orientation, gender identity, or gender expression by their employer or agent of the employer or by another employee.
- c. Community Members have the right to be free from a sexual solicitation or advance made by a person in a position to confer, grant, or deny a benefit or advancement to the Community Member where the person making the solicitation or advance knows or ought reasonably to know that it is unwelcome.
- d. Community Members have the right to be free from reprisal or a threat of reprisal for the rejection of a sexual solicitation or advance where the reprisal is made or threatened by a person in a position to confer, grant or deny a benefit or advancement to the Community Member.

#### 4.5 Prohibitions

- a. No Community Member shall infringe or do, directly or indirectly, anything that infringes a right of any other Community Member under this Policy, or the Ontario Human Rights Code, as amended.
- b. Every Community Member has a right to claim and enforce their rights under this Policy, to institute and participate in proceedings under this Policy or other appropriate proceedings and to refuse to infringe a right of another person under this Policy, without reprisal or threat of reprisal for so doing.

#### 4.6 Deemed Discrimination

- a. A right of a Community Member to access services, housing, or employment provided by York or another Community Member is infringed where a requirement, qualification, or factor exists that is not discrimination on a prohibited ground but that results in the exclusion, restriction, or preference of a group of persons who are identified by a prohibited ground of discrimination and of whom the person is a member, except where,
  - i. the requirement, qualification or factor is reasonable and bona fide in the circumstances; or
  - ii. it has been legislated in the Ontario Human Rights Code that to discriminate because of such ground in the specified circumstances is not an infringement of a right.
- b. A requirement, qualification, or factor is not reasonable and bona fide in the circumstances unless the needs of the group in which the Community Member is included cannot be accommodated without undue hardship to be incurred in accommodating those needs, considering the cost, outside sources of funding, if any, and health and safety requirements, if any.

#### 4.7 Special Programs, Affirmative Action, etc.

- a. A right under this Policy is not infringed by the implementation of a special program (also known as “affirmative action”) which is designed to relieve hardship or economic disadvantage or to assist disadvantaged persons or groups to achieve or attempt to achieve equal opportunity or that is likely to contribute to the elimination of the infringement of rights under this Policy.

#### 4.8 Enforcing Rights

- a. A Community Member may seek to enforce their rights under this Policy as against any other Community Member through the procedures provided in the relevant policies, codes, regulations, and collective agreements of York University as they exist from time to time (see Appendix “A”) as may be applicable to that Community Member or the incident(s) at issue.
- b. In the absence of any other applicable procedure, a Community Member may make a formal complaint to the Centre for Human Rights, Equity, and Inclusion, according to the Procedure for Dealing with Complaints of Harassment and Discrimination, attached hereto as Appendix “B.”
- c. Community Members who make a complaint against another Community Member in bad faith or for a vexatious purpose may be subject to disciplinary action.

## **5. Roles and Responsibilities**

- 5.1 The Vice-President of Equity, People, and Culture or their delegate is authorized to establish and amend procedures, protocols, or guidelines pursuant to this Policy.
- 5.2 The Executive Director of the Centre for Human Rights, Equity, and Inclusion will implement and apply such procedures, protocols, or guidelines as are amended from time-to-time.
- 5.3 Any potential Complaint involving the Centre for Human Rights, Equity, and Inclusion or any of its staff shall be referred to the office of the Vice-President for Equity, People, and Culture, whose office shall assume the roles otherwise performed by the Centre in processing Complaints under the applicable procedure(s).

## **6. Review**

- 6.1 This policy will be reviewed at least once every five years commencing from the date of its approval.
- 6.2 The review and amendment process will be led by the Executive Director of the Centre for Human Rights, Equity, and Inclusion and will include consultation with representatives of the University’s elected student governments, with consideration of input from a diverse selection of students, faculty, and staff.

## **7. Procedures**

- 7.1 University-Initiated Complaints

- a. In situations where an affected person has disclosed an alleged incident of human rights infringement but does not wish to pursue a Complaint, the Executive Director of the Centre for Human Rights, Equity, and Inclusion may consult with the Vice-President, Equity, People, and Culture to determine whether there is an overriding safety, security reason, or statutory obligation for the University to initiate and pursue a Complaint through to the investigation stage.
- b. In making this determination, the Executive Director of the Centre for Human Rights, Equity, and Inclusion and the Vice-President, Equity, People, and Culture will consider all relevant circumstances including, but not limited to:
  - i. the severity of the alleged incident and the harm inflicted;
  - ii. the potential risk to other members of the community;
  - iii. the wishes of the affected person;
  - iv. the location of and circumstances in which the incident allegedly took place;
  - v. the likelihood of effective resolution without the involvement of the affected person;
  - vi. any potentially relevant statutory or collective agreement provisions.
- c. When the Executive Director of the Centre for Human Rights, Equity, and Inclusion and the Vice-President, People, Equity, and Culture determine that the University will pursue a University-Initiated Complaint it is always the choice of the affected person whether to participate in any resulting investigation or complaint process.
- d. In any investigation of a University-Initiated Complaint, the University shall appoint a Nominal Complainant in place of the affected person. The Nominal Complainant shall not have had any prior involvement in the matter.
- e. Once a University-Initiated Complaint is brought forward for investigation, it shall follow the established procedure applicable to the employee or student group in which the Respondent is a member.
- f. The Nominal Complainant has the power to withdraw or resolve the Complaint, and shall be guided in making such decisions by having regard to:

- i. The progress of the investigation to date, including availability and cooperation of witnesses;
- ii. The interests of the University Community;
- iii. The interests and wishes of the affected person, and;
- iv. The relative merits of any resolution proposal.

## 7.2 Procedure for Dealing with Complaints of Harassment or Discrimination

This procedure does not form part of the Policy, but is only attached to it. It may be amended from time to time, independent of the Policy review and amendment process, established above.

- a. These procedures are not intended to extinguish rights and remedies available at law, including grievance, to any of the parties or persons concerned.
- b. In order to help facilitate the informal resolution of complaints covered by these procedures and treat Complainants and Respondents fairly, reasonable steps will be taken throughout these procedures so that only those who need to be made aware of a complaint in order to administer or participate in these procedures are provided with information about a complaint. Further, all memoranda and reports made in the course of action taken pursuant to these procedures shall be considered to be confidential to the parties involved and to those who, in providing advice and carrying out duties contemplated in these procedures, have a need to know of their existence and content.
- c. The Complainant (and the Respondent, where appropriate) shall be informed by the relevant office (e.g. the Centre for Human Rights, Equity & Inclusion (the “CHREI”), the Dean’s Office, or the Centre for Sexual Violence Response, Support & Education (“the Centre”), as applicable that a union representative or an advocate of their choice may accompany them throughout the process described below.
- d. An individual who believes they have a complaint covered by these procedures shall have the option of discussing the incident(s) with the Dean’s Office, CHREI, the Centre or directly filing a complaint under the applicable University policy or program. Deans/Principal or designates who receive a complaint about workplace violence, harassment or discrimination by an individual will provide that person with a copy of these procedures and assist that person in making an appointment to discuss the incident(s) with the CHREI or the Centre as appropriate. Deans/Principal or designates who receive such a complaint

shall prepare a brief written memorandum to the CHREI, or the Centre as the case may be setting out the date and time the Complainant first contacted them, and confirming that they gave the Complainant a copy of these procedures and assisted the Complainant in making an appointment with the CHREI or the Centre as the case may be and will forward this Memorandum to the CHREI or the Centre forthwith. Deans/Principal or designates shall not keep copies of such memoranda.

- e. Normally, within ten (10) working days following this discussion the Dean/Principal or Designate, CHREI, or the Centre (“Relevant Office”) shall make a preliminary determination as to whether the complaint is one which:
  - i. is based on facts which have occurred more than one (1) year prior to the date of the lodging of the complaint; or
  - ii. might be resolved informally; or
  - iii. might be resolved by mediation; or
  - iv. might not be resolved informally or by mediation and requires a formal complaint and investigation; or
  - v. is trivial, frivolous, vexatious or made in bad faith.
- f. Where it appears to the Relevant Office that the facts upon which the complaint is based occurred more than one (1) year before the complaint is made, unless it is established that the delay was incurred in good faith, the Relevant Office may recommend that the University not deal with the complaint. Any individual who believes they have a complaint covered by these procedures is encouraged to come forward with the complaint as soon as possible.
- g. If, in the opinion of the Dean/Principal or Designate, CHREI, or the Centre (“Relevant Office”) the complaint is trivial, frivolous, vexatious or made in bad faith, it will so advise the Complainant and may decline to process the complaint further.

#### 7.2.1 Informal Resolution

- a. If the matter is one which, in the opinion of the Relevant Office and the Complainant, might be resolved informally, the Relevant Office will use its reasonable efforts to assist the parties involved in effecting an informal resolution which, if achieved, will be the end of the process. The parties to any

such resolution may include the Respondent and (where required or desirable) representatives of the union(s) of which each of the Complainant and Respondent are members and the University represented by a Dean/Principal or Designate.

- b. Advice given to a Complainant by CHREI concerning informal resolution will be reflected in a memorandum prepared by the CHREI and acknowledged by the Complainant. If the Complainant names the Respondent and the Respondent is named in the memorandum, the Respondent must be notified by the Relevant Office and provided with information about the allegations/concerns in writing.
- c. At any point in the process, either party may request mediation or a formal investigation.
- d. The parties agree that discussions that occur in the context of seeking an informal resolution are without prejudice and cannot be relied upon in subsequent steps of these Procedures in the event a resolution is not achieved.

#### 7.2.2 Mediation

- a. If the matter is one which, in the opinion of the Relevant Office, the Complainant and the Respondent might be resolved by mediation, the parties will be referred to mediation. Within ten (10) working days of such referral, a mediator will be appointed. Within ten (10) working days the mediator will then coordinate a meeting between the mediator and the parties involved.
- b. The participants to any such mediation will include the Complainant and Respondent, representatives of the union(s) of which each of the Complainant and Respondent are members, the University (represented by the Deans/Principal or designates of the area(s) in which each of the Complainant and Respondent are employed) and a representative of any other department that will be affected by the result of the mediation.
- c. The outcome of the mediation will result in one of the following:
- d. No resolution is reached and the Complainant decides to withdraw the allegation and take no further action.
- e. A resolution is reached, written up and signed by all participants to the mediation. Each of the parties to the mediation shall receive a copy.

- f. No resolution is reached and the Complainant requests that the matter proceed to the Formal Complaint and Investigation stage.

### 7.2.3 Formal Complaint and Investigation

- a. If a matter is one which could not be appropriately dealt with by informal resolution or mediation, or has not been resolved by either informal resolution or mediation within a reasonable time, the CHREI will upon request assist the Complainant in preparing a formal complaint (as applicable) or the Complainant may file a complaint independently. A formal complaint will be in writing and signed by the Complainant, and, where appropriate, includes a complaint contained in a grievance under a Collective Agreement.
- b. A copy of the formal complaint will be promptly forwarded to the Respondent and to the Dean/Principal/Vice-President in whose area the Respondent is employed and if the Complainant is an employee, to the Dean/Principal/Vice-President in whose area the Complainant is employed.
- c. The Respondent may submit a written response to the formal complaint to the appropriate Dean/Principal/ Vice-President within ten (10) working days of receiving a copy of the formal complaint.
- d. Within fifteen (15) working days of receiving a formal complaint and the response, if any, the Dean/Principal/Vice-President shall determine whether a formal investigation is warranted, and if so will appoint an investigator to look into and report on the facts surrounding the formal complaint. The investigator shall promptly conduct an investigation of the allegations giving rise to the complaint and compile a draft investigation report (normally within thirty (30) working days). The investigator will have had no previous involvement with the complaint in any of the processes under this Appendix prior to the appointment of the investigator.
- e. If the Dean/Principal/Vice-President determines that an investigation is not warranted, both the Complainant and Respondent shall be notified and provided a written rationale.
- f. Upon receiving a formal complaint against an employee in their area the Dean/Principal/Vice-President will promptly (in consultation with the employee and/or Faculty Relations, or with other University officials as appropriate) make a decision as to what remedial action, if any, should take place in the workplace while the investigation is taking place. The investigation report will not give any direction with respect to disciplinary action.

- g. The investigator shall apprise the Complainant and Respondent of progress toward completion of the investigation and shall provide a copy of the draft investigation report to each of the Complainant and the Respondent, who shall have ten (10) working days in which to notify the investigator, in writing, of any errors or omissions in the report and the description of the facts or allegations provided by each of them to the investigator.
- h. The investigator shall forthwith after receiving any comment provided for above make such further enquiries, if any, as are necessary and prepare a final investigation report. The final report will not draw any conclusions with respect to disciplinary action. A copy of the investigation report will be given to the CHREI, the Complainant, the Respondent, representatives of the union(s) of which each of the Complainant and Respondent are members, and the University.

#### 7.2.4 Administrative Action

- a. Within twenty (20) working days of the receipt of the investigation report, the President or Dean/Principal / Vice-President in whose area the Complainant and/or Respondent are employed shall consult as appropriate and shall make and communicate a decision or give directions on:
  - b. what remedial action, if any, shall be taken or continued in the Respondent's workplace in the circumstances;
  - c. whether the facts as revealed in the investigation report are such that some managerial action is warranted in the circumstances, and if so what managerial action (including the disposition of a grievance, disciplinary action or discharge) is so warranted.
- d. A copy of the decision shall be sent to each of the Complainant and the Respondent, and representatives of the union(s) of which each of the Complainant and Respondent are members and, if applicable to CHREI.

#### 7.2.5 Reprisal

- a. No person shall be penalized for bringing forward a complaint in good faith, or for cooperating in the resolution or investigation of any complaint.

#### 7.2.6 Penalties for Vexatious or Bad Faith Complaints

- a. Individuals who make a complaint against another person in bad faith or for a vexatious purpose may be subject to disciplinary action.

### 7.3 Procedures Applicable to Community Members

The relevant procedure applicable to an alleged infringement of a right under this policy is determined with reference to the category to which the Community Member said to be responsible for the infringement belongs.

#### 7.3.1 Complaints Against Students

- a. Student conduct is governed by the *Code of Student Rights and Responsibilities* and is also subject to measures that instructors may adjudge necessary such as exclusion from the classroom, under the *Senate Policy on Disruptive and/or Harassing Behaviour in Academic Situations*.
- b. Allegations that a student has infringed a right under this Policy may be addressed pursuant to a Complaint through the process overseen by the Office of Student Community Relations.
- c. Allegations that a student has infringed a right relating to sexual harassment (including violence) may be addressed pursuant to a Complaint through the process set out in s. 11 of the *Policy on Sexual Violence*.

#### 7.3.2 Complaints Against Faculty

- a. Faculty conduct is governed in part by the *Policy on Workplace Harassment Prevention* and the *Policy on Workplace Violence Prevention*, and also by the collective agreements between York University and its various faculty bargaining units.
- b. Allegations that a member of the York University Faculty Association has infringed a right under this Policy may be addressed pursuant to a Complaint under the procedure in Appendix “Q” to the collective agreement between the York University Faculty Association and York University, or pursuant to a Complaint under the *Policy on Workplace Harassment Prevention* or the *Policy on Workplace Violence Prevention*.
- c. Allegations that a faculty member in other bargaining units has infringed a right under this Policy may be addressed pursuant to a Complaint under the *Policy on Workplace Harassment Prevention* or the *Policy on Workplace Violence Prevention*, or pursuant to a Complaint to the Centre for Human Rights, Equity, and Inclusion under the *Procedure for Dealing with Complaints of Discrimination or Harassment*.

- d. Allegations that a faculty member has infringed a right relating to sexual harassment (including violence) may be addressed pursuant to a Complaint through the process referenced in the *Policy on Sexual Violence*.

### 7.3.3 Complaints Against Staff

- a. Staff conduct is governed in part by the *Policy on Workplace Harassment Prevention* and the *Policy on Workplace Violence Prevention*, and may also be governed by the collective agreements between York University and its various staff bargaining units.
- b. Allegations that a member of York University’s staff has infringed a right under this Policy may be addressed pursuant to a Complaint under the *Policy on Workplace Harassment Prevention* or the *Policy on Workplace Violence Prevention*, or pursuant to a Complaint to the Centre for Human Rights, Equity, and Inclusion under the *Procedure for Dealing with Complaints of Discrimination or Harassment*.

<b>Legislative history:</b>	TBD
<b>Date of next review:</b>	TBD
<b>Policies superseded by this policy:</b>	Racism Policy, 1995
<b>Related policies, procedures and guidelines:</b>	<p>Academic Accommodation for Students with Disabilities (Policy)</p> <p>Academic Accommodation for Students’ Religious Observances (Policy, Guidelines and Procedures)</p> <p>Accessibility for Persons with Disabilities (Customer Service Guideline)</p> <p>Accessibility for Persons with Disabilities (Statement of Commitment)</p> <p>Accommodation in Employment for Persons with Disabilities (Policy)</p> <p>Accommodation in Employment for Persons with Disabilities (Procedure)</p>

	<p>Affirmative Action Plan for Non-Academic Hiring to Achieve Employment Equity (Policy)</p> <p>Code of Student Rights and Responsibilities (Regulation)</p> <p>Disruptive and/or Harassing Behaviour in Academic Situations (Policy and Procedures)</p> <p>Free Speech Statement of Policy</p> <p>Gender-Free Language (Policy)</p> <p>Physical Accessibility of University Facilities (Policy)</p> <p>Sexual Violence Policy</p> <p>Temporary Use of University Space (Policy)</p> <p>Workplace Harassment Prevention (Policy)</p> <p>Workplace Violence Prevention (Policy)</p>
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## Board of Governors

### Memorandum

To: Board of Governors

From: Randy Williamson, Chair, Land and Property Committee

Date: 4 May 2021

Subject: Faculty of Liberal Arts & Professional Studies Building Addition – Vari Hall

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### Recommendation:

**The Land and Property Committee recommends that the Board of Governors approve the concept design for the construction of a two-storey addition to the south-wing of Vari Hall, for the Faculty of Liberal Arts and Professional Studies.**

### Background and Rationale:

The Faculty of Liberal Arts & Professional Studies (LA&PS) is the largest liberal arts Faculty in Canada, with over 23,000 graduate and undergraduate students, representing 43% of York's total undergraduate student body and 54% of York International undergraduate students. The Faculty has projected a 9% enrolment growth by 2023-24.

Despite being the largest Faculty, LA&PS has very low visibility on campus. The dispersal of departments and functions across multiple campus sites precludes LA&PS from having a distinctive precinct to the degree enjoyed by other Faculties. This lack of visibility, presence and a branded 'front door' for LA&PS hinders Faculty recognition, makes wayfinding challenging for students and visitors, and impedes the development of a sense of connectedness and community pride among students, faculty, staff and partners.

As LA&PS continues to grow and develop enrolment, program offerings, faculty complement, research activities, and student success support services, demand for

## Board of Governors

space continues to increase. Additionally, the LA&PS objective of providing students with a quality academic and campus life experience is currently hindered by the lack of space for students to gather, study, socialize and connect with each other and their professors within LA&PS.

The 2012 Long-Term Space Plan for LA&PS prepared by York's Campus Planning Group projected a space shortfall by 2020 of 3,770 net assignable square metres (NASM) comprised of 1,400 NASM for academic department space and 2,400 NASM for student space.

The addition of a third and fourth floor to the south wing of Vari Hall will advance the priorities of LA&PS and that of the University Academic Plan in relation to 21<sup>st</sup> Century Learning, and Student Success. The additional floors will include new technology-enhanced, flexible teaching and learning spaces, research space, departmental offices, and student services and lounge spaces. The renovations will also include ripple effect improvements to the 2nd floor of Vari Hall, such as improved access and egress. In addition, these plans include proposed and future potential connections to the Ross Building, which align with the University's overarching master plans for the Keele campus.

LA&PS is committed to infrastructure renewal and has invested over \$16M since 2018 in renovating 10,000 sqm of office, teaching/learning and student service space. LA&PS has also developed a multi-phase (5 phases), multi-year capital strategy focused on large scale enhancements to the core of the Keele Campus, to consolidate and strengthen the Faculty's identity. The proposed addition of two floors to the south wing of Vari Hall (Vari Hall expansion) is Phase 1 of the Faculty's multi-phase capital strategy. To provide context for the proposed and future capital projects, the LA&PS Capital Strategy is attached at Appendix A. For quick reference, the list of infrastructure renewal projects is on pages 22-23, followed by the 5-phase capital strategy (pages 25-35).

### **Project Overview:**

This project represents over 3,700 sqm of net new technology-enhanced, flexible teaching, research, student lounge and study, and departmental spaces for LA&PS. The intention is to build up rather than out, and to incorporate sustainable building and universal design practices. The design takes into consideration the connection to Vari Hall's existing infrastructure and the adjacent buildings. The addition has been crafted intentionally to minimize the impact to the design and infrastructure of the existing building, and to maximize the influx of natural light. The

## Board of Governors

design is intended to complement the adjacent Ross Building, which is designated as a heritage structure.

The proposed 4th floor will be 1,862 sqm and includes the following:

- Fully immersive, high flex learning classroom for 100 students, divisible into two 50-seat immersive, high flex learning classrooms
- Indigenous pedagogy and teaching focused classroom, with seating for 25 people in a circle, and capability for smudging ceremonies; in support of learning, understanding and illumination, the entranceway will open to the east
- Six 50-seat semi active flex learning classrooms
- One 15-seat seminar room
- Student study and lounge spaces for up to 26 students
- Smudging ceremonies will be accommodated in the design of four of the rooms on this floor, including the Indigenous pedagogy classroom
- Gender neutral washrooms
- Telecom and mechanical rooms

The proposed 3rd floor will be 1,870 sqm and includes the following:

- Research space
  - 11 research rooms of varying sizes to support team-based research and collaboration
  - 10 enclosed offices for researchers
  - 1 dedicated meeting room
- Department of Anthropology space
  - Student service and reception area
  - Open office work area with workstations for 2 – 3 staff
  - 18 enclosed offices for faculty members and staff
  - 1 dedicated meeting room

## Board of Governors

- This floor also includes
  - Shared faculty/staff lunchroom
  - 1 meeting room
  - Storage space
  - Gender neutral washrooms

By relocating the Department of Anthropology from the 2nd to the 3rd floor of Vari Hall, there is the opportunity to enhance spaces and improve the adjacencies for the departments of history and sociology, and to provide the department of economics with additional office spaces. Second floor renovations are also required to accommodate a new exterior elevator and an interior exit stair that will bridge the Ross Building podium level, while improving egress, safety, and natural lighting on the 2nd floor.

### **Site and Concept Design**

The proposed site is within the current precinct of LA&PS facilities; it's in close proximity to the Ross Building which houses most of the Faculty's administrative offices, academic program offices, learning spaces, and student advising and services. The proposed development also intensifies an existing building and is thereby consistent with the goals of the University Master Plan, as outlined below.

**Pedestrians first:** the proposed two-storey vertical addition on top the south end of Vari Hall will be located over the 30-year-old existing concrete structure, therefore the facility will not impede any pedestrian circulation system nor add to the current circulation paths; its location will connect to the existing interior network of corridors leading down to the pedestrian link and the Colonnade.

**Greening:** the proposed addition will not impact any existing landscape, key viewing corridors or significant open spaces. The location retains the "vista" and framing of the open spaces of the Harry W. Arthurs Common. There will be a minor intervention into the space between Vari Hall and the Ross podium by insertion of an elevator tower to accommodate the new 3<sup>rd</sup> and 4<sup>th</sup> floors.

**Infilling:** The two-storey addition will not impact adjacent buildings or principles of "grow up", as the location intensifies an existing building and site. The addition will be framed by the West Accolade and the Ross buildings.

## Board of Governors

VG+ Architects worked with LA&PS and Facilities Services to develop the attached concept design.

### **Sustainability**

The project seeks to minimize its impact on climate change via the incorporation of a Mass Timber superstructure which itself sequesters carbon. The goal of the new structure is to be designed with a high-performance building enclosure using passive design techniques to minimize operational costs over its life cycle. The addition will feature a green roof to assist with storm water mitigation, and access to views and daylight that will contribute to the wellness of building occupants. The sustainable approach will therefore meet Toronto's required Green Standards, which are consistent with Leadership in Energy and Environment Design (LEED). Other sustainable strategies will be considered during the design phase.

The project is in alignment with the following United Nations Sustainable Development Goals:

4.8-Quality Education- upgrade education facilities...that are inclusive and effective learning environment

9.4 Industry, Innovation & Infrastructure - upgrade infrastructure and retrofit industries to make them sustainable.

The project budget was presented at the April 26, 2021 Finance and Audit Committee with a recommendation for the Committee's and Board approval.

### **Next Steps**

If approved by the Board, the procurement of the consulting team, including the architect and engineers, will commence immediately. The project is projecting a completion date of July 2024.

Attached:

- Vari Hall Building Addition Concept Design



# Vari Hall Addition

Board of Governors  
4 May 2021

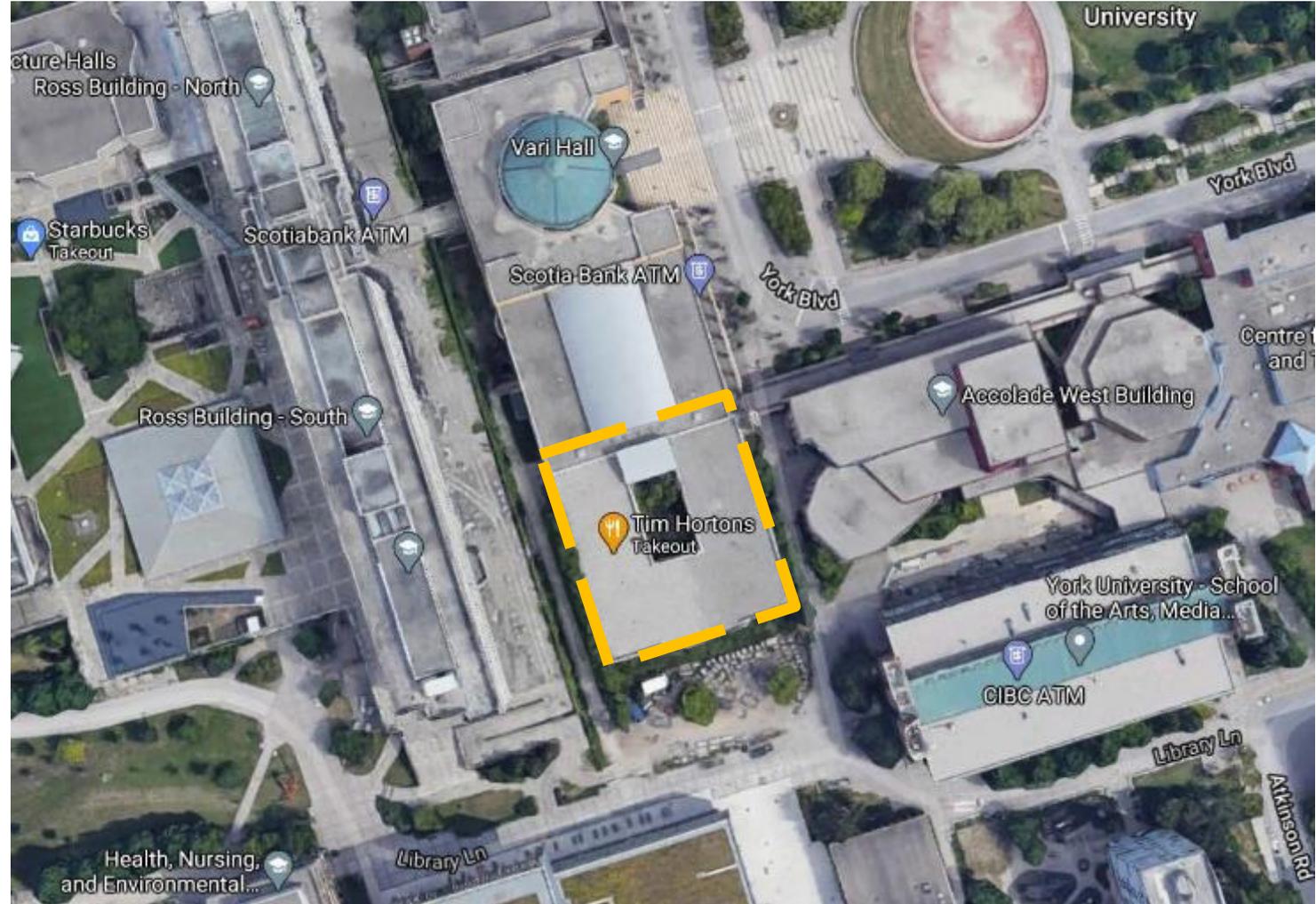
Carol McAulay, VP Finance and Administration

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YORK 

# Vari Hall 3<sup>rd</sup> & 4<sup>th</sup> Floor Addition

## Context



# Project Statistics

The 4th floor is 1862 sq.m. (20,042 sq.ft.) and accommodates the following:

- One fully immersive classroom for 100 students divisible, into two 50 seat rooms
- One Indigenous classroom with seating for 25 persons in circle
- 6 – 50 seat semi active learning classrooms
- 1 – 15 seat seminar room
- Student study and lounge spaces for up to 26 students in total
- Smudging ceremonies will be accommodated in four rooms on the 4<sup>th</sup> floor, including the Indigenous classroom
- Gender neutral washrooms
- Telecom and mechanical rooms

The 3<sup>rd</sup> floor is 1870 sq.m. (20,129 sq.ft.) and accommodates the following:

- Research space including
  - 10 enclosed offices
  - 11 research rooms of varying sizes
  - 1 dedicated meeting room
- Anthropology department including
  - 18 enclosed offices
  - Reception area
  - Open office work area for 2-3 staff
  - 1 dedicated meeting room
- Shared Faculty/staff lunchroom
- 1 shared meeting room
- Shared Storage space
- Gender neutral washrooms

The 2<sup>nd</sup> floor renovations are required to accommodate a new exit stair. These renovations result in the loss of 3 offices on this floor, but access, safety and natural lighting is improved.

Floor to floor heights are 4.5 m (14'-9").

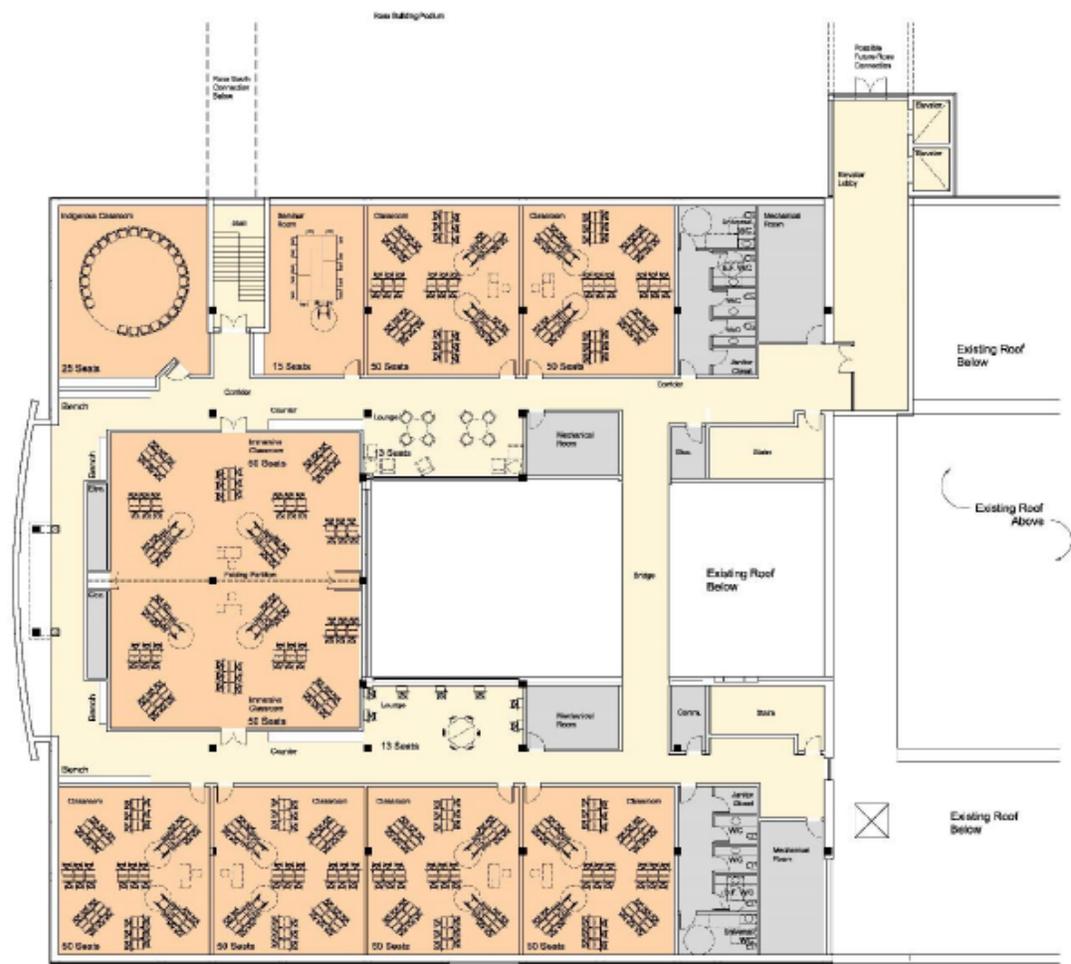


## Ground Floor Plan





- LEGEND**
- Classroom
  - Circulation
  - Washrooms & Other Service
  - Economics
  - History
  - Anthropology
  - Sociology
  - Research
  - Shared



## Fourth Floor Plan



## Immersive Classroom



**Fourth Floor South Corridor**



Fourth Floor Student Lounge

## Fourth Floor Bridge

**+VVG** ARCHITECTS  
THE VENTIN GROUP LTD





View from South East



View from South West



Aerial View

# Vari Hall 3<sup>rd</sup> & 4<sup>th</sup> Floor Addition

## Schedule (Preliminary)

			2020				2021								2022								2023				2024									
			Q4		Q1		Q2		Q3		Q4		Q1		Q2		Q3		Q4		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4								
	Project Phases	DURATION	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JULY	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC								
1	Feasibility Study	4 months																																		
2	Governance Approval	3 months																																		
3	Architects Procurement <small>(RFQ Phase, RFP Phase, Recommendation to Award, Approval &amp; up to PD)</small>	4 months																																		
4	Design (SD, DD, CD, Permit)	12 months																																		
5	Tender Phase <small>(Contractor Pre qual, Tender &amp; PD)</small>	3 months																																		
6	Construction	18 months																																		
7	<b>Total Project Duration</b>	<b>44 months</b>																																		
8	Warranty & Close out	12 months																																		

Project Completion May 30, 2024

# Board of Governors

## Memorandum

To: Board of Governors

From: Randy Williamson, Chair, Land and Property Committee

Date: 4 May 2021

Subject: Major Capital Priorities - Approval

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### Recommendation:

**The Land and Property Committee recommends that the Board of Governors approval of the list of Major Capital Priorities.**

### Rationale:

The purpose of this recommendation is to update the Board approved list of Major Capital Priorities.

The University maintains a list of institutional capital priorities with the following in mind:

1. From time to time, governments announce specific capital funding programs. Examples are the Strategic Innovation Fund (SIF) program introduced in 2015, and the Knowledge Infrastructure Program (KIP) introduced in 2009. In both cases, submission criteria required very short turnaround time between call and submission deadlines, short timelines to deliver projects against the funding programs' objectives, and approval by institution's governing bodies of the projects submitted for competition.
2. Members of the University community are well served by institutional capital priorities being articulated and shared.

## Board of Governors

3. Leaders of units are well served by clear processes for identification of institutional capital priorities. It allows the project sponsor to allocate appropriate resources to support the processes to move the project from priority to implementation, including functional programming, focus of unit objectives and donor cultivation to name a few.
4. Long-term financial planning requires consideration of needs to fund institutional priorities.

### **Definition of a Major Capital Priority Project**

As in prior years, for the purpose of the prioritization of capital projects submitted for Board approval, projects are to meet the following criteria:

1. Capital cost is estimated to exceed \$10M.
2. Funding for the project is not assured or perhaps not identified.
3. University administration has identified the project as being necessary to achieve the strategic objectives of the University as identified in the University Academic Plan, the Strategic Research Plan, or another strategic plan of the University.

Once defined as a Major Capital Priority, the project will be resourced with:

1. Development and maintenance of a Functional Space Program (FSP);
2. Development and maintenance of conceptual drawings;
3. Development and maintenance of materials to describe and advocate for the project to government and donors; and
4. Alignment of University administration's objectives and activities with promoting the project for funding and implementation

### **Current**

Attached at Appendix A is the recommended list of Major Capital Priorities which will be expanded on in a presentation (attached) at the meeting. The projects meet the criteria outlined above.

## Board of Governors

A characteristic of a Major Capital Project Priority is that the prioritization is fluid and will adapt to current programs and donor interests. Therefore, the projects identified will not necessarily be resourced or delivered in the order they appear in Appendix A.

### **United Nations Sustainability Development Goals**

The United Nations 17 Sustainable Development Goals (SDG) are an urgent call for action by all countries. They recognize that ending poverty and other deprivations must go hand-in-hand with strategies that improve health and education, reduce inequality, and spur economic growth – all while tackling climate change and working to preserve our oceans and forests. The relevant SDGs for the capital priorities projects are:

4.a Quality Education- building and upgrade education facilities that are child, disability and gender sensitive and provide safe, non-violent, inclusive and effective learning environments for all

9.4 Industry, Innovation & Infrastructure - upgrade infrastructure and retrofit industries to make them sustainable.

9.5 Industry, Innovation & Infrastructure - enhance scientific research, upgrade the technological capabilities.

<b>Appendix A</b>					
<b>MAJOR CAPITAL PRORITIES - SUMMARY (CURRENT)</b>					
May 3, 2021					

<b>PROJECT</b>	<b>PROJECT SUMMARY</b>	<b>APPROXIMATE SIZE</b>	<b>APPROXIMATE COST</b>	<b>CURRENT STATUS (i.e. Functional Program, Rendering)</b>	<b>INTERNAL FUNDING</b>
<b>New STEAM / iHive Building (updated from 2<sup>nd</sup> Science and Engineering Building)</b>	To accommodate growth in Science and Engineering programs with emphasis on the Internet of Things (IOT), Space Engineering, Smart Cities, Mechatronics, and Automation Technologies. Additional science and health programs, as well as interdisciplinary space for Organized Research Units (ORU's) have opted to be included within this facility to allow for more collaborative works between disciplines, and to take advantage of the economies of scale on a larger building.	250,000 sf (new construction)	\$200M	Functional program to be updated	Funding plan to be established
<b>Scott Library Improvements (updated program)</b>	A comprehensive study of the Scott Library was undertaken in 2020 to develop a vision for the Digital Library of the Future. The replacement of book stacks with compact, automated book retrieval will increase floor capacity that will allow for the expansion of student study and lounge space, as well as creating makerspace and other collaborative opportunities. In addition, the installation of a second elevator in an unused shaft and improvements to the escalator configuration will increase circulation and reduce existing traffic bottlenecks. Lighting and ventilation will also be improved. The potential increase in space includes 206,000 sq of renovated space and 29,000 sq of new construction.	206,000 sf (renovated space), 28,000 sf (new construction) Over 5 levels	\$110M	Functional program and conceptual design complete	Funding plan to be established

PROJECT	PROJECT SUMMARY	APPROXIMATE SIZE	APPROXIMATE COST	CURRENT STATUS (i.e. Functional Program, Rendering)	INTERNAL FUNDING
<b>Central Square Revitalization and New Vision (new)</b>	<p>In fall 2020 a comprehensive Study and Vision was undertaken to develop a framework for the modernization of Central Square to improve access and services to students, and to revitalize the space to reflect institutional priorities, including sustainability and indigeneity.</p> <p>Central Square is a nexus where a number of University units meet. Each unit had been working separately looking at their individual needs; LA&amp;PS, Division of Students, Food Services and the Scott Library were brought together to create a Master Plan for the Central Square sector of the Keele Campus. The study looked at how to reorganize space with a view to coherence and user experience, opportunities to refresh the internal spaces that are original, dating back to the late 1960's, and with a goal to create a better sense of place by unifying the various needs of multiple stakeholders. The study looked at creating new flexible multi-use areas, increase student spaces, accessibility, sustainability, and heritage.</p>	254,900 sf renovated space over 3 levels	\$179.1M Total. Among users, LAPS - \$108M; Food Services - \$16M; Circulation, Student spaces and site - \$55.1M; Scott Library – Included above in Scott Library Improvements Division of Students - Included below in Division of Students	Functional program and conceptual design complete	Funding plan to be established
<b>Student Services Hub (new)</b>	As part of the Central Square Study and Vision exercise the Division of Students is interested in creating a central access point for students at the heart of the Keele Campus. The Student Services Hub would see a state of the art	46,600 renovated space over 2 levels	\$26.7M	Functional program complete	Funding plan to be established

<b>PROJECT</b>	<b>PROJECT SUMMARY</b>	<b>APPROXIMATE SIZE</b>	<b>APPROXIMATE COST</b>	<b>CURRENT STATUS (i.e. Functional Program, Rendering)</b>	<b>INTERNAL FUNDING</b>
	coordinated and adaptable student service model, combining transactional services with learning and developmental opportunities across the student journey, augmented with technology.				

## BOARD OF GOVERNORS

### MINUTES

**Meeting:** Open Session 2 March 2021 at 1:30 pm held via videoconference.

<b>Present:</b>	<b>Regrets:</b>	<b>Others:</b>
Paul Tsaparis, Chair Francesca Accinelli Kirsten Andersen Joanie Cameron Pritchett Jacques Demers Antonio Di Domenico Kate Duncan Jose Etcheverry David Garg Mazen Hamadeh Vijay Kanwar Konata Lake Loretta Lam Rhonda Lenton Carole Malo David Mochon Dee Patterson Helen Polatajko Eugene Roman Ken Silver Narendra Singh Mary Traversy Bobbi White Randy Williamson  Pascal Robichaud, Secretary Tristan Paul, Assistant Secretary Hillary Barron, Assistant Secretary	Max Gotlieb Julie Lassonde	Amir Asif Kein Azinwi Sarah Bay-Cheng Gary Brewer Sheila Cote Meek Caitlin Drake Smith Darran Fernandez Marco Fiola Lucy Fromowitz Vinitha Gengatharan Lisa Gleva Jane Goodyer Alice Hovorka Barbara Joy Julie Lafford Ran Lewin Tom Loebel Alex Matos Ijade Maxwell-Rodrigues Mary Catherine Masciangelo Carol McAulay JJ McMurtry John Moores Jeff O'Hagan Dan Palermo Pam Persaud Lisa Philipps Sanish Samuel Christine Silversides Louise Spencer Graham Stewart Susan Webb  Cheryl Underhill, Senior Assistant Secretary Amanda Wassermuhl, Assistant Secretary Kathryn White, Assistant Secretary Elaine MacRae, Governance Coordinator

# Board of Governors - Minutes

## **I. OPEN SESSION**

### **1. Chair's Items**

Governors and community members were welcomed to the 468th meeting of the Board of Governors of York University.

#### a. Report on Items Decided in the Closed Session

It was announced that the term of Mr. Paul Tsaparis as Chair of the Board has been renewed for a two-year term, beginning 1 July 2021 and ending 30 June 2023. Members congratulated Chair Tsaparis and thanked him for his continued commitment to York University and the Board of Governors.

#### b. Consent Agenda Approval

The Board approved by consent:

- Minutes of the Meeting of December 1, 2020
- Pension Fund Board of Trustees Reappointments
- Banking Resolution: Updates to Signing Officers

### **2. Executive Committee**

Chair Tsaparis reported that the Executive Committee had met with Senior Management, the Director of Internal Audit, and representatives from Deloitte, to review and provide input on an updated ranking of the University's risks.

### **3. President's Items**

President Lenton delivered an informative presentation on York's long-term planning activities, which focused on the following topics:

- Emerging trends in the post-secondary education sector.
- The impact of the pandemic on Ontario universities and related implications.
- An update on York's recent government advocacy for provincial support for COVID-19 cost recovery and institutional autonomy.
- Planning for the 2021-22 academic year and increasing the availability of in-person classes in accordance with provincial and public health guidelines.

## Board of Governors - Minutes

- Advancing the University Academic Plan 2020-2025 and strengthening York's impact on the UN Sustainable Development Goals.
- Updates on the progression of the Markham Centre Campus and Vaughan Healthcare Centre Precinct projects.

### a. Presentations

The Board heard presentations from Dean Sarah Bay Cheng, School of the Arts, Media, Performance & Design, and Dean Jane Goodyer, Lassonde School of Engineering, on the recent activities within their respective Faculties.

### b. Kudos Report

The report as distributed was *noted*.

## 4. Academic Resources Committee

On behalf of the Committee, Mr. Di Domenico provided a summary of key items of business discussed, including positive undergraduate 2020-21 enrolment, planning for Fall 2021 program delivery, next steps for the Vaughan Healthcare Centre Precinct, progress on the implementation of the Faculty Complement Renewal Strategy, the Province's Virtual Learning Strategy, recent developments on the Markham Centre Campus project, and the successful completion of two decanal searches. The Committee also reviewed the Annual Report on Research, which highlighted York's research productivity and funding, prestigious awards received by Faculty members, and pertinent details related to YSpace.

### a. March 2021 Report on Tenure and Promotion

Documentation was *noted*. It was duly *agreed* **that the Board of Governors approve the President's March 2021 report on tenure and promotion.**

## 5. External Relations Committee

On behalf of the Committee and in Ms Lassonde's absence, Ms Accinelli provided a summary of key items of business discussed, including updates on York's first-ever Economic and Social Impact Report, the new *Brand Stewardship Procedures*, and recent alumni engagement and fundraising activities.

President Lenton reminded the Board of Vice-President O'Hagan's forthcoming departure from the University and thanked him for his contribution to the University.

## Board of Governors - Minutes

### a. Points of Pride

The Points of Pride document dated February 2021 was *noted*.

## 6. Finance and Audit Committee

On behalf of the Committee, Ms White provided a summary of the key items of business discussed, including a multi-year budget update from the Provost and Vice-President (Finance and Administration) and a report on the University's Financial Health Indicators. The Committee also received a detailed Internal Audit Status Report from the Internal Auditor.

### a. Capital Projects

- Joan and Martin Goldfarb Art Gallery of YU: Budget Adjustment

Speaking to the supporting materials, Ms White provided a brief overview of the recommendation to increase the budget for the Joan and Martin Goldfarb Art Gallery by \$2M. It was explained that the final cost estimates received as part of the Request for Proposal process exceeded the \$5.6M construction budget target. The \$2M increase has been recommended in order to ensure the design process is completed within the established timelines. The project will be funded by donations, grants, and a \$3M contribution from the University Fund.

It was duly *agreed*, **that the Board of Governors approve a budget increase of \$2M (from \$8M to \$10M), inclusive of HST, for the design and construction of the new building for the Joan and Martin Goldfarb Art Gallery of York University.**

### b. Fees

- Tuition

Ms White spoke to the circulated documentation, noting that while the recommendations include alignment to a New Tuition Fee Framework, the increase will not exceed 3% under any circumstances.

It was duly *agreed*, **that the Board of Governors approve domestic and international tuition fees as presented.**

## Board of Governors - Minutes

- Centrally Collected Ancillary Fees

Members heard that the 1.90% increase has been proposed in accordance with the provisions of the Ancillary Fee Agreement and is required to address inflationary increases in operating costs for areas and programs supported through ancillary fees.

It was duly *agreed*, that the **Board of Governors approve a 1.90% increase in centrally collected ancillary fees in 2021-2022, effective May 1, 2021.**

- **For undergraduate students, the recommended increase is \$0.44 per credit, from \$22.91 to \$23.35, resulting in an increase from \$687.30 to \$700.50 for full-time students (enrolled in 30 credits).**
- **For graduate students in professional programs, the recommended increase is \$6.53, from \$343.64 to \$350.17, for programs charged on a per-term fee basis. Part-time graduate students pay 50% of the full-time fee.**

### **7. Governance and Human Resources Committee**

On behalf of the Committee, Mr. Lake reported that the key items of business before the Governance and Human Resources Committee this cycle included:

- A confidential update on labour relations.
- An update on York's three-year succession planning program.
- The recruitment of prospective external members of the Board.

### **8. Investment Committee**

On behalf of the Committee, Mr. Demers reported on key items of business reviewed by the Investment Committee, including: revisions to the York University Short Medium-Term Fund (SMTF), Canadian Association of University Business Officers (CAUBO) 2019 investment survey results, and an endowment fund performance report.

### **9. Land and Property Committee**

On behalf of the Committee, Mr. Williamson explained that the key items of business reviewed by the Land and Property Committee included updates on the University's Campus Vision, Markham Centre Campus project, Major Capital Priorities, and the Capital Construction Report.

# Board of Governors - Minutes

## 10. Other Business

There was no other business.

## 11. *In Camera* Session

An *in camera* session was held; no decisions were taken

Paul Tsaparis, Chair

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P. Robichaud, University Secretary

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## Board of Governors

### Memorandum

To: Board of Governors

From: Konata Lake, Chair, Governance and Human Resources Committee

Date: 4 May 2021

Subject: Annual Review: Health and Safety Policies

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The Ontario *Occupational Health and Safety Act* requires the annual review of the following three policies:

- [Healthy Workplace Policy](#) (Appendix A)
- [Workplace Harassment Prevention Policy](#) (Appendix B)
- [Workplace Violence Prevention Policy](#) (Appendix C)

These policies are reviewed annually by the University's Joint Health and Safety Committees and the Area Health and Safety Officers. This year, the only change is updating the reference from Vice-President Finance and Administration to Vice-President Equity, People and Culture.



## University Policy

### Healthy Workplace Policy

<b>Topic:</b>	Healthy Workplace
<b>Approval Authority:</b>	Board of Governors
<b>Approval Date:</b>	2021/05/04
<b>Effective Date:</b>	1991/05/13
<b>Last Revised:</b>	2017/05/01

#### 1. Policy

1.1. York University values the health, safety, and well-being of all community members (students, faculty, staff, contractors, and visitors). It is committed to creating a healthy workplace through the integration of safe physical and psychological space and an organizational culture that promotes prevention, support, and well-being. The University recognizes the interdependence between a healthy workplace and employee engagement and further, between employee and student engagement/academic excellence.

The University endeavours to provide a hazard free environment and minimize risks by adherence to all relevant legislation, and through the development and implementation of additional internal standards, programs, and procedures.

To this end, York University requires that health and safety be a primary objective in every area of operation and that all persons utilizing University premises comply with procedures, regulations and standards relating to health and safety.

The University also recognizes the importance of engaging individuals in health and safety through:

- a. The provision of fulsome education and training to increase knowledge and awareness
- b. The work of the Joint Health and Safety Committees

- c. The enactment of the internal responsibility system such that everyone, regardless of role, plays an important part in creating and maintaining a healthy workplace

## **2. Definitions**

2.1. Healthy Workplace: Is one that actively works to: (1) prevent harm to worker physical and psychological health and safety and (2) promote physical and psychological well-being.

## **3. Shared Responsibility**

3.1. York University recognizes the roles that all members play in promoting, creating and maintaining a healthy workplace.

3.2. All community members will:

- a. Contribute to the establishment and maintenance of a healthy workplace
- b. Follow established health and safety procedures
- c. Report health and safety concerns and any incidents to their supervisor
- d. Participate in health and safety training

3.3. Senior Leadership will:

- a. Support the effective administration of healthy workplace programs and initiatives
- b. Provide leadership by creating, supporting and sustaining a healthy workplace
- c. Integrate healthy workplace culture into daily activities

3.4. Supervisors (as defined by the *Occupational Health and Safety Act*) will:

- a. Support and implement healthy workplace policies and practices for employees in their areas
- b. Provide employees with procedures, equipment and materials that protect employees from workplace hazards, as well as the instruction, training and supervision required to work safely
- c. Investigate all incidents reported to them and respond to all health and safety concerns brought forward
- d. Implement corrective actions in response to identified hazards

3.5. Human Resources Department will:

- a. Develop and administer healthy workplace policies and programs
- b. Provide advice, guidance and subject matter expertise to the University on creating and maintaining a healthy workplace
- c. Act as the chief resource relating to occupational health and safety regulatory matters

3.6. Students will:

- a. Conduct themselves in a manner which is consistent with their health and safety and that of others. Failure to do so may be considered a breach of the Code of Student Rights and Responsibilities

3.7. Commercial Tenants and Contractors will:

- a. Conduct their business in accordance with the *Occupational Health and Safety Act* and Regulations, and any other applicable legislation. The University will make its commercial tenants and contractors aware of its Healthy Workplace Policy, and of this requirement
- b. Follow York University guidelines and procedures as prescribed in the contract/agreement

## 4. Review

4.1. This Policy is promulgated by the Board of Governors and the administration thereof is delegated to the Vice-President Equity, People and Culture.

4.2. Failure to abide by this policy or the requirements, regulations, standards, or procedures contemplated herein will result in appropriate discipline or sanctions.

<b>Legislative history:</b>	Approved by UEC: 1996/09/16; Approved by the Board of Governors: 1991/05/13; Re-Approved by the Board of Governors: 1992/10/26; 1993/10/18, 1995/04/10; 1996/10/07; 1997/03/03; 1998/01/26; Approved and Revised by Board Audit Committee: 1998/12/08; Approved by the Board of Governors: 1998/12/14, Re-Approved by the Board of Governors: 1999/12/06, 2001/06/25, 2002/04/29; 2003/04/28; 2004/04/26; 2005/05/02; 2006/05/01; 2007/04/30;
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	<p>2008/06/23; 2009/06/23; 2010/06/21; 2011/06/20; 2012/06/25; 2013/06/24; Revised and approved by the Board Governance and Human Resources Committee: 2014/05/26; Re-approved by the Board of Governors: 2014/06/23; 2015/06/22; Revised and approved by the Board Governance and Human Resources Committee: 2016/05/02; Re-approved by the Board of Governors: 2016/05/03; Name change and revisions approved by the Board Governance and Human Resources Committee: 2017/05/01 and re-approved by the Board of Governors: 2017/05/02; Re-approved by the Board of Governors: 2018/05/01; Re-approved by the Board of Governors 2019/04/30; Re-approved by the Board of Governors 2020/05/05</p>
<b>Date of next review:</b>	2022/05
<b>Policies superseded by this policy:</b>	
<b>Related policies, procedures and guidelines:</b>	



## University Policy

### Workplace Harassment Prevention Policy

<b>Topic:</b>	Workplace Harassment Prevention
<b>Approval Authority:</b>	Board of Governors
<b>Approval Date:</b>	2021/05/04
<b>Effective Date:</b>	2010/03/01
<b>Last Revised:</b>	2018/05/01

#### 1. Description

1.1. Describes the nature of workplace harassment and the University's commitment to protect its workers from workplace harassment.

#### 2. Scope

2.1. This policy is intended to protect all persons working for York University including but not limited to students, faculty, staff, and volunteers.

#### 3. Definitions

3.1. The term, "workplace harassment" means engaging in a course of vexatious comment or conduct against a worker in a workplace that is known or ought reasonably to be known to be unwelcome; or workplace sexual harassment. The term "workplace sexual harassment" means:

- a. engaging in a course of vexatious comment or conduct against a worker in a workplace because of sex, sexual orientation, gender identity or gender expression, where the course of comment or conduct is known or ought reasonably to be known to be unwelcome, or
- b. making a sexual solicitation or advance where the person making the solicitation or advance is in a position to confer, grant or deny a benefit or advancement to the worker and the person knows or ought reasonably to know that the solicitation or advance is unwelcome.

3.2. Workplace harassment does not include reasonable action taken by an employer or supervisor relating to the management and direction of workers or the workplace, or rudeness unless extreme, demotion, legitimate performance management, operational directives, job assignments, inadvertent management errors, or a single incident unless grave or harmful.

#### **4. Policy**

4.1. York University is committed to protecting all persons working for York University and shall take reasonable precautions to prevent workplace harassment.

4.2. Anyone who engages in workplace harassment shall be subject to complaint procedures, investigation, remedies, sanctions and discipline up to and including termination.

#### **5. Review**

5.1. This policy shall be reviewed at least annually

#### **6. Responsibility**

6.1. The Vice-President Equity, People & Culture shall be responsible for establishing a program, guidelines and procedures to implement this policy.

<b>Legislative history:</b>	Reviewed by President and Vice-Presidents, January 27, 2010. Approved by Board Governance and Human Resources Committee February 10, 2010. Approved by the Board of Governors February 22, 2010. Effective March 1, 2010. Re-approved by the Board of Governors 2013/06/24; 2014/06/23; 2015/06/22. Revised and approved by the Board Governance and Human Resources Committee: 2016/05/02; Re-approved by the Board of Governors 2016/05/03; Re-approved by the Board of Governors 2017/05/02; Name changed and re-approved by the Board of Governors 2018/05/01; Re-approved by the Board of Governors 2019/04/30; Re-approved by the Board of Governors 2020/05/05
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<b>Date of next review:</b>	2022/05
<b>Policies superseded by this policy:</b>	
<b>Related policies, procedures and guidelines:</b>	Healthy Workplace Policy, Policy Concerning Racism, Sexual Violence Policy, Code of Student Rights and Responsibilities, Workplace Violence Prevention Policy



## University Policy

### Workplace Violence Prevention Policy

<b>Topic:</b>	Workplace Violence Prevention
<b>Approval Authority:</b>	Board of Governors
<b>Approval Date:</b>	2021/05/04
<b>Effective Date:</b>	2010/03/01
<b>Last Revised:</b>	2018-05-01

#### 1. Description

1.1. Describes workplace violence and the University's commitment to protect its workers from workplace violence.

#### 2. Scope

2.1. This policy is intended to protect all persons working for York University including but limited to students, faculty, staff, and volunteers.

#### 3. Definitions

3.1. The term, “workplace violence” means:

- a. the exercise of physical force by a person against a worker, in a workplace, that causes or may cause personal injury to the worker;
- b. an attempt to exercise physical force against a worker, in a workplace, that could cause physical injury to the worker; or
- c. a statement or behaviour that it is reasonable for a worker to interpret as a threat to exercise physical force against the worker, in a workplace, that could cause physical injury to the worker.

#### 4. Policy

4.1. York University is committed to protecting all persons working for York University and shall take reasonable precautions to prevent workplace violence.

4.2. York University shall assess, and reassess as necessary, the risks of workplace violence that may arise from the nature of the workplace, the type of work or the conditions of work.

4.3. Anyone who engages in workplace violence shall be subject to complaint procedures, investigation, remedies, sanctions and discipline up to and including termination.

## 5. Review

5.1. This policy shall be reviewed at least annually

## 6. Responsibility

6.1. The Vice-President Equity, People & Culture shall be responsible for establishing a program, guidelines and procedures to implement this policy.

<b>Legislative history:</b>	Approved by UEC: 1996/09/16; Approved by the Board of Governors: 1991/05/13; Re-Approved by the Board of Governors: 1992/10/26; 1993/10/18, 1995/04/10; 1996/10/07; 1997/03/03; 1998/01/26; Approved and Revised by Board Audit Committee: 1998/12/08; Approved by the Board of Governors: 1998/12/14, Re-Approved by the Board of Governors: 1999/12/06, 2001/06/25, 2002/04/29; 2003/04/28; 2004/04/26; 2005/05/02; 2006/05/01; 2007/04/30; 2008/06/23; 2009/06/23; 2010/06/21; 2011/06/20; 2012/06/25; 2013/06/24; Revised and approved by the Board Governance and Human Resources Committee: 2014/05/26; Re-approved by the Board of Governors: 2014/06/23; 2015/06/22; Revised and approved by the Board Governance and Human Resources Committee: 2016/05/02; Re-approved by the Board of Governors: 2016/05/03; Name change and revisions approved by the Board Governance and Human Resources Committee: 2017/05/01 and re-approved by the Board of Governors: 2017/05/02; Re-approved by the Board of Governors:
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	2018/05/01; Re-approved by the Board of Governors 2019/04/30; Re-approved by the Board of Governors 2020/05/05
<b>Date of next review:</b>	2022/05
<b>Policies superseded by this policy:</b>	
<b>Related policies, procedures and guidelines:</b>	Healthy Workplace Policy, Policy Concerning Racism, Sexual Violence Policy, Code of Student Rights and Responsibilities, Workplace Harassment Prevention Policy



## Board of Governors

### Memorandum

To: Board of Governors

From: Bobb-Jean White, Chair, Finance and Audit Committee

Date: 4 May 2021

Subject: Banking Resolution Update

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### Recommendation:

**The Finance and Audit Committee recommends that the Board of Governors approve the following signing officers on University bank accounts:**

#### GROUP A

Chair, Board of Governors	Paul Tsaparis
President	Rhonda Lenton
Provost & Vice-President Academic	Lisa Philipps
Vice-President Finance and Administration	Carol McAulay
Secretary of the University	Pascal Robichaud

#### GROUP B

AVP Finance and CFO	Wendy Miller
Comptroller	Sanish Samuel
Assistant Comptroller	Judy Wu
AVP Budgets and Asset Management	Ran Lewin
Director of Procurement Services	Dexter King
Treasurer	Arijit Banik

For payments issued on the accounts held with the Bank of Montreal, HSBC Canada and the Royal Bank of Canada, any two signing officers of Group A and Group B are authorized to sign and/or endorse cheques, drafts, letters of credit, and orders for the payment of money.

## Board of Governors

All other banking obligations or liabilities of the University will require either two signatures of Group A or one of Group A and one of Group B.

### **Rationale:**

The Banking Resolution has been updated to reflect personnel change; specifically:

- The replacement of Assistant Comptroller, Ian Tytler, with Judy Wu, the newly appointed Assistant Comptroller, effective May 4, 2021.

## Board of Governors

### Memorandum

To: Board of Governors

From: Paul Tsaparis, Chair

Date: 4 May 2021

Subject: Pension Fund Board of Trustees Reappointment

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### Recommendation:

**The Executive Committee recommends that the Board of Governors approve the reappointment of Ran Lewin, as a Presidential (CPM) nominee, effective July 1, 2021 for a three-year term.**

Ran Lewin is the Assistant Vice-President, Budgets and Asset Management at York University, reporting to the Vice-President Finance and Administration. He graduated with a B-Com Accounting Honours from the University of Johannesburg. After completing his accounting and auditing training at KPMG South Africa, he was seconded to Toronto. His audit clients have included companies listed on the South African and Canadian stock exchanges in the construction, IT, and media sectors. In 2003 he joined York's Internal Audit department and was Director, Internal Audit from 2012 to 2019. He is a CPA-CA in Canada and South Africa, as well as a Certified Internal Auditor.

This is Ran's second term as a Pension Trustee.

### Rationale:

The Pension Fund Board of Trustees (BoT) has responsibility for the pension fund as delegated by the Board of Governors under a Trust Agreement. Its Terms of Reference, approved by the Board of Governors, specify that various bodies recommend members. Those recommended become members when they are approved by the Board of Governors and have signed an acknowledgement that they

## Board of Governors

are bound by the Trust Agreement. Even though a specific body nominates a Trustee, once appointed, Trustees do not represent only that particular body, but have fiduciary responsibilities to all the members and beneficiaries of the pension plan.

The normal term of office is three years, with retiring members being eligible for re-appointment to a maximum of nine consecutive years.

## Board and Committee Meeting Dates 2021-2022

<b>SEPTEMBER / OCTOBER 2021</b>		
<b>Tuesday September 21</b>	Investment Committee	12:15 pm – 2:00 pm
<b>Friday September 24</b>	External Relations	9:00 am – 11:00 am
<b>Monday September 27</b>	Finance and Audit	8:30 am – 11:00 am
	Governance and Human Resources	11:30 am – 1:30 pm
<b>Tuesday September 28</b>	Land and Property	10:00 am – 12:00 pm
	Academic Resources	12:30 pm – 3:00 pm
<b>Tuesday October 12</b>	Executive	9:30 am – 12:30 pm
	Board	1:30 pm – 4:30 pm

<b>NOVEMBER 2021</b>		
<b>Friday November 19</b>	External Relations	9:00 am – 11:00 am
<b>Monday November 22</b>	Finance and Audit	8:30 am – 11:00 am
	Governance and Human Resources	11:30 am – 2:00 pm
<b>Monday November 29</b>	Land and Property	10:00 am – 12:00 pm
	Academic Resources	12:30 pm – 3:00 pm
	Executive Dinner	6:00 pm – 8:00 pm
<b>Tuesday November 30</b>	Executive	10:00 am – 1:00 pm
	Board	1:30 pm – 4:30 pm
	Holiday Reception	6:00 pm – 9:00 pm

<b>DECEMBER 2021</b>		
<b>Tuesday December 7</b>	Investment	12:15 pm – 2:00 pm

<b>FEBRUARY/MARCH 2022</b>		
<b>Friday February 11</b>	External Relations	9:00 am – 11:00 am
<b>Thursday February 24</b>	Finance and Audit	8:30 am – 11:00 am
	Governance and Human Resources	11:30 am – 2:00 pm
<b>Monday February 28</b>	Land and Property	10:00 am – 12:00 pm
	Academic Resources	12:30 pm – 3:00 pm
	Executive Dinner	6:00 pm – 8:00 pm
<b>Tuesday March 1</b>	Executive	9:30 am – 12:30 pm
	Board	1:30 pm – 4:30 pm

<b>MARCH 2022</b>		
<b>Tuesday March 22</b>	Investment	12:15 pm – 2:00 pm

<b>APRIL 2022</b>		
<b>Thursday April 8</b>	External Relations	9:00 am – 11:00 am
<b>Monday April 18</b>	Finance and Audit	8:30 am – 11:00 am
	Governance and Human Resources	11:30 am – 2:00 pm
<b>Monday May 2</b>	Land and Property	10:00 am – 12:00 pm
	Academic Resources	12:30 pm – 3:00 pm
	Executive Dinner	6:00 pm – 8:00 pm
<b>Tuesday May 3</b>	Executive	9:30 am – 12:30 pm
	Board	1:30 – 4:30 pm

<b>JUNE 2022</b>		
<b>Tuesday June 7</b>	Investment Committee	12:15 pm – 2:00 pm

<b>JUNE 2022</b>		
<b>Monday June 6</b>	External Relations	3:00 pm – 5 pm
<b>Monday June 20</b>	Land and Property	9:00 am – 11:00 pm
	Governance and Human Resources	11:30 am – 2:00 pm
<b>Monday June 27</b>	Finance and Audit	9:30 am – 12:00 am
	Academic Resources	12:30 pm – 3:00 pm
	Executive Dinner	6:00 pm – 8:00 pm
<b>Tuesday June 28</b>	Executive	10:00 am – 1:00 pm
	Board	1:30 pm – 4:30 pm
	Hail and Farewell	5:00 pm – 8:00 pm

## Board and Committee Meeting Dates 2022-2023

<b>SEPTEMBER / OCTOBER 2022</b>		
<b>Tuesday September 20</b>	Investment Committee	12:15 pm – 2:00 pm
<b>Friday September 16</b>	External Relations	9:00 am – 11:00 am
<b>Monday September 19</b>	Finance and Audit	8:30 am – 11:00 am
	Governance and Human Resources	11:30 am – 1:30 pm
<b>Friday September 30</b>	Land and Property	10:00 am – 12:00 pm
	Academic Resources	12:30 pm – 3:00 pm
<b>Monday October 3</b>	Executive	9:30 am – 13:30 pm
	Board	1:30 pm – 4:30 pm

<b>NOVEMBER 2022</b>		
<b>Friday November 18</b>	External Relations	9:00 am – 11:00 am
<b>Monday November 21</b>	Finance and Audit	8:30 am – 11:00 am
	Governance and Human Resources	11:30 am – 2:00 pm
<b>Monday November 28</b>	Land and Property	10:00 am – 12:00 pm
	Academic Resources	12:30 pm – 3:00 pm
	Executive Dinner	6:00 pm – 8:00 pm
<b>Tuesday November 29</b>	Executive	9:30 am – 12:30 pm
	Board	1:30 pm – 4:30 pm
	Holiday Reception	6:00 pm – 9:00 pm

<b>DECEMBER 2022</b>		
<b>Tuesday December 6</b>	Investment	12:15 pm – 2:00 pm

<b>FEBRUARY 2023</b>		
<b>Friday February 10</b>	External Relations	9:00 am – 11:00 am
<b>Tuesday February 21</b>	Finance and Audit	8:30 am – 11:00 am
	Governance and Human Resources	11:30 am – 2:00 pm
<b>Monday February 27</b>	Land and Property	10:00 am – 12:00 pm
	Academic Resources	12:30 pm – 3:00 pm
	Executive Dinner	6:00 pm – 8:00 pm
<b>Tuesday February 28</b>	Executive	9:30 am – 12:30 pm
	Board	1:30 pm – 4:30 pm

<b>MARCH 2023</b>		
<b>Tuesday March 21</b>	Investment	12:15 pm – 2:00 pm

<b>APRIL 2023</b>		
<b>Friday April 14</b>	External Relations	9:00 am – 11:00 am
<b>Monday April 17</b>	Finance and Audit	8:30 am – 11:00 am
	Governance and Human Resources	11:30 am – 2:00 pm
<b>Monday May 1</b>	Land and Property	10:00 am – 12:00 pm
	Academic Resources	12:30 pm – 3:00 pm
	Executive Dinner	6:00 pm – 8:00 pm
<b>Tuesday May 2</b>	Executive	9:30 am – 12:30 pm
	Board	1:30 – 4:30 pm

<b>JUNE 2023</b>		
<b>Tuesday June 6</b>	Investment Committee	12:15 pm – 2:00 pm

<b>JUNE 2023</b>		
<b>Friday June 2</b>	External Relations	9:00 am – 11:00 am
<b>Monday June 12</b>	Land and Property	9:00 am – 11:00 pm
	Governance and Human Resources	11:30 am – 2:00 pm
<b>Monday June 26</b>	Finance and Audit	9:30 am – 12:00 am
	Academic Resources	12:30 pm – 3:00 pm
	Executive Dinner	6:00 pm – 8:00 pm
<b>Tuesday June 27</b>	Executive	9:30 am – 12:30 pm
	Board	1:30 pm – 4:30 pm
	Hail and Farewell	5:00 pm – 8:00 pm

# Health, Safety & Employee Well- Being

Annual Report, 2020

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YORK 

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## Introduction

This report summarizes the Health, Safety and Employee Well-Being (HSEWB) activities at the University in 2020 and presents some indicators of the University's performance. Also included are the 2020 strategic priority updates and 2021 strategic priorities.

## Background

To ensure that the University meets its obligations under the Occupational Health and Safety Act and the University's occupational health and safety policy (i.e., Healthy Workplace Policy) the Board of Governors, through the Governance and Human Resources Committee, annually reviews and approves the policy, evaluates performance indicators of key areas, and reviews annual health and safety goals and objectives. The annual policy review is covered under a separate memorandum to this Committee.

The University is required to comply with requirements and direction of the following regulatory bodies:

- › Ministry of Labour, Training and Skills Development (MOL)
- › Ministry of Training, Colleges and Universities
- › Workplace Safety and Insurance Board (WSIB)
- › Ministry of the Environment, Conservation and Parks
- › Canadian Nuclear Safety Commission
- › Public Health Agency of Canada
- › Toronto Public Health
- › Canadian Food Inspection Agency
- › Ministry of Foreign Affairs, Trade and Development
- › City of Toronto

In 2020, consultations and inspections were conducted, and annual reports were filed with the appropriate bodies, as/where required.

The University develops programs to support HSEWB with the goal of preventing or mitigating illness and injury and supporting legislative compliance.

University activities are guided by the following health, safety and well-being mission, and vision:

## Mission

To be an organizational leader promoting a healthy and safe workplace through participation, engagement, and shared responsibility.

## Vision

To develop, gather and provide credible and relevant information, services, and tools to prevent illness and injury, promote good health, support employee recovery, mitigate disability and optimize workplace participation, which serves the needs of the York University community.

## 2020 Highlights

In 2020, the University managed through a global pandemic while still focused on cultural change and service delivery. Highlights include:

- › Key shift to refocus effort toward COVID-19
- › Ensuring safety of staff and faculty by creating tools and templates in accordance with government directives and Public Health guidance
- › Modeling agility while providing hands on community support and COVID-19 limited contact and case management for Faculty/Staff
- › Strengthening the new operating structure of York's Joint Health and Safety Committees (JHSCs)
- › Continuing to re-framing of the Occupational Health and Safety (OHS) management system, including baseline reviews
- › Consultation on the Disability Support Program, managing 586 new employee disability and workplace incident claims in 2020 in addition to ongoing employee files
- › Building York's Culture of Well-Being proposal
- › Recommended participation in WSIB's Health and Safety Excellence Program

## Legislative Change

The following legislative change has impacted the University this year.

### WSIB Rate Framework

As of January 2020, the New Experimental Experience Rating (NEER) was replaced by a new WSIB rate framework, and York University has received a new individualized premium rate for 2020 of \$0.37 per \$100 of payroll. The final surcharge based on past performance was levied at the end of 2020. Due to the pandemic, the WSIB held the rates for 2020 into 2021 and the University remained at a premium rate of \$.37 per \$100 payroll. Going forward, WSIB will review the University's performance in the past six-year review period, and there is the potential that the University's rate could move up to two steps in 2022. WSIB has published that the difference between successive risk band rates is about 5%. The University anticipates that the 2022 rate will be approximately \$0.41 per \$100 of payroll. The University will confirm the estimated rate in Fall 2021. Ultimately, the rate framework will help to stabilize WSIB related costs and the University anticipates reduced costs over time, through prevention initiatives and active case management.

## 2020 HSEWB Program Overview & Outcomes

This section provides a detailed overview of the activities and outcomes of HSEWB, including:

- › COVID-19 Community Guidance and Pandemic Support
- › OHS Management System
- › Health and Safety Assessments and Guidance
- › Occupational Health and Disease Prevention
- › Workplace Incident Statistics and Costs
- › Employee Disability Support

### COVID-19 Community Guidance and Pandemic Support

Since March 2020, most of the University staff have worked remotely, with exceptions to maintain infrastructure, research, and support deemed required services. HSEWB was and continues to be involved in the following activities to support staff/faculty to ensure continuance of operations while working safely and healthy at home and on campus during this time to meet changing government directives and public health guidance:

- › On-site COVID-19 information sessions for Community Safety, Ancillary Services, Facilities Services at the beginning of 2020
- › Active involvement in the Emergency Operations Centre (currently renamed as COVID-19 Planning Group and COVID-19 Operations Response Group), Space Planning and Signage groups and other sub-committees
- › Development of Screening and Reporting protocols
- › Development of Employee Resources posted on the YU-link and YU Better Together websites, including but not limited to:
  - Health and Safety guidelines for returning to campus during the COVID-19 pandemic
  - COVID-19 General Safety Plan – York University
  - COVID-19 Safety Plan - Snapshot
  - COVID-19 Health and Safety Risk Assessment Form – Planning for Returning to Campus
  - Return to campus training (for staff/faculty required to be on campus) – covers measures such as infection prevention and control, hierarchy of controls to prevent the spread of COVID-19
  - Protocol for self-disclosure, screening, and incident management
  - Return to campus checklist for lab, research, and machine shops
  - JHSCs – Inspections COVID-19 Addendum
  - COVID-19 protocol for health and safety information for third parties
  - York’s mask or face covering selection, protocol, information sheet and FAQs
  - Eye protection cleaning and disinfecting instructions

- Weekly Wellness Wednesday communications providing helpful support suggestions for staff and faculty to manage through the pandemic
- Compilation of resources for mental health, domestic violence, work-life balance for employees from various resources such as SunLife benefits and Employee Family Assistance Program (EFAP) - service provider, Morneau-Shepell
- › Ongoing assistance to faculty/departments in risk assessments – personal protective equipment requirements and mask-fit testing, return to campus for areas approved to be open
- › Support to all community members
- › COVID-19 limited case and contact management for staff and faculty

## OHS Management System

The OHS management system guides all health and safety work occurring at the University. As there have been targeted priority areas within the management system, this section includes the following:

- › Modernization of the management system
- › Occupational Health and Safety audits
- › Area Health and Safety Officers (HSOs)
- › Health and Safety Committees

### Modernization of the management system

The University continues modernizing and expanding the OHS management system to increase focus on prevention and leadership, which are essential components of a culture that supports health, safety, and well-being. A framework was initially drafted based on Canadian Standard Association's Z1000-14 standard and several baseline reviews were completed, including the completion of a faculty review, to assess suitability in a pilot-style scenario. In 2020, the draft framework was updated based on Canadian/international occupational health and safety management system standards (CSA Z45001:19). Additionally, the Canadian psychological health and safety standard will be integrated where resources allow, which aligns with the University's focus on mental health as well as a holistic model of a healthy workplace. It is also based on the philosophy of continuous improvement, which means that implementation will be an iterative and continuous process.

### OHS Audits

After review and planning for changes to the OHS management system outlined above, Health and Safety audits will continue to be an integral part of measuring compliance, providing a forum for hazard identification and correction, and be a visible sign of a culture that values employees' health, safety, and well-being. Audits fall into the following three categories:

- › HSOs Annual Checklist. This process measures compliance-based items such as first aid kits and required posting of health and safety information.

- › Management System Audits. A faculty-based review was completed as a trial of the framework in an academic unit. Department and faculty reviews will be conducted on a cyclical basis and support continuous improvement.
- › Workplace Inspections. Regular workplace inspections help to identify hazards and opportunities for correction, supporting prevention. JHSCs play a vital role in conducting inspections, and they are required to do this monthly. Managers and others also conduct inspections on a regular basis; this is an important component of the management system. Due to COVID-19 restrictions, many areas were closed and the JHSCs and area managers were not able to conduct inspections of all the areas. The inspections were limited to only the open buildings/areas. Re-prioritized available time was invested in COVID-19.

### HSOs

There is a network of over 79 HSOs representing all areas of the University. HSOs submit an annual report to HSEWB, providing information relating to workplace safety and hazard control issues arising over the course of the previous 12 months and actions taken or planned. The area HSOs provide a link between HSEWB and the University community to disseminate health and safety information and contribute to the advancement and maintenance of a safe and healthy workplace. In October 2020, the University launched a Health and Safety Officer program (HSO). This program was designed to support HSOs with tools and clear workplace responsibilities.

### Health and Safety Committees

#### JHSCs

JHSCs assist in the creation and maintenance of a safe and healthy work environment and are an integral part of the University's OHS Management System and Internal Responsibility System. The University continues to have 23 JHSCs which are based on hazards/location.

The purpose of the University's JHSCs is to:

- › Identify workplace hazards
- › Make recommendations to the employer to control those hazards

JHSCs are consulted as part of the review of the University's Healthy Workplace Policy, and in the development and review of existing and proposed health and safety policies and programs. The JHSCs conduct regular workplace inspections, ensuring that the workplace is inspected at least once annually, with parts of the workplace being inspected each month. JHSCs are also involved in incident investigations and participate in Ministry of Labour visits and inspections. As part of their responsibilities under the Occupational Health and Safety Act, JHSCs make recommendations to supervisors/managers to address health and safety concerns, including findings from workplace inspections. This transformation also included the formation of an over-arching committee to support decision-making and dispute resolution, the Health and Safety Executive Council (HSEC). This council includes members of each employee/faculty union along with a cross-section of senior leaders from across the University.

As reported previously to this committee, the transformation of the JHSC system, was a two-year consultative process, with implementation starting in 2019. In 2020, the University continued with the implementation stage, and has completed, or is continuing with the following activities:

- › Transitioned the JHSC structure to foster improved compliance and local involvement by members knowledgeable about the hazards in their areas
- › Provided JHSC Certification training to 25 new JHSC members
- › Each JHSC continues to receive technical support from a designated member of the HSEWB
- › Utilizing the JHSCs website as a resource of information with respect to their activities (i.e., minutes are posted) and available tools
- › Organizing and hosting a virtual JHSC appreciation event for all the committees and invited the HSEC members in November 2020. This event was an opportunity to recognize the important work of JHSC members and provide professional development

*Table 1 A summary of JHSC activities*

	<b>Total (2020)</b>
Number of committees	23
JHSC meetings	83
JSHC inspections	91

*Table 2 A summary of HSEC activities*

	<b>Total (2020)</b>
Number of committees	1
HSEC meetings	4
Recommendation(s) submitted by JHSCs	9
Approved recommendation(s)	8
Declined recommendation(s)	1

### *Biosafety Committee*

The Biosafety Committee (BSC) is led by the University’s Biosafety Officer (BSO), working with committee members to inspect, commission, and decommission labs, develop procedures and guidelines for safe handling, emergency/spill response, disinfection and bio-hazardous waste disposal, and administer the permit/certification system for all research involving biological agents. As of December 2020, there are 63 Biosafety (BS) permit holders, 3 of which were new, issued as outlined in Table 3. The BSO also provides expert advice to the University community regarding exposure to biohazardous materials, including reportable, communicable diseases, by liaising with the medical consultant (as needed) and regulatory agencies.

*Table 3 Summary of Biosafety activities*

	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>
BS Certificate Approval - New	33	2	3	3	3
BS Certificate - Renewal	25	23	13	19	25
Bio-containment Cabinets and Laminar Flow Hood Certification	41	43	44	46	35

Due to the pandemic, there has been interest in research related to COVID-19. As the University does not have a Containment Level 3 facility, research with the actual virus and viral particles is prohibited on University premises. The BSO, along with the BSC, has developed a guideline for research with SARS-CoV-2 (COVID-19) samples in York University Research Labs, for those researchers who wish to work with specimens based on the Biosafety advisory: SARS-CoV-2, published by the Public Health Agency of Canada.

The Biosafety Officer has assisted the Human Participant Research Committee (HPRC) in reviewing health and safety proposals regarding face-to-face research with human participants, based on public health directives and has advised the division of the Vice-President Research & Innovation and the HPRC committee in next steps on research approval.

Processes continue to remain in place to streamline the administrative burden on researchers. Due to restrictions from the pandemic, the Biosafety Committee has decided that annual inspections be exempted for existing Biosafety permit holders. Biosafety inspections will only be held for research spaces assigned to new researchers/Biosafety permit holders or if a researcher is not in good standing.

### *Radiation Safety Committee*

The Radiation Safety Program is led by the University Radiation Safety Officer (RSO) who works with the University's Radiation Safety Committee to establish criteria for the use of nuclear substances at the University, within the licensing conditions established by the Canadian Nuclear Safety Commission (CNSC). The committee also inspects, commissions, and decommissions radioisotope laboratories, as well as develops procedures and guidelines for the safe handling and disposal of radioisotopes, and emergency response protocols. The RSO administers the permit system for use of all radioisotopes, provides radiation safety training to staff and students, and manages the dosimetry program (which measures individuals' radiation exposures). The Radiation Safety Program is reviewed by the Committee once every three years and was last reviewed in March 2019. The Committee meets quarterly and inspects all lab areas of radioisotope use at least once a year. An annual compliance report for 2020 was submitted by the Committee to the CNSC in January 2021.

The University complied with all CNSC requirements and issued 12 internal radioisotope permits in 2020. Fifty-two personal radiation doses were monitored in 2020; maximum dose received by any one user was 0.52 mSv for body and 0.89 mSv for extremity (finger), which were well below the regulatory limit of an annual effective dose of 1 mSv for non-nuclear energy workers. A total of seven radioisotope lab inspections were conducted in 2020, with

three labs that conducted self-inspections due to COVID-19 restrictions and reported back to the Committee. The majority of required items to meet the Radiation Safety Program were in full compliance; all non-compliance items were corrected within a week. No reportable events occurred in 2020. Radioactive work continues in research following COVID-19 precautions.

New for 2020, with the approval of the Radiation Safety Committee, is the establishment of the Laser Safety Sub-committee. This sub-committee consists of representation from faculty, staff and student members involved with laser and laser systems in their departments who function as a peer review committee. This committee meets on an annual basis. The Laser Safety Program was reviewed in March 2020, in consultation with the applicable JHSCs.

### Health and Safety Assessments and Guidance

To ensure due diligence in decision making, HSEWB provides support to the community for health and safety issues and concerns on matters such as:

- › Ergonomics
- › Occupational Hygiene Assessment and Health and Safety Guidance

HSEWB also provided health and safety training for over 2000 staff and students in 2020.

### Ergonomics

The University continues to encourage completion of ergonomics training as well as self-help tools for ergonomics and manual material handling, to minimize repetitive strain risks. The Ergonomics Program was updated in June 2020. Table 4 below outlines the number of assessments for the past five years.

*Table 4 Ergonomic assessments completed 2016 - 2020*

	2016	2017	2018	2019	2020
Ergonomic assessments conducted*	146	117	139	140	28
Virtual Ergonomic consultations conducted	0	0	0	0	24

*\*Due to the University working in required services mode as of March 2020, the number of on-site assessments declined as a majority of University employees were working remotely. Instead, HSEWB offered a different process for online ergonomic consultation during the COVID-19 pandemic to support employees in setting up workstations through a virtual video meeting or by phone to maximize comfort using available resources at home.*

Ergonomic assessments may be done as part of an accommodation plan or to supplement self-learning ergonomic concerns; one-on-one assessments are conducted and include an educational component (including wellness tips), and equipment adjustments that may include recommendations for specialized equipment.

## Occupational Hygiene Assessment and Health and Safety Guidance

HSEWB conducts or arranges selected environmental testing, respirator fit testing, testing of equipment, and laboratory inspections. The total number of tests conducted in 2020 decreased due to the COVID-19 pandemic restrictions.

Assessments such as air quality, mold and asbestos are conducted as pre-move or post-construction checks, response to concerns from individuals, or follow up actions to water leaks and other incidents. These assessments lead to verification of suitability of the environment, modifications to ventilation systems and/or repairs or remediation. Table 5 below summarizes the testing and assessments conducted by HSEWB from 2016-2020.

*Table 5 Testing and other assessments conducted 2016 - 2020*

Tests Conducted	2016	2017	2018	2019	2020
Bio-containment Cabinets/Laminar Flow Hoods	41	43	44	46	35
Radioactive Sealed Sources Leak Testing	7	0	3	4	3
Radioisotope Laboratories Monitoring	20	10	7	6	7
X-RAY Machine Quality Assurance Testing	2	1	0	3	1
Biosafety Laboratory Inspection and Commissioning	26	13	26	18	3
Indoor Air Quality	22	43	24	32	10
Indoor Mold Assessment	5	12	32	26	1
Asbestos Testing	23	43	6	16	0
Chemical/Biological/Radiation Spills	2	27	2	0	1
Other Hygiene and General Safety	34	53	74	96	5
Workplace Noise Testing of Areas > 85 dBA	3	3	0	2	0

## Occupational Health and Disease Prevention

HSEWB administers several occupational health and disease prevention programs, designed to establish fitness to work in settings such as biological labs as well as monitor exposures over time. This section provides an overview of:

- › Medical Surveillance Program
- › Hearing Conservation Program

### Medical Surveillance Program

Medical surveillance programs establish the initial health status (baseline) of a person and ensure adequate safety measures are enacted for the hazards present in the workplace. The University's medical surveillance program includes medical surveillance for those working with biological hazards, lasers as a baseline assessment to determine suitability to work with specific substances, and audiometric testing to monitor employees over time who are exposed to occupational noise. Table 6 below provides an overview of participation in medical surveillance activities.

*Table 6 Number of participants in medical surveillance activities 2016 - 2020*

	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>
Animal Care Workers and other biohazards	24	64	51	42	36
Vision Screening for New Laser Workers	8	22	32	20	20

Workers who may be at risk of exposure to biological hazards are required to complete a medical questionnaire and to be assessed by a medical practitioner, to ensure that applicable immunizations (Tetanus, Hepatitis A/B) and medical tests (e.g., TB tests) are completed, before work begins and annually for specific work activities.

### Hearing Conservation Program

Audiometric or hearing tests are conducted annually for employees occupationally exposed to high noise levels, to monitor the effectiveness of the hearing conservation program in preventing and reducing hearing loss (See Table 7). Note: Due to the COVID-19 pandemic, audiometric testing was not conducted in 2020. Management in relevant areas were advised to continue following the procedures in the hearing conservation program and advise their employees to see their medical provider should they have any hearing related concerns.

*Table 7 Number of participants in audiometric testing*

	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>
Audiometric Testing	87	59	83	71	0

### Workplace Incident Statistics and Costs

The following sections provide information on categories of workplace incidents. Management of injuries and tracking of injury trends enable the identification of causes, corrective actions, and management of costs, as well as provide information to inform programs, procedures, and training initiatives. Specifically, included below is an overview of:

- › 2020 WSIB Claims
- › Comparisons to Ontario University WSIB data
- › WSIB Costs
- › Causes of Workplace injuries/illnesses

## 2020 WSIB Claims

WSIB claims arise from workplace injuries requiring lost time or health care. Table 8 summarizes the University's WSIB claims year over year. Data as of December 31, 2020, shows the following:

- › 39 approved claims (18 lost time and 21 health care)
- › 85.5 days lost
- › 2.19 average days lost per claim
- › 0.19 LTI frequency rate
- › Severity rate: 15.82

*Table 8 WSIB Claim History*

Year	Approved Claims		Lost Days	Average # of lost days per claim	Frequency	Severity
	Lost Time	Health Care				
<b>2020</b>	18	21	85.5	2.19	0.19	15.82
<b>2019</b>	37	61	787.7	20.24	0.41	18.40
<b>2018</b>	49	71	596.82	12.18	0.59	8.25
<b>2017</b>	46	47	401.2	8.72	0.54	8.26
<b>2016</b>	43	52	575.2	13.37	0.51	7.71
<b>2015</b>	30	60	499.1	16.64	0.38	6.97
<b>2014</b>	39	60	617.3	15.83	0.46	7.33
<b>2013</b>	45	38	865.8	19.24	0.51	9.86
<b>2012</b>	44	52	838.9	19.07	0.51	9.71
<b>2011</b>	40	51	991.5	24.79	0.46	11.46
<b>2010</b>	50	63	1342	26.84	0.62	16.66

Frequency and severity <sup>1</sup>are measures that show the impact of work-related injuries and illnesses on the University. These measures normalize injury statistics based on the number of workers and hours worked, allowing for better comparison of the measures between years as well as with other organizations as they are industry-standard measures.

Frequency is a measure of the number of lost-time injuries per 100 full-time equivalent workers (or 200,000 hours worked). Severity, a measure of the year-to-date days lost per 100 full-time equivalent workers (or 200,000 hours worked) has been impacted by significant injury claims, several of which have been unable to return to work and have resulted in maximum NEER costs. Overall, severity rates have been rising in the past four years with frequency remaining relatively consistent (see Figure 1). This year, the reduction in frequency is due to remote work requirements. The increase in severity rates can be explained by longer

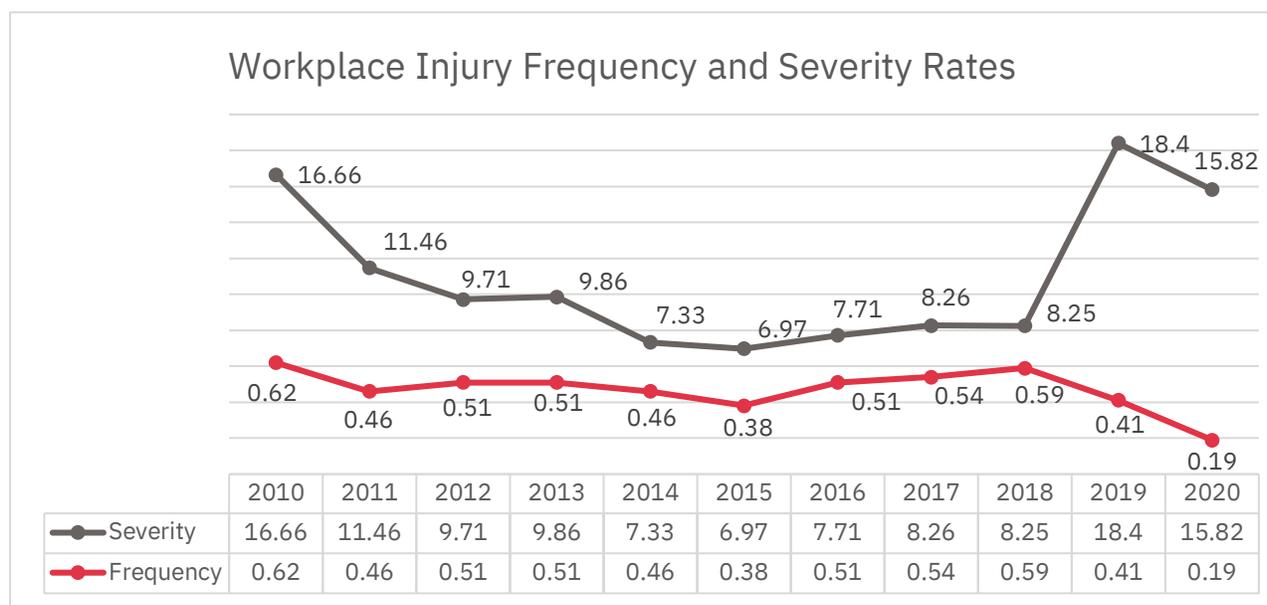
<sup>1</sup> 1Frequency – the number of lost-time injuries per 100 full-time equivalent workers or 200,000 hours worked

Severity – the year-to-date days lost per 100 full-time equivalent workers or 200,000 hours worked

wait times for treatment, an aging population, and the challenges with return to work into the physical jobs where most severe incidents occur. Increased resources in HSEWB, combined with cultural shift can help prevent incidents and facilitate early and safe return to work, which would lower frequency and severity rates over time.

The University continues to strive to reduce workplace incidents through proactive measures such as health and safety training, inspections and workplace hazard assessments. The university recognizes and affirms its responsibility to provide a safe and healthy workplace for all staff and faculty.

Figure 1 Workplace injury frequency and severity rates



### Comparison to Ontario University WSIB Data

The following charts illustrate the University’s WSIB injury frequency and severity rates compared to the Ontario university sector 2010-2019 (2020 data is not yet available). Frequency data is provided by the Public Services Health and Safety Association (PSHSA) and reflects statistics for all Ontario universities. Severity data presented is provided by Ontario universities that reported their annual data to CEHSO. Figure 2 illustrates that the University’s frequency rate is higher than PSHSA frequency rates for all Ontario Universities; this could be explained by the difference in types of services provided in-house, versus services contracted out, as at various universities. For example, many universities contract out higher risk services such as food service and security, whereas the University does not. The University’s severity rate, illustrated in Figure 3, has been consistently lower than the university benchmark, which could point to better access to treatment and the University’s effective early return to work efforts.

Figure 2 WSIB Injury Frequency for all Ontario Universities vs York University, 2010 -2019

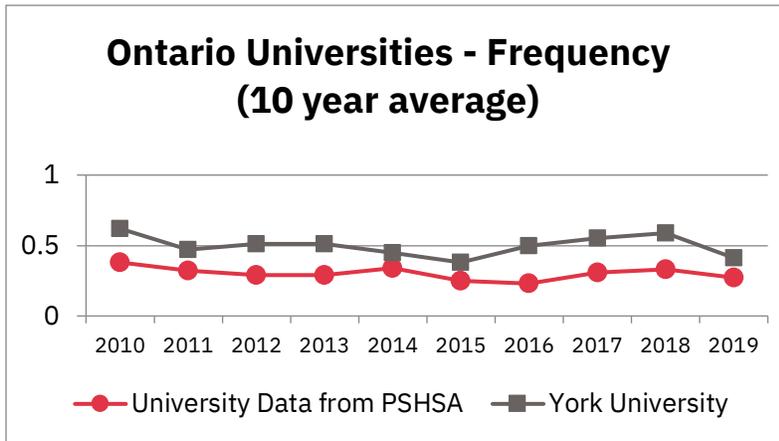
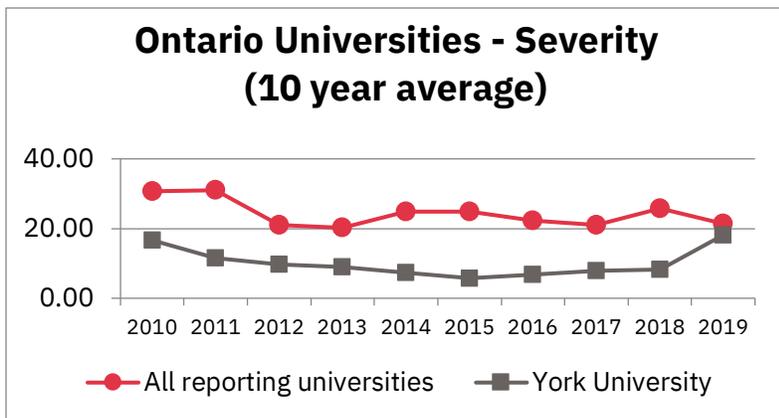


Figure 3 WSIB Injury Severity for all Ontario Universities vs York University, 2010 -2019



### WSIB Costs

Beginning in 2021, a new WSIB Rate Framework system determines premium rates, as described below.

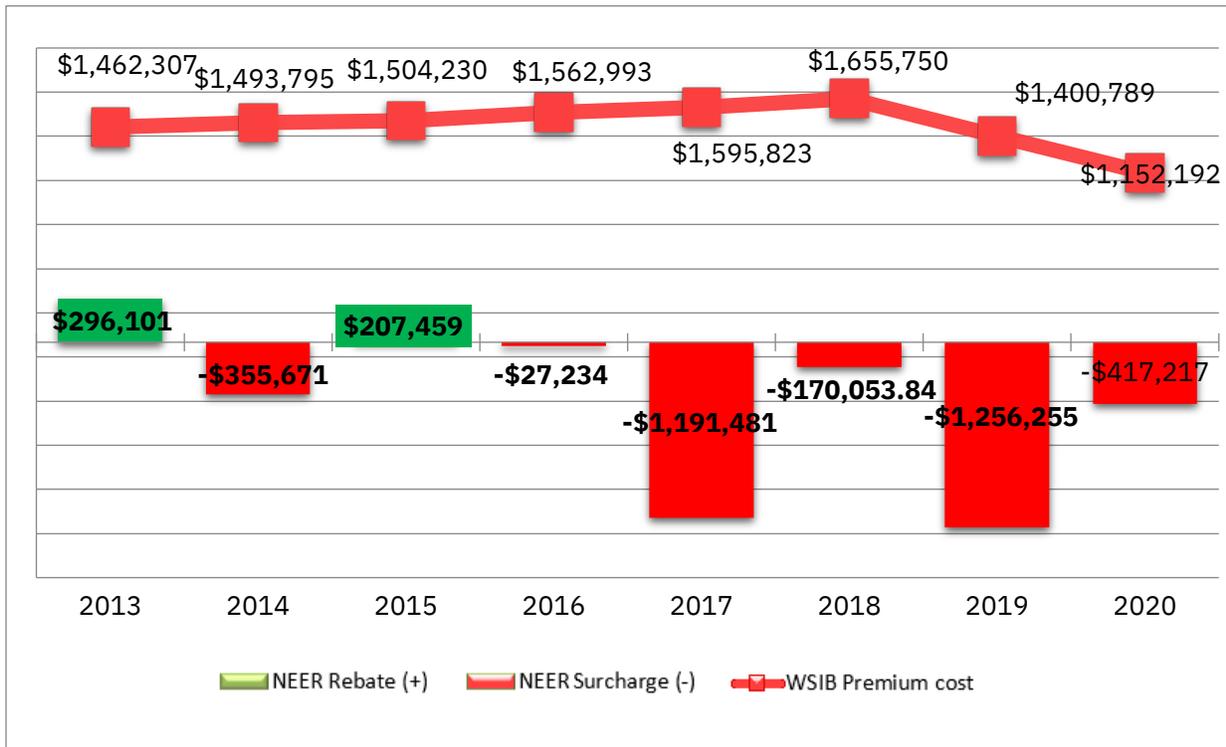
The most recent update of WSIB costs is presented in the Q4 - 2020 WSIB Report to the Governance and Human Resources Committee.

The WSIB premium rate of \$0.36 per hundred dollars of payroll remained static from 2011 to 2016. In 2017, it increased to \$0.37, and in 2019, was reduced to \$0.29. In the new rate framework referenced above, the University was assigned a starting premium rate of \$0.37 per hundred dollars of payroll and has remained the same for 2021.

The following summarizes the University’s WSIB costs up December 31, 2020 as illustrated in Figure 4:

- › WSIB Premium: \$1.15M
- › NEER Overall Surcharge for the period of 2016 – 2019: \$2.9M
- › Surcharge paid in December 2020 for 2016 – 2019: \$417K

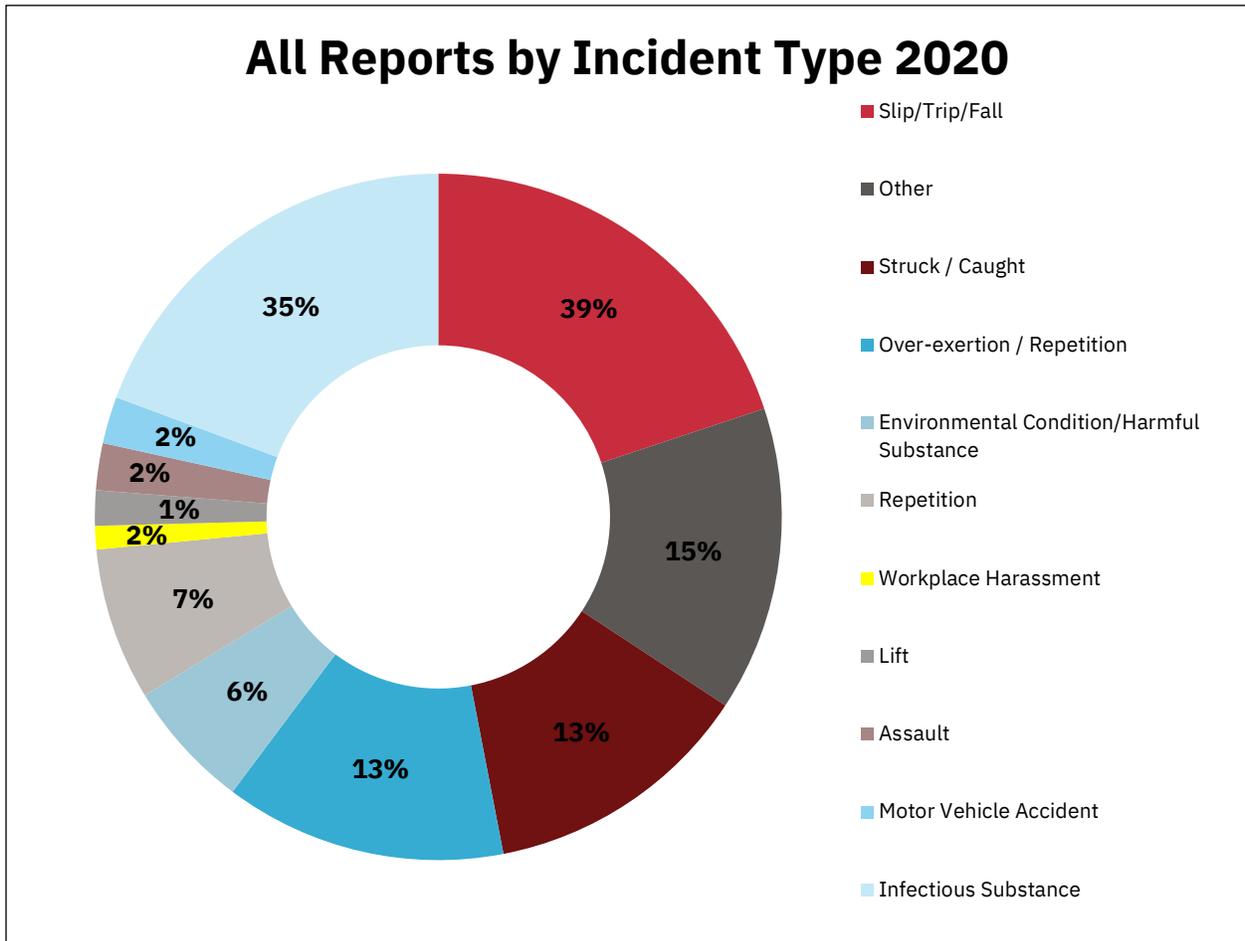
Figure 4 Net WSIB Costs 2013-2020



### Causes of Workplace Injuries/Illness

Figure 5 illustrates that the largest cause of all reported workplace incidents- injuries, illnesses and near misses in 2020 was Slip/Trip/Falls, which accounted for 39% of all reports. This is followed by Infectious Substance (35%), Struck/ Caught (13%), and Over-exertion (13%). We noted a reduction in incidents classed as other as compared to 2019 reflecting improvement in managers’ incident investigations with respect to identifying root causes and contributing factors.

Figure 5 All reported incidents classified by type of incident, 2020



The leading cause of workplace injuries involving lost time in 2020 continues to be Slips/Trips/Falls, accounting for 33% of allowed claims (Figure 6). The largest cause of lost days due to injury in 2020 was over-exertion, accounting for 51% of costs as calculated from the WSIB Approved Claims Report for 2020 and 41.3% of lost time (Figure 7).

Figure 6 Lost time accidents by type, 2020

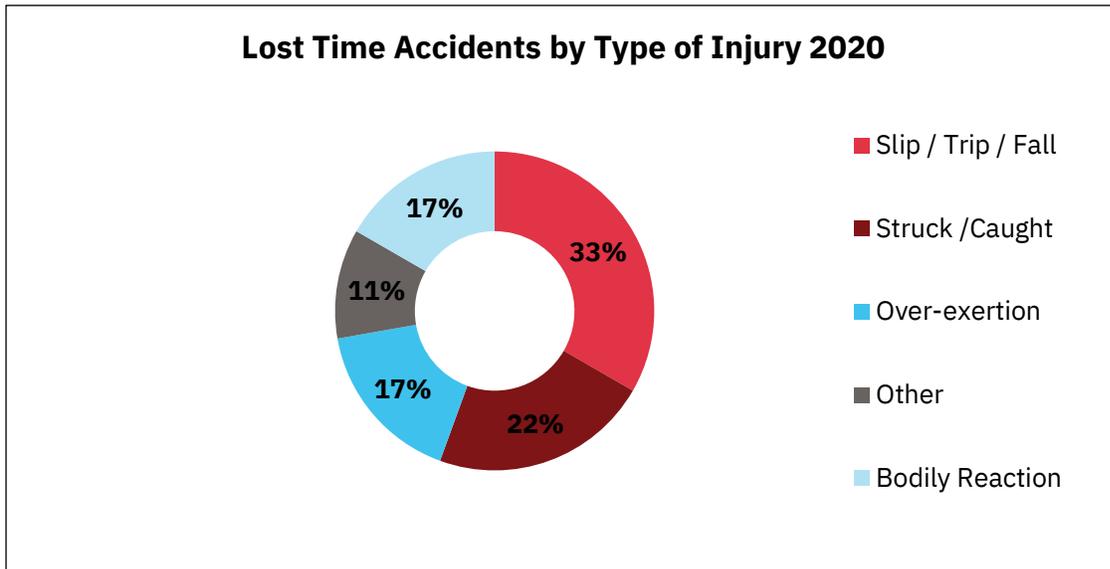
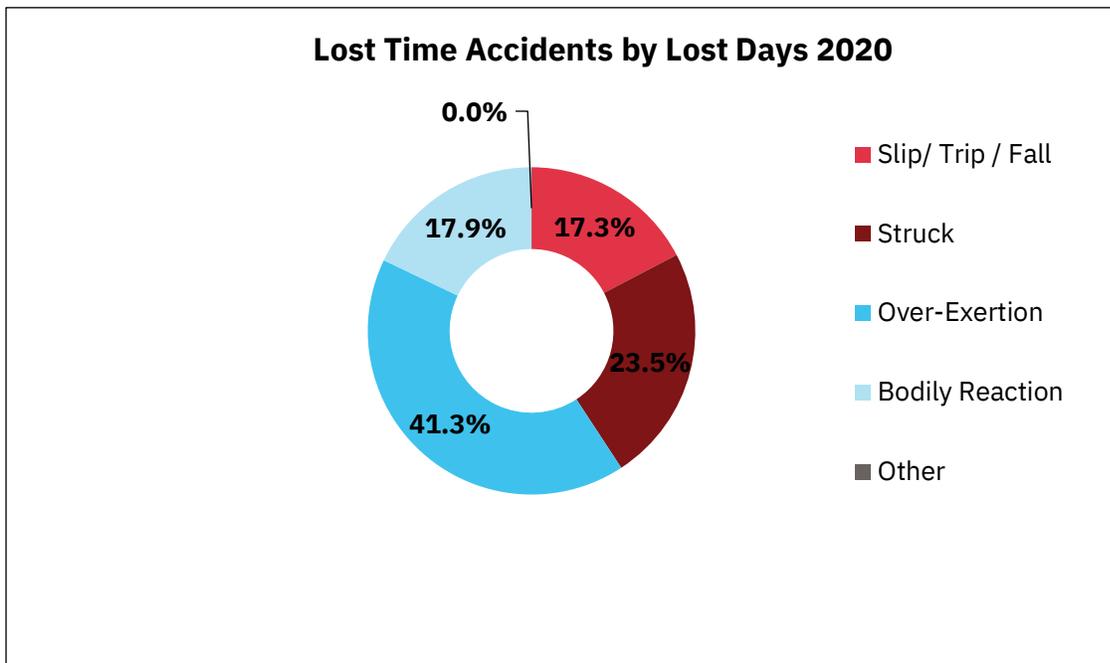


Figure 7 Lost time accidents by days lost, 2020



### Employee Disability Support

The University case-manages short-term absences greater than 10 days, supports medical accommodation requests, assists with transition from Short Term Disability (STD) to Long Term Disability (LTD), ensures appropriate case management, and is involved in planning for return to work. LTD claims are adjudicated and managed by Sun Life, once approved. This section provides an overview of:

- › Disability Support Program Updates
- › Accommodation in Employment for Persons with Disabilities
- › LTD in 2020

### Disability Support Program Updates

While the Employee Well-Being (EWB) team returned to full staff complement in May 2020, due to the pandemic and need for this team to engage in community support and COVID-19 case and contact management, this project continued to be on hold. In 2021, the University will recommence the project to develop the Disability Support Program and processes in collaboration and consultation with various stakeholders. The goal of the program is to decrease the impact of illness and injury to the employee and workplace through the prevention and mitigation of absences and disability. The Disability Support Program will provide clear processes and role information with on-time tools for stakeholders to support employees with disabilities during absence/injury; or to support employees to stay at work and be productive, or, to transition employees to LTD.

### Accommodation in Employment for Persons with Disabilities

Employers have an obligation to accommodate workers who have a disability, either temporary or permanent. The University is committed to meeting the needs of any faculty or staff member with a medical disability, requiring a medically supported accommodation, to enable them to perform their work and to fully participate in the workplace. The University applies the principles stated in the Ontario Human Rights Code and the Workplace Safety and Insurance Act, in the development of accommodation and early and safe return to work programs and strategies.

The University is responsible for the administration and implementation of accommodation guidelines and procedures. In WSIB, and both short and long-term disability processes, HSEWB works collaboratively with faculty, staff, unions, academic administrators, non-academic managers, and external insurers, to assist employees with medical disabilities to remain at work or return to work after recovering from an illness or injury.

### LTD in 2020

#### *Summary of 2020*

Table 9 shows the LTD claims history for the period 2013-2020.

The following is a summary of York University's LTD claims for 2020:

- › 22 claims approved in 2020
- › The average duration of active LTD claims is 12.1 months
- › 93 active LTD cases (as of February 23, 2019), 61 of which are deemed to be permanently disabled
- › In 2020, 78% of LTD cases that closed were resolved through return to work

Table 9 LTD Claims 2013 - 2020

Year	Submitted Claims	Approved Claims	Resolved Claims status by % of claims resolved in year*		
			Return to Work	No Longer Disabled	Change of Definition
2020	30	22	78%	17%	6%
2019	53	35	82%	9%	9%
2018	42	37	75%	20%	5%
2017	50	20	73%	9%	18%
2016	34	30	55%	36%	9%
2015	39	37	79%	16%	5%
2014	28	25	62%	31%	8%
2013	42	30	76%	14%	10%

\* all numbers rounded to nearest percentage point, may not add up to 100%

- › Return to Work: Employee’s condition resolved, and they returned to work at York University
- › No Longer Disabled: Employee was no longer considered disabled by SunLife – may or may not have returned to work at York University
- › Change of Definition: Employee was no longer considered disabled at the two-year Change of Definition date

### LTD Claim Trends

LTD claim trends for 2020 indicate that mental health is the largest contributor of claims (27%), followed by cancer (14%) and musculoskeletal (23%). These trends are similar compared to previous years. As with all health indicators, there are many contributing factors to mental health; it is anticipated that culture change which supports employees’ well-being will positively impact, LTD performance over time though COVID may result in an increase of mental-health related sick absence. The University has recently reconvened the former Mental Health Steering Committee to re-envision wellbeing support for the Universities staff, faculty, and students.

## 2020 Strategic Priorities Update

Table 10 spotlight visual on progress against 2020 priorities.

Building the HSEWB team	<ul style="list-style-type: none"> <li>• Filled 2 vacant/2 new positions and successfully onboarded</li> <li>• Re-visited the Mission and Vision</li> </ul>
Root cause analysis of the incidents	<ul style="list-style-type: none"> <li>• From the past 5 years has been completed</li> </ul>
Employee health and safety orientation training	<ul style="list-style-type: none"> <li>• New JHSCs structure, hazard reporting and area Health and Safety Officers were included in the update</li> </ul>
Hazard Reporting Program	<ul style="list-style-type: none"> <li>• This program was launched in 2021</li> </ul>
Embarking on community engagement processes	<ul style="list-style-type: none"> <li>• Slow progress towards embarking on a community engagement process to understand the current state of our culture, and to define and envision the desired future</li> </ul>
Process to establish University's health, safety and well-being culture	<ul style="list-style-type: none"> <li>• "Current state" to include detailed compliance and management system examination, incident root cause analysis and community engagement process</li> <li>• Slow progress, due to the extensive support required for the pandemic</li> </ul>
University's Internal Responsibility System	<ul style="list-style-type: none"> <li>• Continued change management with the JHSCs</li> <li>• In October 2020, Launched an updated Area Health and Safety Officer Program</li> </ul>
WSIB Health and Safety Excellence program - Financial rebate	<ul style="list-style-type: none"> <li>• In partnership with the Council of Universities (COU), Council of Environmental Health and Safety Officers (CEHSO)</li> <li>• Participation continues and the topics are due to the WSIB by October 2021</li> </ul>
Disability Support Program	<ul style="list-style-type: none"> <li>• Drafting and implementation was placed on hold due to the pandemic and will recommence in 2021</li> </ul>

The colours represent the status of completion of the strategic objectives.

Green: Complete

Yellow: In Progress

Red: On hold due to the pandemic

Despite the challenges posed by COVID-19 in 2020, HSEWB made continual progress on their priorities while providing significant support to the University's pandemic response.

## 2021 Strategic Priorities

In 2021, the University will continue to focus on planning, prevention and change initiatives toward a Culture of Well-Being. The primary focus will continue to be the development of a long-term plan to improve well-being culture with deliverables in 2021 as outlined below. The desired shift in the Universities well-being culture is a multi-year endeavor. HSEWB continues with the work of this long-term plan which includes milestones and identification of success indicators for the coming years.

The following shorter-term activities are planned in 2021 which are foundational to continued progress toward a Culture of Wellbeing:

- › Primary focus on COVID-19 community guidance and pandemic support.
- › Continued partnership with the Council of Universities (COU), Council of Environmental Health and Safety Officers (CEHSO), to participate in the new WSIB Health and Safety Excellence program to collaborate on program development and realize financial rebates from WSIB.
- › Community engagement process to understand the current state of our culture, and to define and envision the desired future.
- › Strengthening the University's Internal Responsibility System through continued change management to the JHSCs and through a follow up survey of the HSO about the newly released HSO program.
- › Commence drafting and beginning implementation of a new Disability Support Program.
- › Drafting and launching a Lockout Tag-out program.

Further information will be included in forthcoming quarterly reports to the Governance and Human Resources Committee of the Board of Governors.

# **SUSTAINABLE INVESTING REPORT 2020**

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**MARCH 2021**

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**York University Endowment Fund  
Board Investment Committee**



## **SUSTAINABLE INVESTING REPORT**

### **Background**

In 2018, the Board approved revisions to the Endowment's Statement of Investment Policies and Procedures (SIPP) to reflect the University's commitment to sustainable investing. During the ensuing years, York has become a founding member of the University Network for Investor Engagement (UNIE), and is a member in good standing for the Responsible Investment Association (RIA), the Canadian Coalition for Good Governance (CCGA), and the Carbon Disclosure Project (CDP).

York's sustainable investing strategy integrates environmental, social and governance (ESG) factors in the overall management of its endowment portfolio. The University believes that these factors can affect risks and returns, and that organizations that effectively manage ESG factors are more likely to endure and create sustainable value over the long term. The University's approach to sustainable investing is evolving, and one that will adapt as the linkage between ESG factors and, risks and returns become better understood over time.

The University also believes active engagement through its investment managers is an effective approach in assessing ESG factors, and that an active approach will generate better and sustainable returns relative to a negative screening process, which would arbitrarily exclude certain investments.

The Sustainable Investing Report reflects the University's pledge to report to the community on how the University integrates ESG practices in the management of its portfolio.

### **YORK'S COMMITMENT**

**York University's commitment states that:**

- 1. The University will monitor Investment Manager ESG integration and engagement on a regular basis. Such monitoring will include an annual reporting process to the University on incorporation of ESG factors by Investment Managers.**
- 2. The University will report annually to the University community, as part of its overall reporting of investment performance, on how managers incorporate ESG factors in their evaluation process.**

**Investment managers are required to provide the University with information on the following:**

- i. An enumeration of ESG factors that were incorporated in the investment decision-making and portfolio construction for York’s investment, such as a particular ESG category or categories (i.e. environmental, social, or governance) and/or specific factors within those categories;
- ii. An explanation of the methodology used to incorporate these ESG factors;
- iii. A description of the scope of the application of ESG factors (i.e. are these factors applied to the entire portfolio, or only certain sectors, or types of investments?); and
- iv. A copy of any ESG or related policies that they have, that apply to York’s investment.

The scope of the request for 2020 was expanded to include York’s real estate managers and these managers have provided York with responses to those questions for this year’s publication. Since York’s equity and fixed income managers have reported on the above in previous reports (2018, 2019); those managers were asked to provide the following for the 2020 report:

- i. An update on ESG integration for their investment strategy.
- ii. A carbon footprint of their portfolio in the form of its carbon intensity reading.
- iii. A summary of future ESG and sustainability initiatives.

**United Nations Principles for Responsible Investment**

All of York’s investment managers abide by the six United Nations Principles for Responsible Investment (UN PRI), listed below.

- **Incorporate ESG issues into investment analysis and decision-making processes.**
- **Be active owners and incorporate ESG issues into their ownership policies and practices.**
- **Seek appropriate disclosure on ESG issues by the entities in which they invest.**
- **Promote acceptance and implementation of the Principles within the investment industry.**
- **Work together to enhance the effectiveness in implementing the Principles.**
- **Report on activities and progress towards implementing the Principles.**

The PRI represents a framework "by which all investors can incorporate ESG issues into their decision-making and ownership practices and so better align their objectives with those of society at large" (<http://www.unpri.org>).

The responses to York University’s Endowment Investment Managers appear in the following order:

<b>Investment Manager</b>	<b>UN PRI Signatory</b>	<b>Date Signed</b>
<b>Equity Managers</b>		
1. Baillie Gifford	Yes	26 June 2007
2. C Worldwide	Yes	21 December 2011
3. Harris Associates LP	Yes	12 February 2019
4. Lazard Asset Management LLC	Yes	11 December 2014
5. Morgan Stanley Investment Management	Yes	26 July 2018
6. TD Asset Management	Yes	3 July 2008
7. Unigestion	Yes	25 March 2013
<b>Fixed Income Managers</b>		
1. RBC Global Asset Management	Yes	26 August 2015
2. Manulife Asset Management	Yes	1 December 2015
3. Stone Harbor Investment Partners LP	Yes	21 June 2012
<b>Real Estate Managers</b>		
1. BentallGreenOak	Yes	13 March 2008
2. Landmark Partners	Yes	10 October 2016

## **CONCLUSION**

The endowment’s investment portfolio will continue to evolve with greater emphasis placed on investing sustainably. The Endowment Fund’s investment committee has committed a 10% allocation of the fund to sustainable focused infrastructure. Current and future investment managers are expected to demonstrate a commitment to ESG principles and sustainability. Each of the current portfolio managers integrate ESG principles in their investment decisions to varying degrees, using their own philosophy and methodologies.

This report demonstrates the commitment of York’s investment portfolio managers to actively manage ESG risks in their investment decisions and build upon those approaches. The responses from York’s investment managers follow.

## INVESTMENT MANAGER ESG INTEGRATION

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### Baillie Gifford – Global Equity Manager (Long Term Global Growth Fund (LTGG))

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#### 2020 Developments

In 2020, Baillie Gifford commissioned an independent climate change expert to review holdings within the portfolio to deeply examine climate-related opportunities and threats. This work is continuing in 2021 and Baillie Gifford will report further on preliminary findings later in the year. Baillie Gifford's dedicated Governance and Sustainability team has grown to include 24 individuals (more than doubling in number since 2017) and works closely with all the firm's investment teams through internal discussions, debate and collaboration. This has enabled the Governance and Sustainability team to produce more thematic and company analyses on ESG issues, and to increase the level of coverage across all portfolios, including the LTGG.

In 2020 Baillie Gifford welcomed the publication of the Institutional Investors Group on Climate Change (IIGCC) Net Zero Framework which provides guidance for investors seeking to align portfolios with the Paris climate agreement.

#### Carbon Intensity

Baillie Gifford views carbon footprinting as a useful tool in understanding a portfolio from a carbon perspective but does not set a target, as a footprint number will fluctuate over time for reasons that do not indicate improvement or deterioration in the carbon efficiency of portfolio companies. The carbon intensity of LTGG portfolio as of December 31, 2020 was 13.8 tons of carbon dioxide equivalent (tCO<sub>2</sub>e) per C\$ 1M revenue vs. 137.2 tCO<sub>2</sub>e per C\$1M revenue for the MSCI ACWI benchmark.<sup>1</sup>

#### Future Developments

Baillie Gifford became an official supporter of the Task Force on Climate-related Financial Disclosures (TCFD) in 2020 and will be aligning its own reporting with the TCFD recommendations over the course of 2021. Baillie Gifford's governance and sustainability documents are available [online](#).

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<sup>1</sup> Based on the ISS-Ethix Climate Solution carbon footprinting tool, MSCI ACWI = Morgan Stanley Capital International All Country World Index

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## C Worldwide – Global Equity Manager (Global Equities)

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### 2020 Developments

During Q2 2020, C WorldWide Asset Management (CWW AM) became official supporters of the TCFD. CWW AM believes the integration of ESG in the investment process is valuable to identify material risk and opportunities but is reliant on consistent and standardized reporting from the investee companies to make those decisions. CWW AM feels the TCFD recommendations work to encourage exactly that and will enable CWW AM to make better informed investment decisions.

### Carbon Intensity

CWW AM equity pool's carbon intensity was reported as 67.6 tCO<sub>2</sub>e per US\$ 1M revenue.<sup>2</sup>

### Future Developments

CWW AM believes two developments will force companies on a more sustainable path in 2021 and beyond:

1. Countries (e.g. New Zealand, European nations) mandating that climate disclosures are in line with TCFD standards.
2. Climate Action 100+ to release a Net Zero Company Benchmark in 2021 to assess company progress on climate action. The ambition is to push companies to set net zero emission targets that include scope 3 emissions and alignment with 1.5°C global warming trajectory using TCFD and Science-Based targets (SBTi).

CWW AM's sustainable investing and stewardships documents are available [online](#).

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<sup>2</sup> Source: Pier 21 C Worldwide ESG Annual Report. Carbon data from South Pole, yourSRI.

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## Harris Associates – Oakmark Global Pooled Fund (Global Equities)

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### 2020 Developments

Harris continues to use ESG factors as an integral part of its investment process, and to evolve its ESG approach in response to underlying issues. Harris made progress on a number of specific areas in 2020, including adding a new carbon and climate data feed from Institutional Shareholder Services (ISS), hiring a Director of Responsible Investing, becoming a supporter of the Transition Pathway Initiative, and publishing a Climate Policy on its [website](#).

### Carbon Intensity

Harris' Oakmark Global Pooled Fund's weighted average carbon intensity was reported as 57.91 tCO<sub>2</sub>e per C\$ 1M revenue as at December 31, 2020.<sup>3</sup>

### Future Developments

Harris intends to continue its ESG journey in 2021, with various initiatives. These include enhancing its process to prioritize and track ESG-related engagements; sourcing new ESG data for use in the investment research process; updating the proxy voting policy; and aligning the company's climate risk governance, strategy, and risk management with the recommendations of the TCFD.

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<sup>3</sup> Source: ISS ESG Climate Impact Assessment.

### 2020 Developments

There were no changes to Lazard’s Global Equity Franchise’s investment philosophy or portfolio construction process in 2020. The investment process for the Lazard Global Equity Franchise strategy hinges on the long-term valuations of companies. Analysis for each company is conducted from a bottom-up perspective. The company valuations take into account all factors at the security level that Lazard’s analysts think will have a financial impact, including those associated with ESG. Lazard may choose not to own a particular company due to an ESG issue or may adjust the position size or target price to reflect the ESG risk. While a portfolio manager/analyst is never prohibited from purchasing or holding a position due to an ESG issue, those issues are considered as part of the investment decision. ESG factors described are applied across the entire portfolio but, there are certain sectors (tobacco, energy, mining) which are removed or subject to additional scrutiny due to environment, societal license, and other ESG issues.

### Carbon Intensity

Lazard’s Global Equity Franchise’s carbon intensity was reported as 95.3 tCO<sub>2</sub>e per US\$ 1M revenue as at December 31, 2020.<sup>4</sup>

### Future Developments

Lazard has made the following documents available to the public:

- [Sustainable Investment Report](#)
- [ESG Policy](#)
- [Climate Change Investment Policy](#)
- [Proxy Voting Policy](#)
- [Engagement Policy](#)

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<sup>4</sup> Source: Sustainalytics Carbon Portfolio Report.

## 2020 Developments

In 2020, Morgan Stanley Investment Management (MSIM) hired a Global Head of Sustainability and established a centralized Sustainability team. MSIM also joined the One Planet asset manager initiative. Following the 2015 Paris Agreement to collectively mitigate the effect of climate change, the One Planet Summit was held on December 12, 2017. At that time, the One Planet initiative was established by a group of six sovereign wealth funds to accelerate the transition to a low-carbon economy. Eight asset managers launched the One Planet Asset Manager (OPAN) program in 2019, which MSIM subsequently joined in 2020.

Morgan Stanley Investment Management (MSIM) engaged with portfolio companies in 2020 on various topics, including:

- Leadership Transition, Technology Risk Management and Financial Inclusion in Banking
- Sustainability Strategy and Management Incentives in Enterprise Software
- Culture, Diversity and Inclusion, and Sustainability Strategy at an Audio Streaming Platform
- Carbon Efficiency and Driver Well-Being in Ride-booking and Food Delivery
- Tobacco

## Carbon Intensity

MSIM's Global Opportunity Fund's carbon intensity was reported as 12 tCO<sub>2</sub>e per US\$ 1M revenue as at December 31, 2020.<sup>5</sup>

## Future Developments

MSIM's annual [ESG and Sustainable Investing Report](#) is available to the public. It summarizes engagement initiatives with portfolio companies and the Global Opportunity Fund's carbon intensity.<sup>6</sup>

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<sup>5</sup> Source: MSIM, Carbon Disclosure Project, MSCI ESG Research LLC. Data is based on an estimate of scope 1 and 2 carbon emissions.

<sup>6</sup> [https://www.morganstanley.com/im/publication/insights/investment-insights/ii\\_esgandsustainableinvestingreport\\_us.pdf](https://www.morganstanley.com/im/publication/insights/investment-insights/ii_esgandsustainableinvestingreport_us.pdf)

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## TD Asset Management – Low Volatility Global Equity Fund (Global Equities)

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### 2020 Developments

TD Asset management (TDAM) updated its Sustainable Investing Approach and has recently staffed a dedicated ESG Research and Engagement team to endure consistency in the firm's ESG approach across all asset classes. TDAM became a signatory to the RIA Canadian Investor Statement on Diversity and Inclusion (D&I). By signing on, TDAM will look to advance D&I within the firm and its investments.

### Carbon Intensity

TD Emerald Low Volatility All World Equity Pooled Fund Trust carbon intensity was reported as 571.77 tCO<sub>2</sub>e per US\$ 1M revenue as at December 31, 2020 versus 171 tCO<sub>2</sub>e per US\$ 1M revenue for its benchmark.<sup>7</sup> TDAM stated that the majority of carbon intensity in the portfolio stems from utility holdings.

### Future Developments

TDAM plans to advance board gender diversity within proxy voting and has signed onto the 30% Club Canadian Investor Group's Statement of Intent. Membership of the Canadian 30% Club Investor Group shows commitment to exercising rights to encourage increased representation of women on corporate boards and in executive management positions in Canada. In 2021, TDAM will vote against all incumbent members of the nominating committee if less than 30% of the board is represented by women. If there are no incumbent nominating committee members up for election or if the board does not maintain a nominating committee, TDAM will vote against all incumbent members of the board.

TDAM's [Sustainable Investing Policy](#) is available to the general public, as are TDAM's Responsible Investing Transparency Reports.<sup>8</sup>

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<sup>7</sup> Data provided by TDAM.

<sup>8</sup> TDAM's Responsible Investing Transparency Reports in support of UN PRI and Sustainable Investing Policy are available at this link [https://www.tdaminstitutional.com/tmi/content/AU\\_CorpVision?language=en\\_CA](https://www.tdaminstitutional.com/tmi/content/AU_CorpVision?language=en_CA)

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## Unigestion – All Country World Equities Fund (Global Equities)

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### 2020 Developments

Over the course of 2020, a number of enhancements were made in terms of Unigestion's ESG integration. Unigestion's analysts developed a methodology to assess the alignment of its equity portfolios with respect to a Paris Agreement trajectory of well below 2°C. The firm developed a methodology to determine climate scenario analysis for companies using the World Induced Technical Change Hybrid (WITCH) model developed by the European Institute on Economics and the Environment based on six distinct scenarios for the years 2020 to 2100, which Unigestion incorporates into forward-looking analysis. Unigestion recognizes climate-related risks as part of the companies' risk profile and excludes any company with a carbon intensity of more than 3,000 tCO<sub>2</sub>e /US\$ 1M in revenues within the global universe. That target was implemented in Q1, 2020.

### Carbon Intensity

Unigestion All Country World Equities Fund carbon intensity was reported as 106 tCO<sub>2</sub>e per US\$ 1M revenue as at December 31, 2020 versus 226 tCO<sub>2</sub>e per US\$ 1M revenue for the MSCI AC World benchmark.<sup>9</sup>

### Future Developments

Unigestion will continue to enhance its Policy in 2021 to meet responsibilities as set out under the Sustainable Finance Disclosure Regulation (SFDR) that comes into effect on 10 March 2021. Unigestion plans to roll out the first round of climate scenario analysis on its equities portfolios to measure the firm's alignment with the Paris Agreement. Unigestion also plans to support the TCFD, and provide more meaningful carbon reporting by including Scope 3 emissions as well as by using ownership instead of weighted average intensity.

Unigestion's [responsible investment policies and reports](#) are available to the public.

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<sup>9</sup> Source: Trucost. Unigestion calculations. Direct and First Tier Indirect. Direct emissions are the greenhouse gases emitted by the reporting entity (equivalent to the Greenhouse Gas Protocol's scope 1 emissions). First-tier indirect emissions are the greenhouse gases emitted by an entity's first-tier suppliers. This will include scope 2 and some upstream scope 3 emissions.

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## RBC Asset Management – Bespoke Fixed Income Portfolio (Global Fixed Income)

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### 2020 Developments

The global fixed income (GFI) mandate managed under RBC Asset Management (RBC GAM)'s umbrella portfolio incorporates BlueBay and Philips Hagar & North (PH&N) strategies.

BlueBay: there was a review of its ESG Investment Policy which was finalized in June 2020. BlueBay continued to develop ESG investment data infrastructure during 2020 resulting in the migration of corporate issuer ESG evaluations into a centralized credit research platform, the Alpha Research Tool (ART), with the plan to migrate sovereigns (i.e. sovereign nation fixed income securities) in Q4 2020.

PH&N: Mortgage Investment Team worked with RBC's Corporate Governance and Responsible Investment (CGRI) group to conduct geospatial analysis across the PH&N Mortgage Funds. The focus of this analysis was to determine the exposure to climate change, and more specifically to flood risk and fire risk across different climate scenarios.

### Carbon Intensity

RBC GAM's GFI mandate's carbon intensity was calculated as 389.67 tCO<sub>2</sub>e per US\$ 1M revenue as at December 31, 2020 based on the weighted average of allocation to BlueBay and PH&N funds. The carbon intensity measurements (based on scope 1 and 2 emissions) and has been arrived at with different methodologies for the BlueBay and PH&N funds.<sup>1011</sup>

### Future Developments

RBC GAM became a formal supporter of the TCFD and is committed to publish its first RBC GAM 2020 TCFD Report in Early 2021.

RBC GAM's [Approach to responsible investment](#) and [Stewardship in action](#) documents are available for review.

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<sup>10</sup> BlueBay: All holdings as at 31.12.2020. MSCI ESG Research. Analysis based on issuers and subsidiaries. Most measures in the MSCI carbon analysis use an equity ownership methodology that is not applicable to fixed income investments, and the inclusion of Fixed income securities in a portfolio may lead to misleading results for those measurements.

<sup>11</sup> PH&N: All holdings as at 31.12.2020. MSCI ESG. Carbon Intensity is calculated tones/\$1million USD in Sales. Sales figures used to calculate carbon intensity sourced from MSCI ESG. Emissions data year is latest on record from MSCI ESG, and in all cases came from 2014,2016,2017,2018, 2019, or 2020. Includes scope 1 + 2 emissions. Where a company does not report its own emissions, MSCI ESG provides a proprietary estimate. Securities where MSCI ESG did not provide scope 1 + 2 emissions data were dropped from the analysis.

## 2020 Developments

For Manulife Investment Management (MIM), ESG is integrated in three broad stages of the investment process.

- i. ESG Due Diligence: investment team considers ESG factors which may be material to its investment view of a company during initial and ongoing due diligence, leveraging third party ESG research data and the expertise of our ESG Research and Integration Team.
- ii. ESG Risk Monitoring: ESG data is leveraged in daily and periodic risk processes and includes a highlighting of positions with low ESG scores, and meetings between the investment team and an ESG analyst to discuss portfolio-level ESG exposures.
- iii. Active Ownership: Based on processes (i) and (ii) the team may enter engagements with the purpose of encouraging the company to adopt certain practices related to management of ESG factors.

## Carbon Intensity

MIM Strategic Fixed Income Strategy's weighted average carbon intensity was calculated as 554.8 tCO<sub>2</sub>e per US\$ 1M revenue as at December 31, 2020. The figure incorporated scope 1 & 2 and the upstream from scope 3. MIM stated that the majority of carbon intensity in the portfolio stems from utility holdings.

## Future Developments

In 2021 MIM is a participating member of the United Nations Environment Programme Finance Initiative (UNEP FI) TCFD pilot project with the goal to enhance MIM's own TCFD reporting and provide usable output for industry participants.<sup>12</sup> In addition, MIM is launching an environmental portfolio for investors seeking to align their portfolios with the overarching goal of curbing carbon emissions rapidly as per the Paris Agreement.

MIM's [Environmental, Social and Governance Policy](#) and [Sustainable and responsible investing report](#) documents are available for review.

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<sup>12</sup> Information on UNEP FI can be found here <https://www.unepfi.org/>

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## Stone Harbor Investment Partners LP – High Yield Bond Fund (Global High Yield)

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### 2020 Developments

Stone Harbor has integrated issuer-level data from ESG data provider Sustainalytics into its proprietary risk management system, which allows the investment team to efficiently access a broader set of ESG data for independent investment analysis, portfolio construction and risk analytics. For corporate bonds, the investment team has developed an internal scoring system. Analysts seek to document relevant engagements with management, perform due diligence on each portfolio credit, and monitor and encourage both adherence to specific ESG criteria and improvement in performance relative to relevant benchmarks, appending research notes to the rating template of each credit issuer. In addition, Stone Harbor has pledged support for the Diversity Project, a cross-company initiative championing a more inclusive culture within the Savings and Investment profession.

### Carbon Intensity

Stone Harbor's Global High Yield Fund's carbon intensity was calculated as 447 tCO<sub>2</sub>e per US\$ 1M revenue as at December 31, 2020, compared to an index value of 367 tCO<sub>2</sub>e per US\$ 1M revenue.

### Future Developments

Stone Harbor has broadened ESG analysis to include corporate carbon emissions data and is in the process of implementing portfolio-level reporting for carbon metrics such as weighted average carbon intensity, as provided for the York University Endowment portfolio. While the coverage falls short of 100%, Stone Harbor is able to weigh the degree of corporate integration as a factor for ESG scores on a company-by-company basis. In addition, for sovereign issuers, Stone Harbor can report greenhouse gas (GHG) emissions. At this time, the firm has not formulated reduction targets in portfolios.

Stone Harbor's updated [ESG Policy](#) is available for public review.

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## **BentallGreenOak – Prime Canadian Fund (Real Estate)**

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### **Enumeration of ESG Factors**

As part of the investment decision-making and portfolio construction process, various ESG indicators are evaluated such as climate risk, building certifications, energy performance, environmental risk, controversial tenants, labour relations, social impact, renewable energy, and proprietary technology.

### **Explanation of methodology**

BentallGreenOak (BGO) utilizes a proprietary ESG Risk Matrix, developed in alignment with international best practices such as the UN Sustainable Development Goals (SDGs). As part of the ESG due diligence during the acquisition process, BGO evaluates sustainability metrics including energy performance if available, and the opportunity to attain, third-party certifications. BGO carries out environmental risk assessments as part of the acquisition due diligence process. Careful consideration is given to green building certifications, Walk Scores, transit scores, and Central Business District (CBD) focused real estate. BGO focuses on communities where innovation is helping local economies flourish, and where talented employees are increasingly choosing to live, work, and play, as well as cities that offer a sustainable lifestyle.

### **Application of ESG Factors**

- i. Actively manage climate risk through data driven insights, and stakeholder engagement to enhance the resilience of long-term investments.
- ii. Implement commercially prudent measures to minimize sustainability-related risk for client portfolios.
- iii. Execute industry-leading programs aimed at reducing energy, water, waste and GHG emissions within the organization and investment portfolio.
- iv. Achieve third-party certification and recognition to improve quality control, transparency, and asset sustainability.
- v. Provide sustainable investing leadership and innovation in the global real estate industry.
- vi. Foster occupant and community engagement in order to achieve sustainable goals by being proactive.

### **Reporting**

BentallGreenOak's sustainable investing portal can be accessed [here](#).

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## **Landmark Real Estate Partners – VIII Fund (Real Estate)**

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### **Enumeration of ESG Factors**

The majority of Landmark Partners investments are in the secondary market where the firm assumes ownership stakes in hundreds of partnerships and thousands of underlying assets. Landmark believes that effectively integrating ESG consideration into its investment process supports its mission to deliver consistent and strong risk-adjusted returns.

### **Explanation of methodology**

It is Landmark's preference to invest in underlying funds that demonstrate a commitment to standards of good conduct, and demonstrate performance beyond minimum standards, including ESG areas, namely the environment (e.g. pollution and waste), social (e.g. labour laws, health and safety, human rights), and governance (e.g. anti-bribery and corruption, ethics, accounting) impacts.

### **Application of ESG Factors**

Landmark will use influence with fund sponsors and investment managers to encourage best practices aligned with ESG considerations. Landmark's diligence process aims to develop an understanding of investment exposures and risks. Data is aggregated through review of fund reporting, direct interaction with fund sponsors, market research, and utilization of Landmark's network of market professionals. Fund sponsors and investment managers are requested to provide information regarding their ESG policies during Landmark's diligence process. Results are incorporated in the Investment Memo and logged in Landmark's investment evaluation files.

### **Reporting**

Landmark's ESG policy can be accessed [here](#).

## Carbon Intensity

### Carbon Intensity Reported by Investment Managers

In April 2017, MSCI conducted a carbon portfolio analysis of York Endowment Fund's equities. The Carbon Intensity of the equities was measured as 325.0 tCO<sub>2</sub>e per US\$ 1M revenue as at December 31, 2016, compared to an MSCI ACWI (index) value of 236.1 tCO<sub>2</sub>e per US\$ 1M revenue.<sup>13</sup> For 2020, after normalizing for values in US dollars and taking into account the allocations to respective equity managers in the Endowment Fund at 2020 year end, the Carbon Intensity of the York's Global Equity portfolio was 114.5 tCO<sub>2</sub>e per US\$ 1M revenue, representing a 64.7% decrease from the 2016 year end value of 325.0 tCO<sub>2</sub>e per US\$ 1M revenue.

York Endowment Fund (Equities)	
Year	Carbon Intensity t CO <sub>2</sub> e / US\$M Sales
2016	325.0
2020	114.5

The Carbon Intensity data for equity and fixed income managers is provided below for information. These measurements are a snapshot in time and subject to change. Data is dependent on the methodology of the respective service provider, portfolio composition, the asset class in question, and the scope of emissions (1, 2, and 3) used.

Investment Manager	Carbon Intensity t CO <sub>2</sub> e / US\$M Sales
<b>Equity</b>	
Baillie Gifford	17.6
C Worldwide	67.6
Harris	59.4
Lazard	95.3
Morgan Stanley	12.0
TDAM	571.8
Unigestion	106.0
<b>Equity (Wt. Avg)</b>	<b>114.5</b>
<b>Fixed Income</b>	
RBC GAM	390

<sup>13</sup> The report also stated that the Weighted Average Carbon Intensity value was 427.9 tCO<sub>2</sub>e per US\$ 1M revenue versus an MSCI ACWI (index) value of 222.3 tCO<sub>2</sub>e per US\$ 1M revenue.

Manulife	555
Stone Harbor	447
<b>Fixed Income (Wt. Avg)</b>	<b>461</b>

Fixed Income as an asset class is more difficult to assess than equities given that fixed income portfolios hold sovereign bonds. Sovereign bonds are financial instruments that provide capital to national governments, which makes the emissions associated with them the primary focus of a sovereign bond carbon footprint analysis. However, there are varying opinions on the appropriate scope at which to consider a country’s GHG emissions based on carbon accounting protocols.

When a sovereign bond is assessed, it is necessary to question whether double counting of emissions from the sovereign nation’s private and household sectors has been avoided.

A few of the many questions to consider are:

- Can different sectors of an economy be separated?
- Should emissions created domestically but then exported (e.g. coal, liquified natural gas, crude oil) be considered as part of the carbon footprint? What about imports of goods created internationally but consumed domestically?
- Should there be normalization of emissions to help compare economics of different sizes, wealth, structure?

A resource on the challenges of sovereign bond carbon footprint determination is available [here](#).<sup>14</sup>

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<sup>14</sup> Desme, G., & Smart, L. (2018, June). Accounting for Carbon: Sovereign Bonds. Longfinance.Net. [https://www.longfinance.net/media/documents/education-accounting-for-carbon-sovereign-bonds\\_v3.pdf](https://www.longfinance.net/media/documents/education-accounting-for-carbon-sovereign-bonds_v3.pdf)

## Appendix

### Glossary

**Carbon intensity:** Carbon intensity is the measure of CO<sub>2</sub> produced per dollar of GDP. In other words, it's a measure of how much CO<sub>2</sub> is emitted per dollar generated in the economy. A rapidly decreasing carbon intensity is considered a positive for the environment and the economy. Energy consumption is growing increasingly efficient and that less production and consumption is based on burning fossil fuels.

**Greenhouse Gas (GHG):** Greenhouse gases are those gaseous constituents of the atmosphere, both natural and anthropogenic, that absorb and emit radiation at specific wavelengths within the spectrum of thermal infrared radiation emitted by the Earth's surface, the atmosphere itself, and by clouds.

**Scope 1, 2 & 3:** Three “scopes” (scope 1, scope 2, and scope 3) are defined for GHG accounting and reporting purposes.

**Scope 1 – Direct GHG Emissions:** Direct GHG emissions occur from sources that are owned or controlled by a company, for example, emissions from combustion in owned or controlled boilers, furnaces, vehicles, etc.; emissions from chemical production in owned or controlled process equipment. Direct CO<sub>2</sub> emissions from the combustion of biomass shall not be included in scope 1 but reported separately. GHG emissions not covered by the Kyoto Protocol, e.g. CFCs, NO<sub>x</sub>, etc. shall not be included in scope 1 but may be reported separately.

**Scope 2 – Electricity Indirect GHG Emissions:** Scope 2 accounts for GHG emissions from the generation of purchased electricity consumed by a company. Purchased electricity is defined as electricity that is purchased or otherwise brought into the organizational boundary of the company. Scope 2 emissions physically occur at the facility where electricity is generated.

**Scope 3 – Other Indirect GHG Emissions:** Scope 3 emissions are a consequence of the activities of the company but occur from sources not owned or controlled by the company. Some examples of scope 3 activities are extraction and production of purchased materials; transportation of purchased fuels; and use of products and services.

**TCFD:** The [Financial Stability Board](#) established the TCFD to develop recommendations for more effective climate-related disclosures that could promote more informed investment,

credit, and insurance underwriting decisions and, in turn, enable stakeholders to understand better the concentrations of carbon-related assets in the financial sector and the financial system's exposures to climate-related risks. For more information on the TCFD go [here](#).