



**HIGHLIGHTS AND ACHIEVEMENTS  
2015-2016**

## EXECUTIVE DIRECTOR'S MESSAGE

### Update on Strategic & Operational Plan

As many of you know, in June 2015, CAUBO launched a five-year strategic plan that positions the Association to play an appropriate and important role in addressing the higher education administration sector's most significant issues. I can assure you that the plan has not been collecting dust on a shelf. The CAUBO team and community have been very active in operationalizing the plan. The emphasis in year one has been to develop new processes and adequate structures that will enable CAUBO to deliver on its core commitments.

In parallel with these discussions, staff have been busy implementing new resources to meet member needs as identified in the Plan.

The new CAUBO website has been launched with the goal of providing members with easier access to resources that inform decision-making and problem solving. Its centerpiece is the Knowledge Centre, a hub of information that will make it easy to find resources indexed by topic and searchable via keyword.

Further to our goal of fostering a strong community of university administrators, we have launched a renewed listserv function, with archived discussions for later reference. This responds to members' expressed need and desire for an email-based peer-to-peer sharing platform.

A revised role and process for volunteer engagement was piloted with five functional level thought leader advisory groups contributing to the issue-based, member-guided prioritization structure outlined in the Plan. A culmination of these discussions was vetted by a VP thought leader group with representation from each of the functional levels also engaged in this meeting. Let me share some of the highlights from your peers' discussions:

- The number one outcome was the unanimous opinion that CAUBO can and should play a role as a national body to identify, develop, collect and report operational benchmarks.
- The high degree of desire and need for common data sets for Canadian higher education administration was also acknowledged, with CAUBO exercising a leadership role in promoting the creation of these datasets at the national level.

At its April meeting, the CAUBO Board mandated staff to begin work on these issues by:

- Identifying ways by which the Financial Information of Universities in Canada (FIUC) report could transition from a primarily financial report, to one that enhances financial and operational benchmarking.
- Conducting an environmental scan: inventory and document what higher education administration data is currently collected, by whom, for what purposes; identifying and prioritizing what data would be most valuable at the national level and developing principles around which sector stakeholders can rally and engage.

As you can see, we are on course to achieving our strategic goals with the guidance of members and the Board. We will continue to engage and dialogue with members as we operationalize the plan for years 2-5.

Our sincere gratitude goes out to everyone who participated in the TLAG discussions and to all dedicated volunteers who continue to contribute their time and expertise to maintaining and enhancing our offerings.

Nathalie Laporte  
Executive Director



In addition to maintaining a focus on building the structures to support the Strategic Plan, CAUBO and its volunteers have been very active on many other fronts.

## ADDRESSING THE SECTOR'S MOST SIGNIFICANT ISSUES AND OPPORTUNITIES

### Administrative Burden:

*Tri-Agencies and the concept of risk associated with internal charges*

- CAUBO worked with members to outline issues related to the documentation and approval requirements for low-dollar value internal charges incurred by research grants. A meeting was held with the Tri-Agencies to invite them to work together to address these issues. The Tri-Agencies have acknowledged that a risk-based approach can and should be applied to certain types of internal charges that pose lesser risks. We continue to work with them to establish a compliance framework that will decrease the administrative burden associated with these transactions in keeping with the Tri-Agencies risk tolerance.

*Reducing the administrative burden in Canada in research management*

- An initiative undertaken jointly by CAUBO, CASRAI, CARA and other key stakeholder groups focuses on reducing undue administrative burden in various research management processes in Canada, and where federal programs are a source of this burden, to support/inform efforts at Innovation, Science and Economic Development Canada (ISED) to achieve a tangible reduction of the burden. A Steering Committee co-chaired by CAUBO and CASRAI is overseeing this project, whose objectives are to (1) understand the various issues from the perspectives of the diverse stakeholders; (2) identify and prioritize specific issues where tangible solutions are most feasible; (3) convene a working group of subject matter experts to collaboratively develop the documentation and proposed standards for the identified solution; and (4) develop plans for implementation within the local systems of affected stakeholders.

### Deferred Maintenance

- A webinar: Why the Roof Hasn't Caved In was offered in partnership with Sightlines.

### Divestment

- A CAUBO Divestment Task Force was established to identify ways to approach the issue of divestment and seek broader participation and exchange of ideas. A series of case studies was identified to highlight the different situations, experiences and lessons learned from institutions that have been through divestment campaigns. The Task Force also identified a number of key considerations for institutions that are facing a divestment campaign on campus. The information is available on a secure section of the CAUBO website.

### GST Public Service Body Rebates

- Representatives from CAUBO and the Federation of Canadian Municipalities (FCM) met with Finance Canada in June to voice concerns regarding changes to the claim periods for GST Public Service Body Rebates. In total, close to 50 letters of support were sent to Finance Canada, demonstrating that CAUBO had strong support from its members on this issue. CAUBO and FCM representatives clearly illustrated the administrative impact of this change for universities and municipalities, as well as potential implementation and auditing challenges for the Canada Revenue Agency (CRA). We continue to monitor the situation on members' behalf.



## Incentives-based Resource Allocation Models

- This well-attended workshop considered to what extent resource allocation models can effectively contribute to sustainability in a financially-constrained environment.

## Indirect Costs of Research

- A joint committee of VPs Finance and Administration and VPs Research explored ways to increase indirect cost of research recoveries achieved by Canadian universities. This initiative was in response to CAUBO's report released in 2014 on this topic. As a result of discussions of the joint committee, the U15 has indicated their intention to develop a statement of principles applicable to ICR recoveries for adoption by its membership. CAUBO has offered its help/support in the broader dissemination of the principles across the sector.

## Risk Management

- A webinar: Using an Active Shooter Scenario Video to Strengthen Campus Safety was offered in the fall, providing participants with the opportunity to assess the potential value of this approach in improving security on their campuses.

## PROVIDING VALUABLE RESOURCES FOR MEMBERS

### Enhanced Investment Survey Launched

- The annual Investment Survey was redeveloped based on user feedback to include more detail in key information areas while underutilized portions have been eliminated. Survey respondents have seen a more streamlined process with improved ease of data entry, while users of the report will see similar data to that previously published.

### CAUBO's Annual Fraud Survey

- CAUBO volunteers from the Internal Audit community continue to conduct the annual Fraud Survey which tracks the volume and value of fraud cases within Canadian universities, the nature of control weaknesses exploited, the extent of anti-fraud policies and processes and the action taken against perpetrators. The results of the survey, presented during the Internal Audit pre-conference seminar at CAUBO 2016, help audit and other finance professionals to better understand fraud and its characteristics and to build awareness at the executive level of fraud risks and impacts.



## FIUC Review

- Based on feedback from a member-based taskforce, improvements have been made to the data validation process with the support of Statistics Canada, and through the contractual appointment of regional Validation Officers. In 2016-17, work will continue with the review of both the current structure and content of the report with a focus on how the report can transition from a financial report to one that enhances member access to financial and operational benchmarks. Future phases will review the data collection process and output to ensure that we are providing the most useful and relevant information to members in a user-friendly format.

## New Tax Resource

- CAUBO retained KPMG to develop a series of interpretive notes covering key university-specific issues in the areas of income tax and sales tax (GST/HST/QST). The first four notes in the series are now available online for members. The notes cover the following topics: Meal Plans, External Sales of Goods and Services, Imported Taxable Supplies and Determination of Tax Status – Employee Versus Contractor.

## Tax Hotline for CAUBO Members

- The hotline, which has been live since August, has been well received and the service, offered by KPMG, has processed more than 50 queries from members. This service is offered free-of-charge to CAUBO members.

## New Knowledge Centre

- The new CAUBO website was launched, with the goal of providing members with easier access to resources that inform decision-making and problem solving. Its centerpiece is the **Knowledge Centre**, an information hub that will make it easy to find available CAUBO resources such as national studies, benchmarking surveys, recorded conference sessions, a database of best practices garnered from the Quality & Productivity Awards program, and much more, indexed by topic and searchable via keyword. We hope that the Knowledge Centre will continue to expand, as members contribute resources and data produced at their own institutions to be shared with colleagues across Canada.

## Resurrection of CAUBO Listservs

- Informed by the results of a member survey conducted in 2015 that made it clear that members prefer an email-based system to communicate with their peers, CAUBO has launched a **renewed listserv function**, with archived discussions for later reference.

In addition, **Faculty Bargaining Services** continues to grow and evolve to meet members' needs in the area of academic collective bargaining.



# PROVIDING LEARNING OPPORTUNITIES FOR MEMBERS

## CAUBO 2015-16

- Collectively, 322 participants partook in CAUBO's eight functional area pre-conference seminars held in Saint John, NB in June 2015.
- Nearly 550 delegates gathered in Saint John, NB from June 14-16 at CAUBO 2015 to share strategies on how to embrace change and harness its energy to compete and excel in the future.
- Over 45 sessions from CAUBO 2015's main conference and pre-conference seminars were recorded and are accessible for learning-on-the-go via CAUBO's Conference Learning Centre
- Close to 50 volunteers from CAUBO's member institutions helped to seek out and shape the educational content for the conference, while more than 30 volunteers from the University of New Brunswick supported the conference activities on-site.

Other professional development opportunities & tools in 2015-2016 included:

- Launch of the ***Guide to Communications in a University Context*** which provides university administrators with an understanding of the university context, its stakeholders, and their particular traditions, culture, roles and relationships.
- As a companion to the *Guide*, CAUBO developed ***Strategies for Communicating in a University Context*** to provide a series of concrete approaches that help ensure that communications are on message, focused and clear.
- **Offerings of CAUBO Online Courses** "University Culture and Governance" (UCG), and "Fundamentals of the Research Enterprise" (FORE).
- **Fundamental Concepts for Working Effectively in Universities:** One-day French-language workshop held in Montreal in November.
- **Webinars:**
  - The Story the Numbers Tell
  - Academic Collective Bargaining in Universities, a Primer
  - Higher Education GST/HST Capital Real Property Planning
  - Purchaser Power Management Training Webinar

## BUILDING PARTNERSHIPS FOR MEMBERS

- CAUBO and the Bureau de coopération interuniversitaire (BCI) joined forces once again to present the second annual joint Francophone symposium for financial services professionals.
- CAUBO arranged for special membership pricing for CUPA-HR: a US-based association of more than 20,000 human resource professionals and other higher education leaders at over 1,900 member organizations.

## CELEBRATING MEMBERS' ACHIEVEMENTS

We believe in the importance of recognizing and honouring our members' achievements on behalf of their institutions as well as in service to CAUBO and to their peers and colleagues. To that end we continue to offer the Q&P Awards which by their very nature actively encourage and promote peer-to-peer learning and sharing.

In turn, CAUBO's Volunteer Recognition Awards help us to thank and acknowledge those who help to build a strong and vibrant CAUBO community through their volunteerism and leadership.

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## 2015-2016 Board of Directors

**Isabelle Boucher** – Université du Québec  
**James Butler** – Wilfrid Laurier University  
**Dave Button\*** (Past-President) – University of Regina  
**Christopher Callbeck** – University of New Brunswick  
**Michael Di Grappa** – McGill University  
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**Nathalie Laporte\*** – CAUBO  
**Matthew Nowakowski** – Université de Montréal  
**Eric Tufts\*** (Secretary-Treasurer) – Université Sainte-Anne  
*\*Executive Committee members*

## 2015-2016 CAUBO Volunteers

Volunteers are at the root of CAUBO’s strong community. CAUBO’s success in developing and delivering relevant, targeted and useful member outcomes hinges on member engagement and volunteer participation; from setting the strategic direction of the organization to the reliance on members to act as subject matter experts (SMEs) to develop content for professional development activities, provide data and analysis for surveys, write articles for CAUBO’S magazine and much more.

Every year, more than 100 CAUBO members volunteer their time and expertise. Our sincere gratitude goes out to this growing list of volunteers.

Rae Ann Aldridge • Kay Ali • Sue Allen • Mohamed Attalla • Mary Aylesworth  
Deanne Babcock • Dominique Beaulieu • Darren Becks • Martin Bélanger  
Lyne Bouret • Gary Bradshaw • Ian Burgess • Erin Caines  
Terry Campbell • Pamela Cant • Nicola Cassidy • William Chew  
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Christian Gingras • Jacquetta Goy • Isabelle Goyette • Larry Guitard  
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Marc Joyal • Natalie Kallar • Kelly Kummerfield • Jeffrey Lamb • Carla Lavigne  
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Francois Métivier • Roxanne Millan • Richard Nakoneczny  
Diana Parker • Kristopher Parsons • Mary Paul • Gary Pike  
Trudy Pound-Curtis • Andrea Purvis • Lou Ranalli • Keri Regier  
Shelley Rennick • Valérie Reuillard • L’naya Russell • Daryl Schacher  
Chad Schulz • Susan Service • Dennis Silva • Colin Spinney  
Elisabeth Springer • Philip Stack • Katie Stevens • Dan Swerhone  
Daniel Therrien • Cristiane Tinmouth • Hugh Warren • Carolina Willsher  
Heather Woermke • Jimmy Wong • Kathy Zendeabad





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