Members are reminded of the requirement that they give notice of conflict of interest prior to consideration of any matter on the Board open and closed session agendas

BOARD OF GOVERNORS MEETING

1:30 p.m., Thursday, June 21, 2018
Room 4155 Stevenson Hall

The Land Acknowledgement Statement will be read at the beginning of the meeting.

1.   Adoption of Agenda – Open Session

2.   **Report of the President**   (Amit Chakma)

3.   Unanimous Consent Agenda – **Appendix I**
      • Includes **Open Session Minutes of the Meeting of April 26, 2018**

4.   Business Arising from the Minutes

5.   Reports of Committees:

      Property & Finance Committee – **Appendix II**   (Sylvia Chrominska)
      Audit Committee – **Audit III**   (Keith Gibbons)
      Fund Raising and Donor Relations Committee – **Appendix IV**   (Kelly Cole)

6.   Items Referred by Senate – **Appendix V**   (Amit Chakma)

7.   Questions from Members

8.   Other Business

9.   Adjournment to Confidential Session

Meetings of the Board will normally end by 4:30 p.m. unless extended by a majority vote of those present.

SUMMARY OF AGENDA ITEMS – June 21, 2018 - OPEN SESSION

Adoption of Agenda	ACTION

Report of the President	INFORMATION

Unanimous Consent Agenda – Appendix I	ACTION

Minutes of the Meeting of April 26, 2018 – Open Session	ACTION

Report of the Property & Finance Committee – Appendix II

Revisions to MAPP 1.16 – Smoking Policy	ACTION
Revisions to Financial-Related MAPP Policies	ACTION
Investment Committee Membership	INFORMATION
New Scholarships and Awards	INFORMATION
Peter F.J. Miller Fellowship in Media and Journalism	INFORMATION
John M. Thompson Fellowship in Engineering Leadership	INFORMATION
Quarterly Financial Report (Operating Budget)	INFORMATION
Ancillary Financial Report	INFORMATION
Quarterly Ratio Report on Non-Endowed Funds	INFORMATION

Report of the Audit Committee – Appendix III

2017 Annual Report – Campus Community Police Service	INFORMATION
2017 Health, Safety and Wellness Annual Report	INFORMATION
Internal Audit Charter	INFORMATION

Fundraising & Donor Relations Committee – Appendix IV

Fund Raising Activity Quarterly Report to April 30, 2018	INFORMATION

Items Referred by Senate – Appendix V

Revisions to MAPP 7.10 – Standardized Training in Animal Care and Use	ACTION
Performance Indicators Report	INFORMATION
Western Libraries Annual Report 2017-18	INFORMATION
Annual Report of the Working Group on Information Security (WGIS)	INFORMATION
Annual Report on Promotion and Tenure 2017-18	INFORMATION
Report of the Academic Colleague	INFORMATION

Questions from Members	

REPORT OF THE PRESIDENT
(Revised)

To: Board of Governors

From: Amit Chakma

Date: June 8, 2018

Re: President's Report to the Board

For the June 21, 2018 Board of Governors meeting, I'm pleased to provide the following update on important developments and achievements since the last meeting of the Board on April 26, 2018.

Ontario provincial election: Western looks forward to learning more about the priorities of the new provincial government elected on June 7, as well as to continuing our work in partnership with the government to maintain and strengthen the quality and impact of our teaching and research. We extend congratulations to all elected officials, including the three London-based MPPs who won seats as members of the NDP (which will now serve as the official opposition), and seven members of the Progressive Conservative caucus who are Western graduates, including **Rod Philips, Stephen Lecce, Christine Elliot, Jill Dunlop, Stephen Crawford, Parm Gill** and **Monte McNaughton**. The NDP also won seats in many other university centres including Windsor, Waterloo, Laurier, McMaster, Queen's, Ryerson, Toronto, OCAD, Brock and Laurentian. Western and other postsecondary institutions will be paying close attention to new developments emerging from Queen's Park in the weeks and months to come, including budgetary statements that we anticipate may come in the fall and spring of 2019. In the meantime, Western will continue its strong focus on educational initiatives that promote entrepreneurship and experiential learning opportunities that develop job-readiness for our students and enhance career opportunities for our graduates.

2020 Congress of the Humanities and Social Sciences: Western has been selected to host the 2020 Congress of the Humanities and Social Sciences — Canada's largest multidisciplinary gathering of academic scholars in the humanities and social sciences. Running May 30 - June 5, 2020, the conference is expected to attract more than 8,000 attendees, making it the largest ever held in London. For nearly 90 years, Congress has brought together more than 70 scholarly organizations who hold their annual conferences under a common banner. It's an opportunity for academics, researchers, policy-makers and practitioners to share findings, refine ideas and build partnerships that focus on Canada's future.

…/2

New CRCs and Killam Prize laureate named: Professors **Chantelle Richmond** and **David Armstrong** have been named Canada Research Chairs. Chantelle, who is an Associate Professor in Geography, with cross-appointments to First Nations Studies and the Department of Family Medicine, is the CRC in Indigenous Health and Environment. David, who is an Associate Professor in Political Science, is the CRC in Political Methodology. A third colleague, Professor **Shawn Li** at the Schulich School of Medicine & Dentistry, also saw his existing CRC in Molecular and Epigenetic Basis of Cancer renewed and elevated from Tier 2 to Tier 1.

Congratulations are also in order to **Dr. Vladimir Hachinski** on being named among this year's Killam Prize winners – the highest research honour awarded by the Canada Council of the Arts – in recognition for his pioneering work on the relationship between stroke and dementia. Vladimir is a Professor of Neurology at Schulich and joins a very select group of faculty who have been honoured with a Killam, including Professors **David Bentley** (English) and **John Whalley** (Economics), the late **Alan Davenport** (Wind Engineering), the late **Maurice Bergougnou** (Chemical & Biochemical Engineering), and Robarts Research Institute co-founder and medical scientist, the late **Henry Barnett**.

Western leadership update: Since my last written report to the Board, we have been very pleased to announce several senior academic and administrative leadership appointments, including:

- **Andy Hrymak** as the next Provost & Vice-President (Academic), commencing August 1. Andy has served as Dean of Engineering since joining Western in 2009, following his tenure as a professor and chair of Chemical Engineering at McMaster, where he also served as director of the Walter G. Booth School of Engineering Practice and McMaster Manufacturing Research Institute. Under his leadership, Western Engineering has thrived, seeing an increase in undergraduate and graduate enrolment, industry partnerships, alumni activities and outreach initiatives. Among many other achievements, Andy has overseen the building of a landmark new building, ThreeC+, as well as the WindEEE Dome at the Advanced Manufacturing Research Park. He forged a number of cross-campus partnerships, including ones with Ivey Business School and Western Law. He also played a key leadership role in securing a long-term research collaboration between Western and the Fraunhofer Institute of Chemical Technology (ICT) in the area of composite technologies, representing the first comprehensive initiative between a Canadian university and an institute of Fraunhofer. **Gregory Kopp** (currently a Professor in the Department of Civil & Environmental Engineering who also serves as Associate Dean, Graduate & Postdoctoral Studies) has subsequently agreed to serve as Acting Dean for the period August 1, 2018 through June 30, 2019, while a formal search is undertaken for Andy's successor.

- **Lisa Henderson** as the next Dean of the Faculty of Information & Media Studies, commencing January 1, 2019. Lisa is currently a Professor of Communication and Faculty Affiliate in American Studies at the University of Massachusetts Amherst, where she served as Chair of the Department of Communication from 2009 to 2013. Lisa has also served on faculty at Penn State, and holds a BA from Ryerson Polytechnic Institute and graduate degrees in communication and sociology from the University of Pennsylvania. During the interim period between Tom Carmichael concluding his second term as Dean of FIMS on June 30 and Lisa's arrival in the New Year, **Susan Knabe** (currently Associate Dean, Undergraduate) will serve as Acting Dean.

- **Jennie Massey** as the next Associate Vice-President (Student Experience) for a five-year term commencing August 13. Jennie is currently Director of Student Life at Memorial University, a portfolio she has led since 2015. Prior to joining Memorial, Jennie held several student-focused leadership positions in Canada and the United States, including roles at Queen's, Windsor, University of Illinois (Urbana-Champaign), and most recently at Baylor University (Waco, Texas), where she was Assistant Dean, Student Learning & Engagement, from 2011 to 2015. Jennie holds an honours BA in geography from Kings College London (UK), an MA in urban political geography from University of Illinois (Urbana-Champaign), and a PhD in geography and planning from Queen's. As a student affairs scholar-practitioner, Jennie's research examines the impact of co-curricular experiences on student learning and engagement, particularly for marginalized student populations.

- **Eric Morse** as Special Advisor to the President and Director of Entrepreneurship at Western for a three-year term, effective July 1, 2018. Eric is currently Executive Director of Ivey's Pierre L. Morrissette Institute for Entrepreneurship, prior to which he has served in other senior administrative roles at Ivey including Associate Dean, Programs. Eric is also the founder and Academic Director for Ivey's QuantumShift Program which has inspired some 600 of Canada's leading entrepreneurs and companies on to greater success since the program's creation in 2004. In this newly created role reporting to the President, Eric will lead pan-campus efforts to create a more entrepreneurial culture at Western. Among several key responsibilities, he will take oversight of and responsibility for the Propel and WEST budgets with a mandate to consolidate these in the near term; serve as Chair of the WEST Entrepreneurship Group and take on shared supervision of the Director of Propel with the AVP Student Experience; and work with Advancement to develop a sustainability plan for the entrepreneurship ecosystem at Western. In addition to this new role, Eric will continue providing ongoing leadership of the Morrissette Institute while fulfilling some continued teaching responsibilities within the business school.

- **Kelly Cole** reappointed as Vice-President (External). Following her success as Executive Director of Advancement for the Ivey Business School from 2005 to 2014, Kelly has continued her success as VP (External) over the past four years by leading campus-wide efforts to raise $750M as part of the "Be Extraordinary" campaign. We are also grateful for her leadership in growing Western's endowment and further engaging the support of alumni and friends.

Meanwhile, at the time of writing this report, leadership review/selection committees are active for the positions of President & Vice-Chancellor; the Deans of the Ivey Business School and Faculty of Engineering; the Vice-Provosts of Academic Programs and Graduate & Postdoctoral Studies; and the Vice-Provost & Chief Librarian.

UNANIMOUS CONSENT AGENDA

FOR APPROVAL

Any member who wishes to ask a question, discuss, or oppose an item that is listed below may have it removed from the consent agenda by contacting the Secretary of the Board of Governors prior to the meeting or by asking that it be removed before the Chair calls for a mover and seconder for the following motion.

Recommended: That the following items be approved or received for information by the Board of Governors by unanimous consent:

Minutes

1. Open Session Minutes of the April 26, 2018	ACTION

Report of the Property & Finance Committee – Appendix II

2. Investment Committee Membership	INFORMATION
3. New Scholarships and Awards	INFORMATION
4. Peter F.J. Miller Fellowship in Media and Journalism	INFORMATION
5. John M. Thompson Fellowship in Engineering Leadership	INFORMATION
6. Quarterly Financial Report (Operating Budget)	INFORMATION
7. Ancillary Financial Report	INFORMATION
8. Quarterly Ratio Report on Non-Endowed Funds	INFORMATION

Report of the Audit Committee – **Appendix III**

9. 2017 Annual Report – Campus Community Police Service	INFORMATION
10. 2017 Health, Safety and Wellness Annual Report	INFORMATION
11. Internal Audit Charter	

Report of the Fund Raising and Donor Relations Committee – Appendix IV

12. Fund Raising Activity Quarterly Report to April 30, 2018	INFORMATION

Items Referred by Senate – Appendix V

13. Revisions to MAPP 7.10 – Standardized Training in Animal Care and Use	ACTION
14. Performance Indicators Report	INFORMATION
15. Western Libraries Annual Report	INFORMATION
16. Annual Report of the Working Group on Information Security (WGIS)	INFORMATION
17. Annual Report on Promotion and Tenure 2017-18	INFORMATION
18. Report of the Academic Colleague	INFORMATION

<u>The Unanimous Consent Agenda</u>

The Board's parliamentary authority -- *Sturgis Standard Code of Parliamentary Procedure* -- explains the consent agenda:

> Organizations having a large number of routine matters to approve often save time by use of a *consent agenda*, also called a *consent calendar* or *unanimous consent agenda*. This is a portion of the printed agenda listing matters that are expected to be non-controversial and on which there are likely to be no questions.
>
> Before taking the vote, the chair allows time for the members to read the list to determine if it includes any matters on which they may have a question, or which they would like to discuss or oppose. Any member has a right to remove any item from the consent agenda, in which case it is transferred to the regular agenda so that it may be considered and voted on separately. The remaining items are then unanimously approved en bloc without discussion, saving the time that would be required for individual votes.

A number of Canadian university Boards have employed the consent agenda format to include not only routine approval items, but also information items. One reason for using this format is to allow the Board to focus on major items of business. While approval of an omnibus motion saves time at Board meetings, Board members will want to review the agenda materials carefully in order that they properly discharge their responsibilities.

How it works:

The Secretary identifies action and information items that are routine and/or likely non-controversial. In so doing, she may consult with the Chair of the Board, the relevant committee chair, and principal resource persons. In each Committee's report, these items are noted in the list of items at the beginning of the report. Action and information items on the agenda and in committee reports that are <u>not</u> noted on the consent agenda will be presented singly for discussion and voting (when appropriate).

When members receive their Board agendas, they should review all reports in the usual manner. **If any member wants to ask a question, discuss, or oppose an item that is marked for the consent agenda, he or she can have it be removed from the consent agenda** by contacting the Secretary of the Board of Governors prior to the meeting or by asking that it be removed before the Chair calls for a mover and seconder for the motion to approve or receive, by unanimous consent, the items listed.

At the Board meeting, before the unanimous consent motion is presented for approval, the Chair of the Board (1) will advise the Board of items that are to be removed from the list, based on prior requests from Board members; and (2) will ask if there are any other items that should be removed from the list. The remaining items are then unanimously approved *en bloc* without discussion, saving the time that would be required for individual presentation and voting. Those matters that have been struck from the consent agenda will be handled in the usual way as each Committee's report is presented.

The minutes of the Board meeting will report matters approved as part of the consent agenda as "carried by unanimous consent". Information items received as part of the consent agenda will be reported as received.

![Western University Canada logo](Western UNIVERSITY · CANADA)

MINUTES OF THE MEETING OF THE BOARD OF GOVERNORS

April 26, 2018

The meeting was held at 1:00 p.m. in Room 4155 Stevenson Hall.

PRESENT: Mr. P. Jenkins, Chair
              Ms. K. Kwan, Secretary

Ms. S. Bennett   Mr. D. Keddy
Dr. P. Bishop   Mr. R. Konrad
Ms. W. Boye   Mr. M. Lerner
Ms. C. Burghardt-Jesson   Ms. L. Logan
Dr. J. Capone   Dr. K. Mequanint ☎
Dr. A. Chakma   Ms. N. Noonan
Ms. S. Chrominska   Mr. V. Pirone
Ms. K. Cole   Mr. B. Ross
Dr. J. Deakin   Ms. C. Stephenson
Mr. K. Gibbons   Mr. K. Sullivan
Dr. R. Giffin   Dr. J. Toswell
Mr. H. Hassan   Mr. M. Wilson
Mr. M. Helfand

By Invitation: R. Chelladurai, L. Cechetto, D. Chiodo, J. Doerksen, P. Eluchok, R. Ezekiel,

Land Acknowledgement

D. Keddy read the Land Acknowledgement.

BG.18-27   **Chair's Remarks**

On behalf of the Board, the Chair thanked H. Hassan, former Chair of the Board, who retires after nine years of service at the end of April, for his time, leadership and support.

BG.18-28   **REPORT OF THE PRESIDENT**

The President's report, distributed with the agenda, consisted of the following topics:
  - Official grand opening of the Western Interdisciplinary Research Building (WIRB)
  - Provincial grant helps Western reduce greenhouse emissions
  - Provincial budget highlights
  - Federal budget invests in fundamental research
  - Superclusters Initiative presents opportunity for Western
  - Mental health Strategic Plan
  - *Times Higher Education* Summit
  - Western leadership update

The President also reported that Western's research performance has been making steady progress over the past 3 years and noted how important it is that Western received the allocation to create two Canada Research Chairs.

BG.18-29   **UNANIMOUS CONSENT AGENDA** [Appendix I]

It was moved by P. Bishop, seconded by R. Konrad,

> That the 16 items listed in Appendix I, Unanimous Consent Agenda (revised) be approved or received for information by the Board of Governors by unanimous consent.

> CARRIED

BG.18-30   **Minutes From the Previous Meeting**

The open session minutes of the meeting of January 25, 2018 were approved as circulated.

REPORT OF THE PROPERTY & FINANCE COMMITTEE [Appendix II]

Prior to considering the Report of the Property & Finance Committee, the Chair provided a high level overview of the recent work of the Committee.

BG.18-31   **2018-19 University Operating and Capital Budgets**

It was moved by M. Wilson, seconded by P. Bishop,

> That the Board of Governors approve the 2018-19 University Operating and Capital Budgets and the proposed Program Specific Fees and Other Supplemental Fees for 2018-19 detailed in Appendix II, Annex 1.

The 2018-19 Operating and Capital Budgets were provided in Appendix II, Annex 1. Supplemental Fees and Other Charges, shown on Table 3 of the Program Specific Fees and Supplemental Fees report (Appendix II, Annex 2) are approved by the President throughout the year, as authorized under the Student Fee Policy (Policy 2.4) and were received for information.

Dr. J. Deakin, Provost and Vice-President (Academic), presented the 2018-19 University Operating and Capital Budgets detailed in Appendix II, Annex 1. Her presentation highlighted the internal and external planning and budgetary contexts, operating revenues for 2018-19, new initiatives and priorities, tuition recommendations, operating expenditures, including recommendations for faculties, and support units, university-wide expenditures, one-time expenditures, operating reserve forecast and an overview of the 2018-19 capital budget. Revenues for 2018-19 are projected to be $756.4 million with $759.1 million in expenditures.

The operating reserve will be projected at $64.2 million at the end of the current year 2017-18, and $61.5 million at the end of 2018-19. The in-year net position is projected to be a surplus of $11.1 million in 2017-18 and a deficit of $2.7 million in 2018-19. The reserve is projected to be $34.9 million at the end of the current 4-year planning period (2018-19).

An executive summary of the revenues, expenditures and the capital budget are contained in pages 1-4 of Annex 1. Overhead slides used in the presentation are attached as **Appendix 1**.

Discussion about the budget included the following points/concerns:

- The Student Services Committee membership consists of executives from the USC, SOGS and MBAA; only voting members are students. Members of the administration serve as resource to the committee. The concern about the turn over of the membership each year is being addressed with the implementation of a new orientation timeline.
- Operating Reserve is projected at $80.3 million at the end of the current year and will be expended as needed.
- Library Acquisitions Budget continues to be a high priority and sees an increase of $300,000 to a level of $15.4 million. Western Libraries and Institutional Planning and Budgeting have formulated a long-term plan to manage the impact of currency fluctuations in the future that will see an annual rate increase of 5.7%.

J. Deakin offered thanks to colleagues across the university for their diligence in the preparation of the budget, noting particularly, the work of staff in Institutional Planning and Budgeting.

The question was called and CARRIED.

BG.18-32   **Student Fee-Funded Units, Ancillaries and Academic Supports**

It was moved by M. Wilson, seconded by P. Bishop,

> That the Board of Governors approve the 2018-19 budgets for Student Fee- Funded Units, Ancillaries, and Academic Units summarized in the report entitled "Student Fee-Funded Units, Ancillaries, Academic Support Units, and Associated Companies".

> CARRIED

BG.18-33   **Student Organization Fee Proposals for 2018-19**

The tables referenced in the motion below are in the report entitled "Student Fee-Funded Units, Ancillaries, Academic Support Units, and Associated Companies" (Annex 3).

It was moved by M. Wilson, seconded by P. Bishop,

> That the organization fees for the University Students' Council for 2018-19 shown in Table 2 (full-time undergraduates) and Table 3 (part-time undergraduates) be approved, as requested by the USC.

> That the organization fees for the Society of Graduate Students shown in Table 2 (full-time graduate Students – three terms) and Table 3 (part-time graduate students) be approved as requested by SOGS.

> That the organization fees for the Honors Business Administration Association for 2018-19 shown in Table 2, note (b) be approved, as requested by the HBAA, contingent on Property and Finance receiving the Review of Engagement Report and final Financial Statements no later than May 25, 2018.

> That the organization fees for the Master of Business Administration Association for 2018-19 shown in Table 2, note (c) be approved, as requested by the MBAA, contingent on Property and Finance receiving the Review of Engagement Report and final Financial Statements no later than May 25, 2018.

> CARRIED

BG.18-34   **Annual Report and Recommendations of the Student Services Committee**

It was moved by M. Lerner, seconded by P. Bishop,

> That the ancillary fees collected by the University be those detailed in Appendix II, Annex 4, as recommended by the Student Services Committee.

> CARRIED

The issue of continuity of membership was discussed; the Committee is taking steps to address this problem by beginning the orientation process earlier so that by September the committee will be trained and can begin to conduct the business of the committee.

BG.18-35   **New MAPP Policy and Procedures on Intellectual Property**
(P. Eluchok and L. Cechetto were present to respond to questions.)

It was moved by D. Keddy, seconded by B. Ross,

> That the new MAPP Policy 7.XX, Policies on Intellectual Property, detailed in Appendix II, Annex 5, Appendix 1, be approved.

P. Eluchok and L. Cechetto provided an overview of the new Policy on Intellectual Property detailed in Appendix II, Annex 5, Appendix 1, highlighting in particular the rationale behind the proposed policy and corresponding procedures (pages 1-2 of Annex 5).

Responding to questions about the letter received from the President of the University of Western Ontario Faculty Association contained in Appendix II, Annex 5, Appendix 3, L. Cechetto reported that many of UWOFA's suggestions were incorporated, however, with respect to setting a threshold as suggested by UWOFA, she said it is very difficult to establish a threshold when material has not yet been sold. Since the reporting requirement is to report at the time of intent to commercialize, the University would need to speculate at what the materiality would be. The significance and value of reporting the creation of Intellectual Property is to promote the achievements of Western's members and enhance the opportunities for commercialisation. There is also the potential for intellectual property to have a positive impact on the University's overall rankings. L. Cechetto added that Western's inventor-owned policy is an attractive recruiting tool and the University's revenue-sharing model is at par or better than those at other Canadian universities.

P. Eluchok added that an overriding principle behind the policy is the need for transparency because potentially, public funds could be used to generate private income. Also, there could be legal obligations imposed by a third party and/or a funding source to report on any revenue. As a result, there are both legal and practical compliance risks to be considered.

The question was called and CARRIED.

BG.18-36   **Open Space Strategy**

It was moved by S. Chrominska, seconded by M. Lerner,

> That the Open Space Strategy detailed in Appendix II, Annex 6, Appendix 1 be approved.

L. Logan, Vice-President (Operations & Finance), provided an overview of the Open Space Strategy detailed in Appendix II, Annex 6 including a review of the feedback received since the January Board meeting detailed in Annex 6. She noted that this is a long-term project that requires flexibility. Approval of projects identified in the plan will proceed through the appropriate approval process.

Asked if the Strategy will interface with the Bus Rapid Transit initiative, L. Logan emphasized that projects contained in the Open Space Strategy are independent of the City's BRT plan.

The question was called and CARRIED.

BG.18-37   **Information Items reported by the Property & Finance Committee**

The Report of the Property & Finance Committee, detailed in Appendix II, contained the following items that were received for information by unanimous consent:
- Report of the Investment Committee
- Credit Rating Review: February 21, 2018
- Quarterly Financial Report (Operating Budgets)
- New Scholarships and Awards

REPORT OF THE GOVERNANCE & BY-LAWS COMMITTEE [Appendix III]

Prior to considering the Report of the Governance & By-Laws Committee, the Chair provided a high level overview of the recent work of the Committee.

BG.18-38   **Amendments to Special Resolution No. 1-C – Terms of Reference of the Fund Raising and Donor Relations Committee**

It was moved by P. Bishop, seconded by R. Konrad,

> That the Membership and Procedures in Terms of Reference of the Fund Raising and Donor Relations Committee be amended to change the Chair of the Ivey Development Committee (or designate) and the President of the Alumni Association (or designate) from non-voting to voting members.

> CARRIED (By Unanimous Consent)

BG.18-39   **Question from Senate re Recommendations from the Report of the Governance Review Task Force**

The Board received for information the response to the Senate's request for an update on the progress that has been made towards implementing the recommendations from the Report of the Governance Review Task Force detailed in Appendix III, item 2.

BG.18-40   **Governance Review Task Force Implementation – Progress Report**

The Progress Report, detailed in Appendix III, item 3, was received for information.   Points covered in the Report included progress on recommendations regarding relationships and communications with the community, structure of the Board, role of the Board and Board members.

REPORT OF THE SENIOR POLICY & OPERATIONS COMMITTEE [Appendix IV]

BG.18-41   **Code of Student Conduct Revisions**
(S. Jarrett was present to respond to questions).

It was moved by K. Gibbons, seconded by W. Boye,

> That the Board of Governors approve the revisions to the Code of Student Conduct, as provided in Appendix IV, Annex 3a.

S. Jarrett provided an overview of the revisions to the Code of Student Conduct detailed in Appendix IV. He noted that the recommended revisions increase the clarity of the document;

include additional wording to emphasize that it may apply to online communications/postings; and, clearly centralize responsibility for handling of complaints. He recommended that no changes be made to the Code relating to its jurisdiction over off-campus conduct.

A member voiced concern that the revisions to the Code are being considered at a time when the students are leaving campus and should be tabled until September. S. Jarrett explained that once the revised Code is approved it will be circulated to the Western Community. Members believe that it is important that the Code be in place for September, the start of a new academic year.

The question was called and CARRIED.

REPORT OF THE FUND RAISING AND DONOR RELATIONS COMMITTEE [Appendix V]

Prior to considering the Report of the Fund Raising and Donor Relations Committee, the Chair provided a high level overview of the recent work of the Committee.

BG.18-42   **Information Item Reported by the Fund Raising and Donor Relations Committee**

The Report of the Fund Raising and Donor Relations Committee, detailed in Appendix V, contained the following item that was received for information by unanimous consent:

- Fund Raising Activity Quarterly Report to January 31, 2018

ITEMS REFERRED BY SENATE [Appendix VI]

BG.18-43   **Western's Student Mental Health and Wellness Strategic Plan – Final Report**
(Rick Ezekiel, Deborah Chiodo, and John Doerksen were present to respond to questions.)

It was moved by M. Lerner, seconded by P. Bishop,

> That Western's Student Mental Health and Wellness Strategic Plan, detailed in Appendix VI, Annex 1, be approved.

R. Ezekiel, D. Chiodo, and J. Doerksen provided an overview of Western's Student Mental Health and Wellness Strategic Plan, referencing the material contained in Appendix VI, Annex 1, including the plan's four key pillars: (1) promote and support a resilient campus community; (2) develop and deliver effective mental health and wellness education; (3) inclusive curriculum and pedagogy to support student mental health, and (4) provide accessible and effective mental health and wellness services. A key goal is to heighten awareness of services available for students living on and off campus.

Discussion included the following:
- Development of a role-out plan to the Western Community
- Identification of funding priorities
- Delivering health and wellness education
- Become pro-active with the community
- On-line outreach
- Early alert platforms

The question was called and CARRIED.

BG.18-44   **Faculty of Engineering – Establishment of New Academic Units - School of Biomedical Engineering and Centre of Engineering Leadership and Innovation (CELI)**

It was moved by P. Bishop, seconded by R. Konrad,

> That the Board of Governors approve the establishment of the new School of Biomedical Engineering and the Centre of Engineering Leadership and Innovation (CELI) in the Faculty of Engineering, effective July 1, 2018, shown in Appendix VI, Annex 2.

> CARRIED (By Unanimous Consent)

BG.18-45   **Information Items Referred by Senate**

Appendix VI, Items Referred by Senate, contained the following items that were received for information by unanimous consent:

- 2018-19 University Operating and Capital Budgets
- 2018 Entrance Standards for Undergraduate First-Year Admissions
- Five-Year Enrolment Projections
- Report on Year One Class and Entering Averages
- National Survey of Student Engagement (NSSE)
- Vice-President (Research) 2017 Annual Report
- Report of the Academic Colleague
- Academic Administrative Appointments
- Western's Excellence in Teaching Award Winners for 2017-2018
- Spring Convocations 2018 – Honorary Degree Recipients

QUESTIONS FROM MEMBERS

BG.18-46   **QS World University Rankings/Research World Ranking**

J. Capone, Vice-President (Research) reviewed the progress that Western has been achieving in a number of research areas, with large projects being an area where there has been significant progress. Universities in Asia have been progressing their rankings and this will be an area to be cognizant of for the future.

J. Capone clarified that the QS rankings system does group some academic areas which might account for the discrepancies that were picked up by a member.

The meeting adjourned to the confidential session.

_____   _____
P. Jenkins   K. Kwan
Chair   Secretary

2018-19 Operating and Capital Budgets

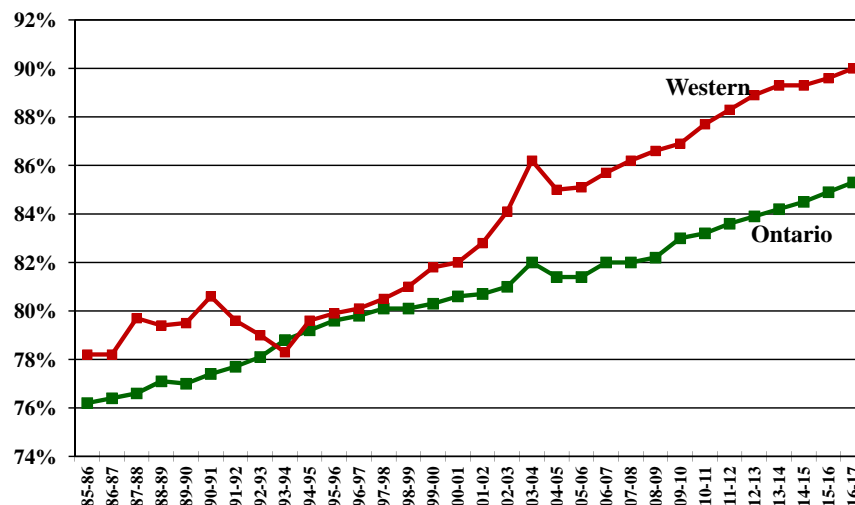Board of Governors Meeting
April 26, 2018
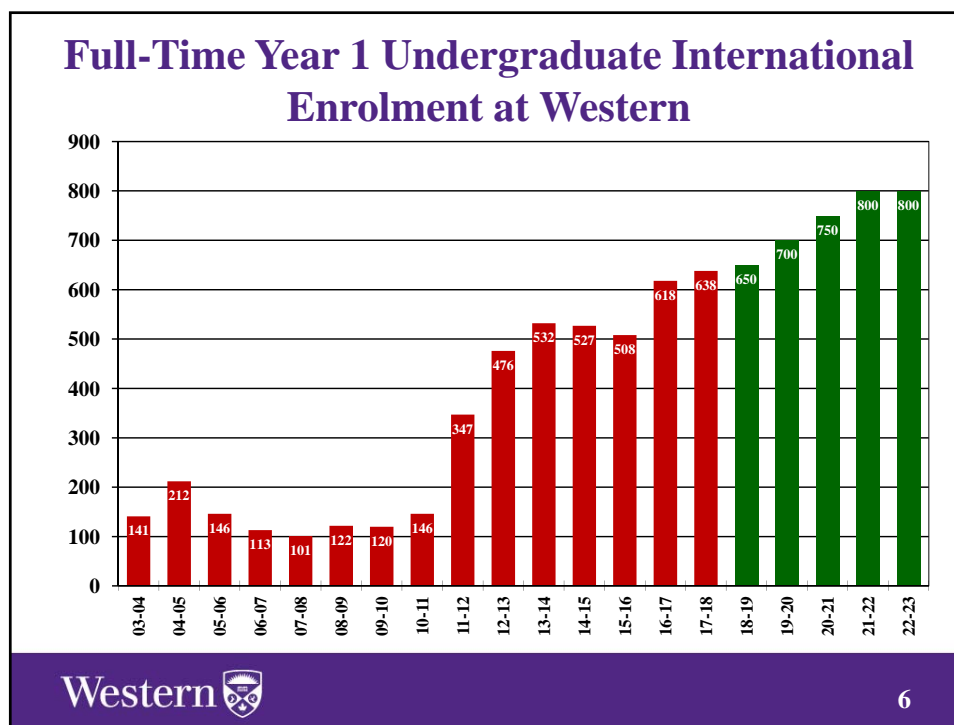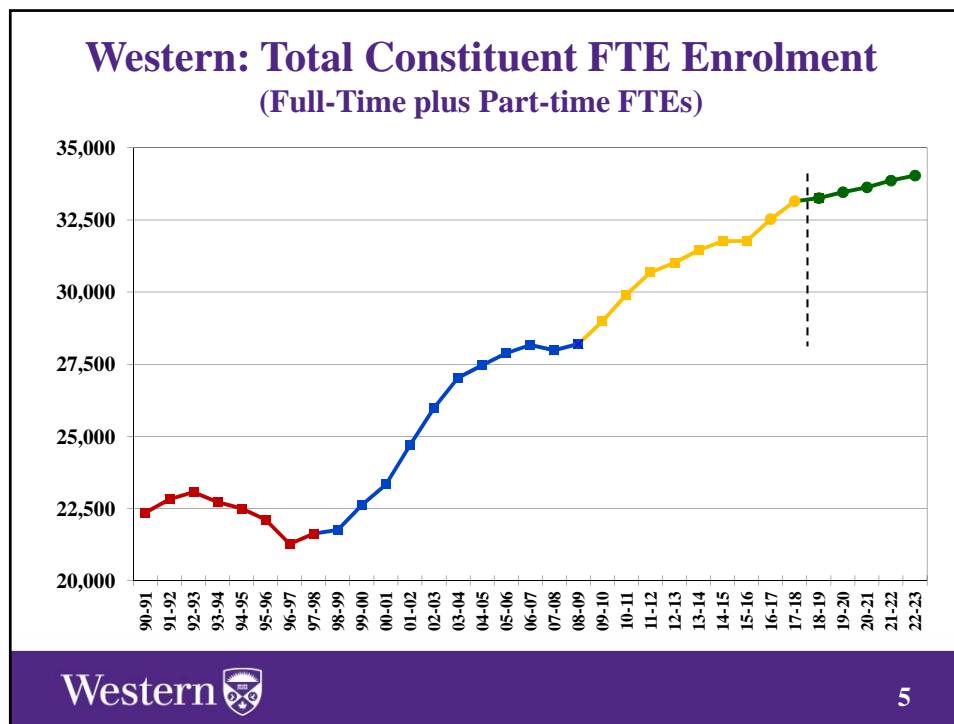
Western

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External Context

- Provincial Situation
  - Deficit continues; Debt rises; Upcoming election
- New Funding Formula for Universities
  - Corridor System – no automatic funding for domestic enrolment growth beyond 2016-17 levels
- Final Year of Current Tuition Framework
  - Aligns with our current 4-year cycle
  - Allows for 3% overall increase

Western

2

Western's Planning Parameters

- Moving to Final Year of 4-Year Plan
- Recommendations Guided by Strategic Plan
- Enrolments
  - Undergraduate: First-Year Class of about 5,170
    - With 650 International
  - Graduate: as per Faculty Plans
- Final Year of Current Revenue-Sharing System
  - Up to 2017-18 Enrolments/Teaching
- Tuition Rates for 2018-19
  - Domestic Rates at Maximum of 3% Overall
  - Undergrad Int'l: still moving towards Ontario-U6 levels

Western

3

Average Entering Grade of Full-Time First-Year Students from Ontario High Schools

Western

4

Western: Total Constituent FTE Enrolment
(Full-Time plus Part-time FTEs)

Western

5

Full-Time Year 1 Undergraduate International Enrolment at Western

Western

6

University level Investments & New
Initiatives in this Budget:
Alignment with our Strategic Plan

Western

7

Our Strategic Plan Priorities

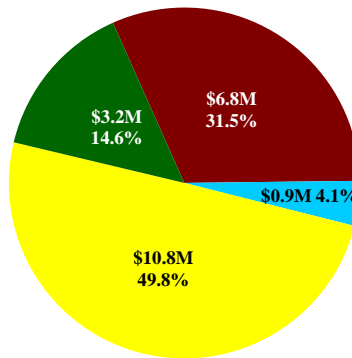| Pillar	Priority
1	**RAISING OUR EXPECTATIONS:** CREATE A WORLD-CLASS RESEARCH AND SCHOLARSHIP CULTURE
2	**LEADING IN LEARNING:** PROVIDE CANADA'S BEST EDUCATION FOR TOMORROW'S GLOBAL LEADERS
3	**REACHING BEYOND CAMPUS:** ENGAGE ALUMNI, COMMUNITY, INSTITUTIONAL & INTERNATIONAL PARTNERS
4	**TAKING CHARGE OF OUR DESTINY:** GENERATE AND INVEST NEW RESOURCES IN SUPPORT OF EXCELLENCE

Western

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Investments and New Initiatives in this Budget

Investment / New Initiative	Investment	Strategic Plan Pillars
Growing Our Endowments: The Endowed Chairs Matching Program	$15 M One-Time	1, 3, 4
Long-Range Space/Capital Plan: Weldon Library, Wellness Centre, NSc & Taylor Library	$35 M One-Time	1, 2
Strategic Expansion of Engineering: Multi-Year Self-Funding Plan	$6.8 M One-Time & $898K Base	1, 2, 4
Scholarship Initiatives in SSHRC Disciplines Endowment	$2.5 M One-Time	1, 4
Pedestrian-Friendly & Safe Campus Initiatives	$2 M One-Time	2
Energy Conservation Initiatives	$1.5 M One-Time	4
Postdoctoral Fellowships Program (Pilot)	$226K One-Time	1, 4
Indigenous Initiatives – New Faculty Appts	$600K Base	2, 3
Front-Line Mental Health Services	$400K Base	2

Western

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Western's Total Endowment Value -- $M

2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17
309	325	266	319	362	372	432	510	586	581	679

Western

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**Endowment Income Available for Spending in 2016-17
(Total = $21.6M)**

$6.8M
31.5%

$3.2M
14.6%

$0.9M 4.1%

$10.8M
49.8%

■ Chairs/Professorships/Fellowships ■ Research Initiatives ■ Student Aid ■ Other

Western

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Summary of the Operating Budget

Western

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Summary of the 2018-19 Operating Budget
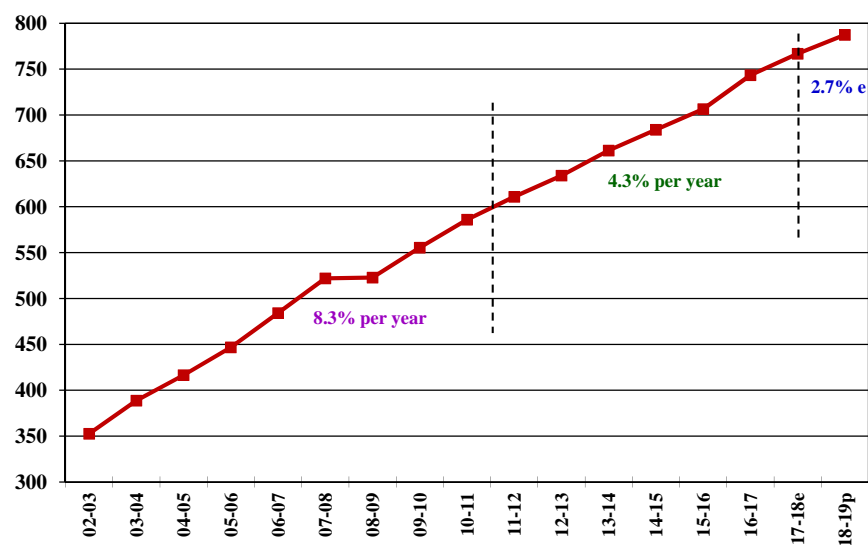### (Table 2)

- **Revenue Forecast**   = $ 787.3M
  - Increase of 2.7%

- **Expenditure Plan**   = $ 808.2M
  - Increase of 7.1%

- **Projected In-Year Position**   = $ -20.9M

- **Projected Operating Reserve**   = $ 59.4M

Western

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Operating Revenues

Western

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2018-19 Operating Revenues
(Table 3)

- Government Grants Remain Constant at ~$290M
  - 37% of Total Revenue

- Tuition Revenues Increase by $19.7M -- to ~$403M
  - 51% of Total Revenue

- Modest Increase in All Other Revenues Increase
  - CRCs reflect only 42 Chairs with incumbents
  - Our allocation is 64 Chairs

- Overall Revenue Increase of $20.5M (or 2.7%)

Western

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Operating Revenues ($M)

8.3% per year

4.3% per year

2.7% e

Western

16

Operating Expenditures

Western 🍁

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Recommendations for the Faculties
(Table 4)

- Initial Budget Adjustment (IBA)
- Faculty Turnover Recovery – if applicable
- Academic Priorities Fund (APF) Allocations
- Ivey School's Funding Model
- CRC Allocations
- Revenue Sharing Mechanism for the Faculties
- **Total Base Allocation of $492.6M**
- Faculties also receive $8.7M in One-Time Funding – as shown in Table 8, lines 15 to 25

Western 🍁

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Scholarships and Bursaries
(Table 5)

- Undergraduate Scholarships estimated at $7.3M
- Tuition Re-Investment increases by $440K – to $16.4M
- Privately-funded Student Aid projected to be $7.3M
- **Total Student Aid Spending of $33.6M from Central Budget**
- Faculties now responsible for Graduate Support
  - $58M Projected for 2018-19

Western

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Recommendations for Support Units
(Table 6)

- Initial Budget Adjustment (IBA)
- Support Unit Priorities Fund (SUPF) Allocations
- Base Allocations to "Maintain Core Services"
- Operating Costs of New Facilities
  - To Facilities Management and Police
- **Total Base Allocation of $101.3M**
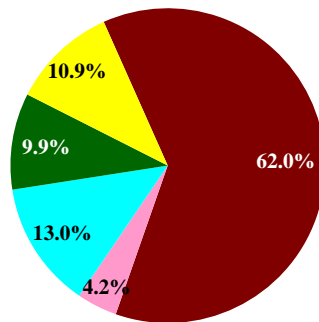- Support Units also receive $4.1M in One-Time Funding (shown in Table 8, lines 26 to 41)

Western

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University-wide Expenditures (Table 7)

- **Total of $80.1M**
- Major items:
  - Utilities ($25.7M)
  - Library Acquisitions ($15.4M)
    - Includes incremental base allocation
  - MMI Transfer held constant at $15.5M
  - IT Infrastructure ($10.1M)

Western

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One-Time Allocations (Table 8)

- **Total of $79.6M**
- Major Priority Items
  - Support for the Endowed Chairs Matching Program ($15M)
  - Long-Range Space Plan ($35M)
    - Weldon ($15M); Wellness Centre ($10M); Student Spaces in NSc and Taylor Library($10M)
  - Multi-year Plan for New Engineering Building ($6.8M)
  - Scholarship Initiatives in the SSHRC Disciplines ($2.5M)
  - Pedestrian-friendly and Campus Safety Initiatives ($2M)
  - Energy Conservation Initiatives ($1M)
  - Support for Hosting 2020 SSHRC Congress ($1M)
  - Classroom Modernization ($1M)

Western

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2018-19 Operating Expenditures
(Total = $808.2M)

- 10.9%
- 9.9%
- 13.0%
- 4.2%
- 62.0%

- ■ Faculties Base + One-Time
- ■ Centrally-Funded Student Aid
- ■ Support Units Base + One-Time
- ■ University-Wide Expenditures
- ■ All Other

Western

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The Capital Budget

Western

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Overview of the 2018-19 Capital Budget

- Supports Long-Range Space Plan   (Page 37, Table 14)
- Major Projects – underway or upcoming
  - Modernization of University College
  - Western Interdisciplinary Research Building
  - ThreeC+ -- the New Engineering Building
  - Biomedical Research Facility: Phase 1 of Medical School Project
  - Modernization of Thames Hall
  - Multi-Level Parking Structures
    - Will require re-alignment of parking lot categories and increases to parking rates
  - University-wide Infrastructure Projects
  - Planning for Renewal of Library Facilities

Western

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Overview of the 2018-19 Capital Budget

- **Total Spending of $104.2M**   (Table 15, line 10)
  - $31.2M for New Construction   (Table 18, line 10)
  - $14.9M for Major Renovations   (Table 18, line 18)
  - $58.1M for All Other Expenditures
    - Utilities and Infrastructure
    - Modernization of Academic Facilities
    - General Maintenance and Modernization
    - Housing and Ancillary Projects

Western

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END

REPORT OF THE PROPERTY AND FINANCE COMMITTEE

Contents	Consent Agenda
Revisions to MAPP 1.16 Smoking Policy	No

Revisions to MAPP Policies
   2.8 Procurement of Materials and Services
   2.9 Disposal of University Assets
   2.21 Personal Use of University Resources
   2.29 Investigator-Vendor Conflict of Interest
   2.19 Central Equipment Inventory
	No

Peter F.J. Miller Fellowship in Media and Journalism	Yes
John M. Thompson Fellowship in Engineering Leadership	Yes
Quarterly Financial Report (Operating Budgets)	Yes
Ancillary Financial Report	Yes
Quarterly Ratio Report on Non-Endowed Funds	Yes
Investment Committee Membership	Yes
New Scholarships and Awards	Yes

FOR APPROVAL

1. **Revisions to MAPP 1.16 Smoking Policy**

   Recommended: That revisions to MAPP 1.16 Smoking Policy be approved as attached in **Appendix 1**.

   Background:

   See **Annex 1**.

2. **Revisions to MAPP Policies**

   Recommended: That revisions to the following MAPP policies be approved as attached in **Appendices 1 – 8.**

   2.8   Procurement of Materials and Services
   2.9   Disposal of University Assets
   2.21   Personal Use of University Resources
   2.29   Investigator-Vendor Conflict of Interest

   and,

   That MAPP Policy 2.19 be revoked.

   Background:

   See **Annex 2**.

FOR INFORMATION

3.   **Peter F.J. Miller Fellowship in Media and Journalism**

      See **Annex 3**.

4.   **John M. Thompson Fellowship in Engineering Leadership**

      See **Annex 4**.

5.   **Quarterly Financial Report (Operating Budgets)**

      See **Annex 5**.

6.   **Ancillary Financial Report**

      See **Annex 6**.

7.   **Quarterly Ratio Report on Non-Endowed Funds**

      See **Annex 7**.

8.   **Investment Committee Membership**

      That the Property and Finance Committee approved the reappointment of Rosamond Ivey to the
      Investment Committee for a two-year term ending August 31, 2020.

      The Committee membership is now:

      Two current or former members of the Board of Governors, appointed by the P&F Committee
      Rosamond Ivey   (August 2020)
      Jim Knowles   (May 2020)

      Five members appointed by the P&F Committee on recommendation of the Investment Committee
      Doug Porter   (February 2020)
      Lee Sienna   (March 2021)
      Doug Greaves   (March 2022)
      David Stenason   (December 2021)
      (vacancy)

9.   **New Scholarships and Awards**

      See **Annex 8**.

<u>Revisions to MAPP 1.16 Smoking Policy</u>

Recommended: That the Board of Governors approve revisions to MAPP 1.6 Smoking Policy
                                 attached as **Appendix 1**.

Background:

Attached is the proposed updated MAPP 1.16 Smoking Policy (Appendix 1) and proposed designated
smoking areas (**Appendix 2**).

The Occupational Health and Safety Team and Committee over 2014 and 2015 had increasing
complaints from individuals affected by second hand smoke at Western. The Joint Occupational Health
and Safety Committee decided they would consult the community on the future of smoking at Western.

In 2015/16, campus consultation proceeded on the future of smoking at Western which included:
- A survey about smoking sent to all students, faculty members and staff in January 2016 (survey
  results attached)
- Meetings and input from Western student leaders
- Meetings and input from employee group representatives

Results of the consultation showed strong campus support for a move to a smoke-free environment.

Consultation results were presented to the PVP leadership group, which requested the establishment of
Advisory Committee on the Future of Smoking. Meetings began in February 2017and membership
included representatives from student groups, employees groups, Student Health Services, London-
Middlesex Public Health Unit, Student Housing, Indigenous Services, Landscaping Services, etc.

Rationale for going smoke-free:
In addition to strong support during campus consultations, motivations for a smoke-free campus include:
- Challenge of communicating where smoking is allowed/not allowed
- Increasing number of Canadian universities going smoke-free (McMaster and University of
  Toronto have announced they will join the list)
- Ontario hospitals were recently forced to go smoke-free and post-secondary institutions may
  soon be next. The Ontario Ministry of Health and Long-Term Care established a Smoke-Free
  Ontario Executive Steering Committee. The Committee submitted its report in August 2017. It
  includes a recommendation for smoke free post-secondary campuses in Ontario. There is some
  speculation that the government may not make any move toward smoke-free campuses until
  post-election.
- Many London Health Science Centre employees, visitors and patients, facing smoke-free hospital
  grounds, are now making their way to Western to smoke.

Interim steps to strengthen Western's smoking policy in 2016 included:

- Creation of five Clear Air Corridors on campus in areas where there had been a high volume of
  complaints, and where there is high pedestrian traffic.
  - One large Clear Air Corridor encompasses most of the north end of campus
    adjacent to London Health Sciences property.
- Change to the smoking policy to treat vaping/e-cigarettes the same as other ways of smoking

The Advisory Committee recommended a two-stage approach to achieving a smoke-free campus:

> **July 1, 2018** – A transition to a smoke and tobacco-free campus (with some temporary
> exceptions). As of this date, smoking will be allowed only in a very limited number of designated
> smoking locations. This interim step will clarify where people can smoke (with the remainder of
> campus being tobacco and smoke-free). Three potential areas have been identified and the
> specific number and location of such areas will be determined through further consultation with
> Western Facilities Management/ Landscape Services and the Joint Occupational Health &

Safety Committee. Tobacco and smoke-free will include all forms of smoking, vaping and tobacco use.

July 1, 2019 – Phasing out/removal of designated smoking areas to achieve a tobacco and smoke-free campus.

Policy Category: General

Effective Date: July 1, 2016

Supersedes: June 24, 2003, October 1, 2015

_____

POLICY

1.00   Smoking on main campus is only permitted in Designated Smoking Areas.   It is not permitted in University buildings, ~~or within 10 metres of~~ building entrances, loading docks, ~~and fresh air intakes (including windows that open),~~ or in university vehicles~~., or in any areas designated by Western as non-smoking or "Clear Air Corridors".~~

2.00   Violators of this policy will be informed by the Dean, budget head, Manager and/or Supervisor that they are in violation, given a copy of this policy, and informed that such behaviour must cease.

3.00   Continued violation of this policy will lead to disciplinary action as outlined in the policies applicable to the various University groups or as provided for within applicable provincial legislation or municipal by-laws.

4.00   The smoking restrictions described in this policy are also applicable to the use of electronic smoking devices.

DESIGNATED SMOKING AREA

CITY OF LONDON STREET

DESIGNATED SMOKING AREA MAP

Western
UNIVERSITY · CANADA

REVISIONS TO MAPP POLICIES

FOR APPROVAL

Recommended: That the Board of Governors approve revisions to the following MAPP policies, attached as **Appendices 1 – 8**.

MAPP 2.8 Procurement of Materials and Services
MAPP 2.9 Disposal of University Assets
MAPP 2.21 Person Use of University Resources
MAPP 2.29 Investigator-Vendor Conflict of Interest

and,

That MAPP Policy 2.19 be revoked.

Background

The revised policies have been recast into the new MAPP template, approved by the Board of Governors in 2012, which separates policy (for Board approval) from procedures (approved by the appropriate Vice-President).

The recasting required a number of editorial changes and provided the opportunity to update the language of the policy and procedures. The substantive changes in each of the policies are highlighted below:

MAPP 2.8 – Procurement of Materials and Services – Policy

The Policy is set out in **Appendix 1.**

Section 6.00 – Generic reference to applicable domestic and international trade agreements vs. detailing specific agreements such as the Broader Public Sector Accountability Agreement, etc.
Section 9.00 – All authority levels have been aligned with the previously approved MAPP 2.15 – Approval of Capital Projects.
Section 10.00 – This new clause allows on-going purchases, planned in an approved budget to be approved by the VP (Operations & Finance) or the AVP (Financial Services) to be approved up to $7.5M at which time approval must be by the Board of Governors.
The section on Director Procurement, Services delegating authority to commit the University to the expenditure of funds to various internal departments was removed as this is covered in the Procedure Section of this MAPP.
Section 11.00 – This section increases the authority of the AVP (Facilities Management) to sign utilities contracts up to $4M.

MAPP 2.8 – Procurement of Materials and Services – Procedures

The revised Procedure is set out in **Appendix 2.**

Section 2.00/3.00 – These sections reinforce the requirement for all non-competitive procurements must tie to an exemption under an appropriate trade agreement based on the purchase value involved.

Section 5.00 – The introduction of electronic bid submissions has eliminated the requirement for bids to be opened in the presence of the Director, Procurement Services as all content of the bids are now logged and stored electronically.

Section 7.00 – This section of the original procedure document has been eliminated as it is covered off in section 10 of the revised procedures.

Section 8.00 – This section adds clarity to contract review and approvals.

Section 9.00 – Software acquisitions have become more complex with privacy laws, the low cost of software and SAAS or software as a service offerings. Risk review processes have been developed to mitigate concerns in this area and are being embedded in the procedures through this section.

Section 13.00 – This section clarifies the method of reporting and approving exemptions to competitive bidding processes.

MAPP 2.9 – Disposal of University Assets and MAPP 2.19 – Central Equipment Inventory

The revised Policy is set out in **Appendix 3.** The revised Procedure is set out in **Appendix 4.**

These two Policies/Procedures have been merged into one policy and procedure that has been renamed "*Asset Management - Central Inventory and Disposal".*

Procedures

Section 1.00 – Increased the capitalization level to $20K.

Section 3.00 and 5.00 – Increased dollar amounts and time frame disposal of assets at various levels.

MAPP 2.21 – Personal Use of University Resources

The revised Policy is set out in **Appendix 5.** The revised Procedure is set out in **Appendix 6**.

Minor changes to the procedure adding links

MAPP 2.29 – Investigator-Vendor Conflict of Interest

The revised Policy is set out in **Appendix 7**. The revised Procedures is set out in **Appendix 8**.

Minor changes due to separation of policy and procedure.

Board of Governors
June 21, 2018

APPENDIX II, Annex 2
Appendix 1

**Manual of Administrative
Policies and Procedures**

POLICY 2.8 – Procurement of Materials and Services

Policy Category: Financial

Subject: Procurement of Materials and Services

Approving Authority: Board of Governors

Responsible Officer: Vice-President (Operations & Finance)

Responsible Office: Financial Services

Related University Policies:

>   Policy 1.25   Lease of University Facilities for Long-Term Use
>   http://www.uwo.ca/univsec/mapp/section1/mapp125.pdf

>   Policy 2.6   Retention of Legal Counsel
>   http://www.uwo.ca/univsec/mapp/section2/mapp26.pdf

>   Policy 2.12   Acquisition of Investment Services
>   http://www.uwo.ca/univsec/mapp/section2/mapp212.pdf

>   Policy 2.15   Approval of Capital Projects
>   http://www.uwo.ca/univsec/mapp/section2/mapp215.pdf

>   Policy 2.23   Contracting of Brokers and Consultants
>   http://www.uwo.ca/univsec/mapp/section2/mapp223.pdf

>   Policy 3.4   Conflicts of Interest
>   http://www.uwo.ca/univsec/mapp/section3/mapp34.pdf

>   Special Resolution 2   http://www.uwo.ca/univsec/pdf/board/special_resolutions/spres2.pdf

Related Procedures:

>   Policy 2.8   Procedures - Procurement of Materials and Services
>   Procurement of Materials and Services – Procedures

Effective Date: June 2018

Supersedes: April 30, 2009
_____

I.   PURPOSE

The purpose of the Procurement Services Policy is to define:

- the responsibilities and accountability associated with the acquisition of goods and services, whether by purchase, rental or lease, related to the constituent University

- the limits of authority
- the guidelines that will maximize value-for money
- a system for accountability

Those responsible for procurement of goods and services will have regard for the development of an environmental sustainable campus while complying with University policies, financial controls and provisions with respect to conflict of interest.

This policy, and all goods and services procured on behalf of the University, must be in accordance with all applicable domestic and international trade agreements and federal and provincial legislation.

II.   DEFINITIONS

Approval Authority: the authority delegated by the University to an individual to approve, on its behalf, one or more procurement functions within the procure-to-pay-cycle up to specified dollar limits subject to the application of legislation, regulations and procedures in effect at such time.

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

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

Consulting Services: the provision of expertise or strategic advice that is presented for consideration and decision making.

Employee: typically on payroll, with deductions made at the source. An individual may be hired on a full-time or part-time, temporary or permanent basis. The University maintains the right of direction and control over the employee's actions, has the power to dismiss the individual, and provides the tools and equipment for the job.

Invitational Competitive Procurement: any form of requesting a minimum of three (3) qualified suppliers to submit a written proposal in response to the defined requirements outlined by an individual/organization.

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

Procurement Value: the estimated total financial commitment resulting from procurement, taking into account optional extensions.

III.   POLICY

1.00   The responsibility for the identification of needs and specifications is the responsibility of the User Department.

2.00   Except as otherwise specifically delegated by the Board of Governors or the President, all acquisitions for the University of materials and services from all sources of revenue (i.e. general operating budget, ancillary operations, research funds, capital funds and other monies held in trust for special purposes) shall be the responsibility of Procurement Services.

POLICY 2.8 – Procurement of Materials and Services

Exclusions are:

a) Contracts for construction (new buildings, additions, or major alterations or renovations). Refer to **Policy 2.15**.

b) Contracts for the acquisition or lease of land or buildings. Refer to **Policy 1.25** and **Policy 2.15**.

c) Personnel services (i.e., benefits, wage and salary administration, and occupational health and safety). Refer to **Policy 2.23**.

d) Investment services, including Pension Board and Treasury. Refer to **Policy 2.12**, **Policy 2.23** and Special Resolutions 1-J and 1-K.

e) Insurance. Refer to **Policy 2.23**.

f) Legal Services. Refer to **Policy 2.6**.

3.00 Procurement Services, in discharging its responsibilities, shall have the final decision in the selection of the supplier and establishing the price, terms, and conditions of purchase.

4.00 Procurement Services will work co-operatively with the University Development Office when suppliers or potential suppliers to the University are to be solicited for donations. However, in no case, shall donations or other gifts given in the past, present, or offered in the future be considered a factor in a purchase decision with the exception of in-kind contributions and partnerships associated with granting agency funded research purchases.

5.00 Procurement Services may delegate its operational responsibilities, up to a maximum of $500,000, to other groups in specific instances while retaining functional authority.

6.00 Procurement Services will strive to provide suppliers opportunities to bid on University business in a fair, open and competitive process. This will be achieved by the use of informal, formal and sealed bids. Competitive bids will be solicited in accordance with all applicable domestic and international trade agreements, federal and provincial legislation and processes as outlined in the Policy 2.8 Procedures document.

7.00 Under no circumstances will the University entertain purchasing goods for subsequent sale to individuals for personal consumption or utilization except through its normal retail operations.

EXPENDITURE AUTHORITIES

8.00 The President, Vice-Presidents, Associate Vice-Presidents, Vice-Provosts, Deans, Budget Unit Heads and Principal Investigators are authorized to sign/approve purchase requisitions without limit for their respective areas of responsibility when the expenditure is provided for in approved budgets, with such purchases to be effected by Procurement Services in accordance with approved policies and procedures. The above officers may delegate their authority to approve purchase requisitions for goods, services and recoverable salaries and benefits. Such delegations, including specified limits, must be provided to Procurement Services in writing.

9.00 The following have the authority to commit the University to the expenditure of funds for any one transaction up to the limits specified below, taking into account optional extensions, through the execution of Purchase Orders, contracts and agreements (i.e. service, licensing and maintenance agreements/warranties, and non-consulting services) to:

POLICY 2.8 – Procurement of Materials and Services

(a)	Property and Finance Committee	$7,500,000
(b)	President* or Vice-President (Operations & Finance), Vice-President (Research) for research funded acquisitions, or, in the absence of, the Vice-President (Academic)	$2,500,000
(c)	Associate Vice-President (Financial Services) or the Associate Vice-President (Institutional Planning & Budgeting)	$1,500,000
(d)	Director, Procurement Services	$1,000,000
(e)	Associate Director, Procurement Services or Procurement Manager	$500,000
(f)	Procurement & Contract Specialists	$250,000
(g)	Procurement Buyers	$50,000
(h)	Local Business Unit Authorized Personnel	$10,000

*The President also has authority to sign purchase orders, contracts and agreements for expenditures over $5,000,000 for research equipment if the expenditure falls within the constraints set out in Special Resolution No. 2, section 5.

Notification will be given to the Associate Vice-President (Financial Services) and the Director, Procurement Services for contracts whose life-time total value exceeds the above limits but where individual transactions within the contract fall within the above limits and in section 10.00.

10.00   Ongoing expenses for purchases that have already been approved during Western's regular budget approval process (e.g. insurance, library expenses) can be approved by the Vice President, Operations & Finance or the Associate Vice-President, Financial Services.

11.00   The tendering and purchase of utilities (electricity, natural gas, and water) is administered by Facilities Management with the support of Procurement Services. Contracting for electricity and natural gas will occur using a competitive bidding and review process. The authority to sign contracts with suppliers is as follows:

(a)	Associate Vice-President (Facilities Management) and Director, Procurement Services	$4,000,000
(b)	Vice-President (Operations & Finance) or designate or President	over $4,000,000

RELATED DOCUMENTS AND OTHER RESOURCES

Accessibility for Ontarians with Disabilities Act (AODA)
https://www.ontario.ca/laws/statute/05a11

Broader Public Sector (BPS) Accountability Act
https://www.ontario.ca/page/broader-public-sector-accountability

Broader Public Sector (BPS) Procurement Directive
http://www.fin.gov.on.ca/en/bpssupplychain/documents/bps_procurement_directive.html

Canada-European Union Comprehensive Economic and Trade Agreement
http://www.international.gc.ca/gac-amc/assets/pdfs/publications/European-Union-Government-Procurement-Guide-ENG.pdf

Canadian Free Trade Agreement
https://www.cfta-alec.ca/

Third Party Service Risk Assessment
https://security.uwo.ca/information_governance/risk_management/third_party_service_risk_assessment/index.html

Board of Governors
June 21, 2018

APPENDIX II, Annex 2
Appendix 2

**Manual of Administrative
Policies and Procedures**

PROCEDURE FOR POLICY 2.8 – Procurement of Materials and Services

PROCEDURES

1.00   Where an employee is a supplier or has a relationship with a supplier, compliance with Policy 3.4 and Policy 2.8 will be enforced.

2.00   It is recognized that on-going service and partnering with quality/preferred suppliers can be a mutually beneficial and cost-effective procurement process. However, where normal competitive procedures are waived, the reasons must be documented, kept on file, and authorized by the Director, Procurement Services or delegate through Western's electronic requisitioning tool. This process can only be used if you have an existing exception under a trade agreement.   Moreover, as a minimum, such arrangements must be reviewed every five years, or as determined by Procurement Services, with the stakeholders.

3.00   Procurement Services may enter into co-operative procurement arrangements with other organizations where this is advantageous. Co-operative procurement processes will be accepted if deemed by the Director, Procurement Services to be consistent with the intent of University policies.

4.00   Procurement Services will:

   (a) consult with the users to establish all requirements and appropriate suppliers;

   (b) be notified and approve any lab expositions, vendor and any other related shows/displays involving vendors on University property;

   (c) keep abreast of developments in the major commodity fields and provide pertinent information to users;

   (d) facilitate vendor performance evaluations;

   (e) identify sources of needed goods and services, select suppliers, obtain quotations and negotiate terms of purchase and payment. Users will be involved in the procurement process;

   (f) facilitate the procurement of goods and services and provide for customs clearance. The expediting of delivery of goods and services will be managed with the user department on a case by case basis;

   (g) place orders and arrange details of delivery;

   (h) handle all adjustments of price and terms for items purchased on Purchase Orders; and

   (i) interpret and apply all applicable government regulations including customs and appropriate taxes.

5.00   The competitive bid process may take the form of telephone quotations, written Request For Quote, written Request For Proposal, Tender or by OBS (electronic 'Open Bid System'). The most appropriate method will be decided by Procurement Services in conjunction with the

PROCEDURE FOR POLICY 2.8 – Procurement of Materials and Services

user and/or as required by law. <mark>Guidelines for competitive pricing, considering Procurement Value, are:</mark>

- Up to $10,000 - at the discretion of the Procurement Services Buyer.

- $10,001 to $25,000 - two verbal quotes minimum, three preferable with the awarded quote documented in writing.

- $25,001 to $100,000 - minimum of three formal quotes, five preferably, or advertised tenders preferably from a pre-qualification process.

- Over $100,000 – competitively bid through an open electronic system or, in the rare case, sole sourced with appropriate documentation.

Purchases made from the Facilities Management Vendor of Record program for Construction Services require the following minimum competitive bidding requirements:

Threshold	Minimum Invitation to Bid Requirements
Up to $25,000	One quote
$25,001 to $100,000	Three invitations to bid
$100,001 to $250,000	Four invitations to bid
$250,001 to $2,500,000	Five invitations to bid
Over $2,500,000	Open competition on open electronic system

Any purchases funded through a Granting Agency must meet the Agency's requirements, or those above, whichever are more stringent.

6.00   Except as noted in 7.00 below, budget units will prepare and forward Purchase Requisitions to Procurement Services for completion of the procurement function.

7.00   In accordance with section 5.00 of Policy 2.8, Procurement Services hereby delegates operational responsibility and accountability for procurement to the:

(a)   Director, Western Retail Services or $250,000
       Associate Vice-President (Housing & Ancillary Services)
       for books and materials purchased for resale by the
       Book Store or the Campus Computer Store and for
       equipment service agreements and external print contracts
       for Graphic Services.

(b)   University Librarian for library collection acquisitions. $250,000

(c)   Director, Hospitality Services or Associate $250,000
       Vice-President (Housing & Ancillary Services)
       for food and beverages purchased for Housing
       and Food Services

(d)   Managers of licensed University liquor outlets or $25,000
       Associate Vice-President (Housing & Ancillary Services)
       for purchase of alcoholic beverages in compliance
       with the University liquor license

This delegation of operational responsibility will be exercised in accordance with letters of understanding between Procurement Services and each of the above operating units. In

PROCEDURE FOR POLICY 2.8 – Procurement of Materials and Services

addition, authority for purchases less than $10,000, as provided for by Procurement Cards, Standing Orders or Systems Contracts, are delegated to local budget unit authorized personnel. The Director, Procurement Services has the authority to increase individual one-time Procurement Card transaction limits in accordance to the expenditure authorities as outlined in Section 9 of the Procurement of Materials and Services Policy.

8.00   Except as specified in 7.00, contracts and agreements, regardless of amount, must be reviewed and approved by, at minimum, a Procurement & Contract Specialist prior to approval by other signing authorities.

9.00   All software acquisitions, including those that are provided free of charge or as a trial, must be documented and assessed through Western's Third Party Service Risk Assessment. Software acquisitions may also be subject to a Privacy Impact Assessment (PIA) if determined by the risk assessment review.

10.00   Any procurement of goods and Non-Consulting Services must be approved by the appropriate authority, prior to purchase or commencement, in accordance with Section 9.00 of Policy 2.8.

11.00   Any non-competitive procurement of goods and Non-Consulting Services must be approved by an authority one level higher than the requirements for competitive procurement outlined in Section 9.00 of Policy 2.8 prior to purchase or commencement.

12.00   Supporting documentation for exceptions must be completed and approved by an appropriate authority, using Western's electronic requisitioning tool, prior to the non-competitive procurement of goods or Non-Consulting Services.

13.00   Procurement of Consulting Services must be approved, prior to commencement, in accordance with the Procurement Approval Authority Schedule for Consulting Services (see chart below).

Procurement Approval Authority Schedule for Consulting Services		
Procurement Method	*Procurement Value*	*Approval Authority*
Invitational Competitive	$0 up to but not including $100,000	As per Policy 2.8, Section 9
Open Competitive	$0-$1,000,000	As per Policy 2.8, Section 9
	$1,000,000 or more	As per Policy 2.8, Section 9
Non-Competitive*	$0 up to but not including $1,000,000	President
	$1,000,000 or more	Board of Governors

**Exception based only

14.00   Departments must not reduce the overall value of procurement (e.g. dividing a single procurement into multiple procurements) in order to circumvent the approval requirements specified in Section 9.00 of Policy 2.8, or the Procurement Approval Authority Schedule for Consulting Services.

PROCEDURE FOR POLICY 2.8 – Procurement of Materials and Services

RELATED DOCUMENTS AND OTHER RESOURCES

Accessibility for Ontarians with Disabilities Act (AODA)
https://www.ontario.ca/laws/statute/05a11

Broader Public Sector (BPS) Accountability Act
https://www.ontario.ca/page/broader-public-sector-accountability

Broader Public Sector (BPS) Procurement Directive
http://www.fin.gov.on.ca/en/bpssupplychain/documents/bps_procurement_directive.html

Canada-European Union Comprehensive Economic and Trade Agreement
http://www.international.gc.ca/gac-amc/assets/pdfs/publications/European-Union-Government-Procurement-Guide-ENG.pdf

Canadian Free Trade Agreement
https://www.cfta-alec.ca/

Third Party Service Risk Assessment
https://security.uwo.ca/information_governance/risk_management/third_party_service_risk_assessment/index.html

Board of Governors
June 21, 2018

APPENDIX II, Annex 2
Appendix 3

**Manual of Administrative
Policies and Procedures**

POLICY 2.9 – Asset Management - Central Inventory and Disposal

Policy Category: Financial

Subject: Asset Management - Central Inventory and Disposal

Approving Authority: Board of Governors

Responsible Officer: Vice-President (Operations & Finance)

Responsible Office: Financial Services

Related University Policies:

    Policy 2.8   Procurement of Materials and Services
    http://www.uwo.ca/univsec/pdf/policies_procedures/section2/mapp28.pdf

Related Procedures:

    Policy 2.9   Procedures- Asset Management - Central Inventory and Disposal
    Add link when created

    Policy 2.8   Procedures- Procurement of Materials and Services
    http://www.uwo.ca/univsec/pdf/policies_procedures/section2/mapp28_procedure.pdf

Effective Date: June 2018

Supersedes: September 28, 2000
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POLICY

1.00   Procurement Services shall be responsible for maintaining a centrally controlled database of University capital equipment [hereinafter referred to as "equipment"] and also be responsible, unless otherwise delegated by the Board of Governors or the President, for the disposal of University assets.

2.00   Procurement Services may delegate its operational responsibilities to other groups in specific instances while retaining functional authority.

3.00   The purpose of this policy is to:

- Provide a means of control and to determine the current value of equipment held by the University for insurance purposes,
- Provide information as to the kind and location of equipment, and
- Provide a basis for forecasting funds required for future equipment needs
- To provide a system that encourages identification of University assets that

POLICY 2.9 – Asset Management- Central Inventory and Disposal

are no longer required by the present user department.
- To obtain maximum benefit from University assets which are considered of no further use to the present user department by alternate use internally, trade-in on new purchases, or sale to outside parties.
- To provide a means of documenting the transfer or sale of University assets.

4.00   Faculties and Budget Units are responsible for the tagging, control, and safekeeping of their assets and periodic verification as they deem necessary.

5.00   Corporate Accounting is responsible for accounting disposals

6.00   The net proceeds from the disposal of University assets which are under the direct control of a University department will be credited to that department's budget. In all other instances the net proceeds will be retained in the University's central funds at the discretion of the Vice-President (Operations & Finance) and subject to the authority of the Board of Governors.

7.00   Equipment purchased under Research Grants or contracts becomes the property of the University, unless otherwise specified in the terms of the grant or contract, and is therefore subject to this policy.

**Manual of Administrative
Policies and Procedures**

PROCEDURE FOR POLICY 2.9 – Asset Management - Central Inventory and Disposal

PROCEDURE

1.00   Procurement Services Buyers shall review all equipment acquisitions and determine what equipment will be inventoried.

    1.01   Generally, equipment having the following characteristics shall be included:

        (a) an expected useful life of more than two years,
        (b) an original cost of $20,000 or more, and
        (c) an identity that does not change with use.

2.00   When it has been determined that an item will be inventoried, Procurement Services will:

        a) assign inventory tag number(s)
        b) enter the tag number(s) into Procurement's electronic requisitioning tool
        c) forward the tag(s) to the requisitioner to affix to the equipment upon receipt.

3.00   Tagged University assets with an estimated disposed fair market value under $2500, or that are greater than 7 years old, may be disposed of by the individual user departments. However, the end user department will be responsible for ensuring that proper tax is collected and remitted and the proceeds deposited and properly accounted for. The asset disposal requisition will clearly indicate the disposition of these assets and will be forwarded to Procurement Services.

4.00   In all other instances, budget units will initiate and forward an Asset Disposal Requisition to Procurement Services for approval and action.

5.00   Pursuant to Special Resolution No. 2 of the Board of Governors, the President hereby delegates authority to sell or otherwise dispose of University assets, excluding land, up to the limits based on fair market value as specified below, through the final approval of Asset Disposal Requisitions and execution of contracts and agreements

        (a)   A Vice-President $150,000
        (b)   Director, Procurement Services $ 75,000
        (c)   Procurement Manager $ 50,000
        (d)   Budget Unit Head $ 2500

provided that either the Vice-President (Operations & Finance) or the President shall authorize all disposals having a market value in excess of $75,000, or in their absence, by the Associate Vice-President (Financial Services).

Board of Governors
June 21, 2018

APPENDIX II, Annex 2
Appendix 5

**Manual of Administrative
Policies and Procedures**

POLICY 2.21 – Personal Use of University Resources

Policy Category: Financial

Subject: Personal Use of University Resources

Approving Authority: Board of Governors

Responsible Officer: Vice-President (Operations & Finance)

Responsible Office: Financial Services

Related University Policies:

    Policy 1.13   Computing, Technology & Information Resources
    http://www.uwo.ca/univsec/pdf/policies_procedures/section1/mapp113.pdf

Related University Procedures:

    Policy 2.21   Procedures- Use of University Resources
    Add Link when created

Effective Date: June 2018

Supersedes: June 25, 1987, September 29, 1988

POLICY

1.00   The use of University equipment, supplies, human resources, technology, computer software and facilities for personal gain is prohibited unless prior written approval is obtained from the appropriate Dean or Budget Head.

2.00   Equipment, technology or computer software may be used off-campus for teaching, research or other University purposes, subject to the approval of the appropriate Dean or Budget Head (or designate).

    2.01   While the equipment technology or computer software is located off-campus, it is assumed to be under the care and control of the person using it who assumes full responsibility for any loss or damage. The only exception to this policy is when equipment, supplies, technology or computer software is being used in connection with University-sponsored, off-campus activities such as work-related projects or field trips. In these circumstances, University insurance policies and procedures will pertain.

Board of Governors
June 21, 2018

APPENDIX II, Annex 2
Appendix 6

**Manual of Administrative
Policies and Procedures**

PROCEDURE FOR POLICY 2.21 – Personal Use of University Resources

PROCEDURES

1.00   When equipment or computer software is to be taken off-campus for use as specified in section 2.00 of Policy 2.21, a form entitled "Authorization for Off-Campus Use of Equipment", available from Procurement Services, must be completed and authorized by the appropriate Dean or Budget Head (or designate) and maintained in a central file within the unit until the equipment is returned to the campus.

RELATED DOCUMENTS AND OTHER RESOURCES

Authorization for Off Campus Use of Equipment
http://www.uwo.ca/finance/forms/docs/procurement/off-campus.pdf

Board of Governors
June 21, 2018

APPENDIX II, Annex 2
Appendix 7
**Manual of Administrative
Policies and Procedures**

POLICY 2.29 – Investigator- Vendor Conflict of Interest

Policy Category: Financial

Subject: Investigator-Vendor Conflict of Interest

Approving Authority: Board of Governors

Responsible Officer: Vice-President (Operations & Finance)

Responsible Office: Financial Services

Related University Policies:

Policy 2.8   Procurement of Materials and Services
http://www.uwo.ca/univsec/pdf/policies_procedures/section2/mapp28.pdf

Policy 3.4   Conflicts of Interest
http://www.uwo.ca/univsec/pdf/policies_procedures/section3/mapp34.pdf

Related Procedures:

Policy 2.29   Procedures- Investigator- Vendor Conflict of Interest
Add Link when Created

Policy 2.8   Procedures - Procurement of Materials and Services
Procurement of Materials and Services – Procedures

Effective Date: June 2018

Supersedes: September 26, 2002
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As members of the University community become increasingly engaged in technology transfer and commercialization of intellectual property based on past research, the possibility of future conflicts of interests arises.

Research at the leading edges of a discipline requires state-of-the-art technology. Increasingly, the best technology is derived from university based research, marketed by companies with licensing agreements or through start-up companies. On occasion, proposals to agencies will include plans for purchase of equipment or other infrastructure that may be provided by such companies which can lead to a potential conflict of interest when the decision of which company to purchase from is made.

The Principles and Procedures listed in this policy are intended to make the best possible procurement decision in light of the potential for conflict of interest.

1.00   The tendering of goods and services must follow procedures established by Procurement Services (see Item 1.00 in Procedures).

POLICY 2.29 – Investigator-Vendor Conflict of Interest

2.00   The individual(s) that are in potential conflict can, if they are part of the funded investigator team, participate in the description of specifications and evaluation criteria in tendering process. However, these individual(s) cannot be the only individuals involved.

3.00   The individual(s) that are in potential conflict cannot participate in the decision making process following the tendering process.

4.00   The objective of the proposed research must not be compromised by the procurement decision. In other words, the infrastructure must be purchased from a vendor that can meet the specifications that will allow the research program to proceed in a timely and effective manner, even if the vendor is in a conflict of interest position.

Board of Governors
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APPENDIX II, Annex 2
Appendix 8

**Manual of Administrative
Policies and Procedures**

PROCEDURE FOR POLICY 2.29   Investigator- Vendor Conflict of Interest

PROCEDURES

1.00   In each case, Procurement Services will determine which procedure(s) for tendering will apply.

2.00   Procurement Services will work with the funded investigator team to establish the specifications that are published as part of the tendering process and ensures that they are in compliance with Principle 2.00.

3.00   The Vice-President (Research) will establish an *ad hoc* Procurement Decision Committee with representation from Procurement Services, the Office of the Dean of the Faculty that hosts the research and the Office of the Vice-President (Research). In cases where the University may be in conflict, (because of revenue from licensing fees), the committee should include a member from outside the University rather than a member from the Office of the Vice-President (Research).

4.00   The *ad hoc* Procurement Decision Committee may consult experts, including members of the funded investigator team, to address questions they may have about detailed, technical specifications.

5.00   The *ad hoc* Procurement Decision Committee will evaluate vendor proposals and will make a recommendation to Procurement Services in accordance with **Policy 2.8** - Purchase of Materials and Services based on a majority opinion. The Committee will also document the reasons for the recommendation.

6.00   While price and other factors may be critical factors, the decision must be consistent with the objectives of the proposed research program.

7.00   Where a faculty or staff member will be in a potential conflict of interest during the bidding process, the individual must declare this and sign the "Conflict of Interest - Procurement Operating Agreement" prior to bids being solicited. In joint proposals, all members of the research team must acknowledge the conflict and agree to abide by the principles of the Procurement Operating Agreement.

PROCEDURE FOR POLICY 2.29   Investigator- Vendor Conflict of Interest

THE UNIVERSITY OF WESTERN ONTARIO
CONFLICT OF INTEREST
PROCUREMENT OPERATING AGREEMENT – FACULTY

Preamble:

The policies of The University of Western Ontario (University) and the Faculty Association collective agreement form the basis of this agreement. By signing this agreement the faculty member agrees to the terms and conditions outlined herein pertaining to purchases by the University from the company(ies) the faculty member is in conflict with.

Terms and Conditions:

1.   I have read and understand University's Policy 2.8 - Purchase of Materials and Services.

2.   I have read and understand the Faculty collective agreement section on Conflict of Interest and Conflict of Commitment.

3.   I have read and agree with the Dean's written resolution as required by the Faculty collective agreement.

4.   I understand that no commitment made by any individual at the University other than a purchase order approved by Procurement Services will bind the University to payment.

5.   I agree to the following specific guidelines with respect to purchases made by the University and its associated companies from the supplier(s) named below:

(a) To maintain an arm's length role in any purchases.

(b) To not use my position at the University to promote the use of the company(ies) I have a conflict with.

(c) That I will not use University facilities or the University's name in conducting business in the name of company(ies) below without the express written permission of the Dean and University Secretariat.

(d) That specifications for requirements under my control cannot be articulated in a manner that precludes competition with the company(ies) listed below.

(e) That it is my responsibility on every transaction to ensure compliance with these terms and conditions. I also acknowledge it is my responsibility to make the Dean and Director, Procurement Services aware of any changes to this situation as soon as they may occur, e.g., transfer to another Faculty, change in marital status, ownership change, etc.

Board of Governors
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APPENDIX II, Annex 2
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**Manual of Administrative
Policies and Procedures**

PROCEDURE FOR POLICY 2.29   Investigator- Vendor Conflict of Interest

Conflict:

Company(ies) Name and Address(es):

Position relative to company(ies): _____

Signatures:

Agreed by:

Faculty Member's signature: _____ Date: _____

Approved by:

Dean's Signature: _____ Date: _____

Director, Procurement Services Signature: _____ Date: _____

PETER F. J. MILLER FELLOWSHIP IN MEDIA AND JOURNALISM

FOR INFORMATION

At its meeting on June 5, 2018 the Property and Finance Committee approved on behalf of the Board of Governors that the Peter F.J. Miller Fellowship in Media and Journalism be established with academic appointment in the Faculty of Information and Media Studies.

Donor and Funding: Peter F.J. Miller left a bequest to Western of approximately $170,000 to be used to support the Faculty of Journalism, which is now part of the Faculty of Information and Media Studies. The Dean of the Faculty of Information and Media Studies, in consultation with the Provost and Vice-President (Academic) have allocated $160,000 of this contribution to support a limited two-year position to be known as the Peter F. J. Miller Fellowship in Media and Journalism.

Effective Date: May 1, 2018

Purpose: The holder of this Fellowship will assist in the planning and instruction of undergraduate and graduate programs in the Faculty of Information and Media Studies, with special emphasis on courses related to new media, technology and media, the relation of media to environmental social crises, political and international reporting, health and medical journalism, and media law and ethics.

The administration of the spending of resources will be the responsibility of the Dean of the Faculty of Information and Media Studies.

Criteria: Appointments to the Fellowship will be conducted in accordance with University policies and procedures.

Reporting: No donor reporting is required.

Background: The Fellowship has been funded Peter Frederick James Miller (Dip '67, Journalism) who left a bequest to Journalism and Media Studies at Western out of a personal interest in this area. The Faculty has also established a scholarship in his name, Peter F.J. Miller Entrance Scholarship

Reputational Risk: None.

JOHN M. THOMPSON FELLOWSHIP IN ENGINEERING LEADERSHIP

FOR INFORMATION

At its meeting on June 5, 2018, the Property and Finance Committee approved on behalf of the Board of Governors that the John M. Thompson Fellowship in Engineering Leadership be established and appointed within the Faculty of Engineering.

Donor and Funding: Dr. John M. Thompson pledged $3 million in 2013 to support various projects at the Faculty of Engineering and the Ivey Business School, including academic positions, curriculum development funding and student awards. Of this pledge, $500,000 was directed to establish the John M. Thompson Fellowship in Engineering Leadership. Of this amount, $450,000 will be endowed and $50,000 will be used to support the Fellowship on an expendable basis in the first year it is offered.

Effective Date: May 1, 2018

Purpose: The creation of this Fellowship will allow the Faculty of Engineering to enhance the impact of the Centre for Engineering Leadership & Innovation. Research and activities to be undertaken by the holder of the Fellowship will be determined by the Dean of the Faculty of Engineering, in consultation with the holder of the John M. Thompson Chair in Engineering Leadership & Innovation.

It is anticipated that the Fellow will be appointed at Western on a visiting basis. They will be formally appointed within the Faculty of Engineering, and will also work collaboratively with Ivey Research Centres, such as the Ian O. Ihnatowycz Institute for Leadership, Pierre L. Morrissette Institute for Entrepreneurship or Centre for Building Sustainable Value or others that may be created in the future that are within the scope and mandate of Engineering Leadership & Innovation.

The amount of the Fellowship will vary based on funds available, and will meet the minimum requirements for a fellowship at the University. A portion of the funding available will be directed to the compensation of the holder of the Fellowship and will be in keeping with the offer letter associated with the appointment. The remaining portion of the funding available will be allocated for associated travel and expenses. The administration of the spending of resources will be the responsibility of the Dean of the Faculty of Engineering.

Criteria: Appointments to the Fellowship will be conducted in accordance with University policies and procedures.

Reporting: The University, through the Faculty of Engineering will report to Dr. John M. Thompson regarding the activities of the Fellow. In addition, the Fellow will submit a summary report by August 30th each year to the Dean of the Faculty of Engineering and the Dean of the Ivey Business School, which describes the Fellow's activities and achievements.

Background: The Fellow has been funded Dr. John M. Thompson, University Chancellor from 2008 to 2012.

Reputational Risk: None.

Western University
2017-18 Operating Budget Update
as at April 30, 2018
($000)

<a> Summary					

		As presented to the Board <d>	Actual Budget	Increase/Decrease $	%
1	Revenues <b>	766,880	769,505	2,625	0.34%
2	Expenditures <c>	754,283	755,684	1,401	0.19%
3	Surplus / (Deficit)	12,597	13,821	1,224	
4	Operating Reserve -- Beginning of Year	67,656	67,656	0	
5	Surplus / (Deficit)	12,597	13,821	1,224	
6	Operating Reserve -- End of Year	80,253	81,477	1,224	

<b> Revenue Changes	

7	Government Grants: Other Targeted Grants			501	
8	Other Revenues: Research Overheads			732	
9	Other Revenues: Fund Raising-Needs-based Student Awards			599	
10	Other Revenues: Application Fees			538	
11	All Other			255	
12	Total Revenue Changes			2,625	

<c> Expense Changes	

13	Scholarships & Bursaries: Needs-based Awards			599	
14	Insurance			310	
15	Library Acquisitions			270	
16	All Other			222	
17	Total Expenditure Changes			1,401	

<d>   The 2017-18 projected budget was presented to the Board in April 2018.

Schedule 1
Western University
Student Fee-Funded Units, Ancillary Units, Academic Support Units, and Associated Companies
2017-18 Preliminary Results Summary ($ 000)

		2017-18 Projected			2017-18 Preliminary Actual			% Change		April 30, 2018 Reserves	
										at April 30, 2018	
		Revenues	Expenses	Rev-Exp	Revenues	Expenses	Rev-Exp	Revenues	Expenses	Operating	Capital/Equipment
1	**A - Student Fee-Funded Units**										
2	SRS: Campus Recreation	5,640.5	5,639.2	1.3	6,028.8	6,004.4	24.4	6.88%	6.48%	652.7	628.5
3	SRS: Intercollegiate Athletics	6,319.5	6,309.7	9.8	6,428.1	6,304.8	123.3	1.72%	-0.08%	111.2	
4	SRS: Thompson Recreation & Athletic Centre	1,278.9	1,270.6	8.3	1,213.8	1,200.7	13.1	-5.09%	-5.50%	271.1	219.2
5	Financial Aid Office	1,111.5	1,111.7	-0.2	1,135.3	1,135.2	0.1	2.14%	2.11%	52.9	
6	International Student Services	457.5	457.3	0.2	466.6	466.4	0.2	1.99%	1.99%	0.2	
7	Indigenous Services	815.0	815.0	0.0	821.9	748.3	73.6	0.85%	-8.18%	126.2	
8	Services for Students with Disabilities	459.4	459.6	-0.2	466.9	458.8	8.1	1.63%	-0.17%	28.6	74.2
9	Student Development Centre	2,582.7	2,581.7	1.0	2,632.1	2,604.3	27.8	1.91%	0.88%	314.9	150.0
10	Student Success Centre	1,606.0	1,616.4	-10.4	1,631.2	1,595.2	36.0	1.57%	-1.31%	424.7	
11	Student Health Services	4,307.2	4,382.5	-75.3	4,232.0	4,221.0	11.0	-1.75%	-3.69%	725.6	500.0
12	Off-Campus Housing & Housing Mediation Svcs	447.5	447.5	0.0	454.5	449.3	5.2	1.56%	0.40%	146.5	
13	Western Foot Patrol	184.2	184.1	0.1	193.7	191.2	2.5	5.16%	3.86%	34.4	44.1
14	**Sub-Total**	**25,209.9**	**25,275.3**	**-65.4**	**25,704.9**	**25,379.6**	**325.3**	**1.96%**	**0.41%**	**2,889.0**	**1,616.0**
15	**B - Ancillary Units**										
16	Family Practice Clinic and Workplace Health Svcs	568.3	541.3	27.0	527.1	523.4	3.7	-7.25%	-3.31%	170.3	
17	Housing Services	73,345.6	69,670.1	3,675.5	75,545.5	67,853.1	7,692.4	3.00%	-2.61%	60,950.4	
18	Parking Services	5,782.7	5,711.9	70.8	5,916.9	5,684.1	232.8	2.32%	-0.49%	4,919.4	
19	Retail Services	32,474.9	32,538.9	-64.0	31,949.7	31,980.0	-30.3	-1.62%	-1.72%	1,407.5	
20	**Sub-Total**	**112,171.5**	**108,462.2**	**3,709.3**	**113,939.2**	**106,040.6**	**7,898.6**	**1.58%**	**-2.23%**	**67,447.6**	**0.0**
21	**C - Academic Support Units**										
22	Animal Care & Veterinary Services	4,443.3	4,514.2	-70.9	4,655.7	4,680.3	-24.6	4.78%	3.68%	275.6	
23	Boundary Layer Wind Tunnel	2,500.2	2,470.6	29.6	2,755.5	2,529.7	225.8	10.21%	2.39%	816.8	300.0
24	University Machine Services	1,972.8	1,902.8	70.0	1,858.8	1,850.8	8.0	-5.78%	-2.73%	412.9	
25	Fraunhofer Project Centre	1,350.5	1,227.2	123.3	1,168.1	1,168.0	0.1	-13.51%	-4.82%	-761.8	87.0
26	Surface Science Western	1,807.4	1,807.4	0.0	1,712.6	1,712.0	0.6	-5.25%	-5.28%	287.9	407.4
27	Continuing Studies at Western	2,493.3	2,468.6	24.7	2,455.6	2,287.9	167.7	-1.51%	-7.32%	409.5	
28	**Sub-Total**	**14,567.5**	**14,390.8**	**176.7**	**14,606.3**	**14,228.7**	**377.6**	**0.27%**	**-1.13%**	**1,440.9**	**794.4**
29	**D - Associated Companies**										
30	Western Research Parks (incl. Windermere Manor & AMP)	8,349.8	8,085.0	264.8	8,184.4	7,826.5	357.9	-1.98%	-3.20%	-13,386.1	
31	Richard Ivey School of Business Foundation	30,199.0	26,144.0	4,055.0	30,270.0	27,468.0	2,802.0	0.24%	5.06%	12,869.0	
32	Ivey Business School Asia Limited	3,984.0	4,344.0	-360.0	3,967.0	2,796.0	1,171.0	-0.43%	-35.64%	-2,796.0	
33	**Sub-Total**	**42,532.8**	**38,573.0**	**3,959.8**	**42,421.4**	**38,090.5**	**4,330.9**	**-0.26%**	**-1.25%**	**-3,313.1**	**0.0**
34	**Grand Total**	**194,481.7**	**186,701.3**	**7,780.4**	**196,671.8**	**183,739.4**	**12,932.4**	**1.13%**	**-1.59%**	**68,464.4**	**2,410.4**

QUARTERLY RATIO REPORT ON NON ENDOWED FUNDS

FOR INFORMATION

The attached report shows the non-endowed fund quarterly activity from 1996/97 to the end of the fourth quarter of 2017/18 (April 30). The balance in the Undistributed Investment Returns Account at April 30, 2018 was $282.3 million. At April 30, 2018 the 12-quarter moving average of non-endowed investments to the obligations of the portfolio was 1.92 (column 10), well above the target ratio of 1.08.

❑ Net returns (column 1) amounted to $0.8 million for the quarter.

❑ Allocations to accounts (column 2), represents income distributed to the non-endowed funds. The non-endowed rate is based on the 30-day Treasury bill rate less administrative and management fees of 0.42%. The rate is adjusted quarterly and is applicable to non-endowed fund balances with the exception of Robarts. The non-endowed rate for the period April 1 to June 30 is 0.62 %. In the case of Robarts, in accordance with the operating agreement, the long term portion of their fund balance will earn the rate of return generated by the Operating & Endowment portfolio.

❑ The allocation to the operating budget (column 3) for fiscal 2018 is zero as approved by the Board.

❑ Other allocations (column 4) for fiscal 2018 totaled $49.9 million. The amount consists of $30.0 million to establish sinking funds related to the 2007 and 2017 Debenture issues as approved by the Board and $20.0 million allocated to capital. The $50.0 million is netted by the cost to carry related to the debentures and the Mark-to-Market year end adjustment on the RBC interest rate SWAP agreement.

❑ The non-endowed investments decreased $4.3 million (column 6) during the quarter.

❑ The total market value of the non-endowed fund's portion of the externally managed portfolio at April 30, 2018 amounted to $582.3 million (column 7).

❑ The obligations of the portfolio amounted to $300.0 million at April 30, 2018 (column 8).

❑ The ratio of investments to obligations stood at 1.94 (column 9) at April 30, 2018.

Western University
Non-Endowed Funds: Quarterly Values

Quarter		Net Returns (1)	To Accounts (2)	Allocations To Operating Budget (3)	Other (4)	Change in amount Owed (5)	Net Change (6)	Total Investments (7)	Total Obligations (8)	Ratio of Investments to obligations (9)	Ratio of Investments to obligations Average for 12 Quarters (10)
1996/1997		4.0	(0.4)	(1.7)	(2.8)	(4.6)	(5.4)	103.4	85.1	1.22	1.16
1997/1998		5.2	(0.4)	(2.1)	(2.5)	4.0	4.2	97.7	74.5	1.32	1.24
1998/1999		1.2	(0.5)	(1.5)	(0.1)	(4.3)	(5.2)	97.2	82.7	1.18	1.24
1999/2000		2.4	(0.6)	(1.5)	(0.3)	4.0	4.0	88.0	74.3	1.18	1.23
2000/2001		0.9	(0.8)	(2.1)	(0.2)	5.9	3.7	113.7	101.0	1.13	1.16
2001/2002		0.8	(0.7)	(1.5)	0.0	5.9	4.6	127.0	125.5	1.01	1.10
2002/2003		(2.6)	(0.3)	(0.3)	0.0	0.4	(2.7)	120.6	132.3	0.91	1.02
2003/2004		6.3	(0.5)	0.0	0.0	1.3	7.1	140.7	135.5	1.04	0.99
2004/2005		2.9	(0.4)	0.0	0.0	3.6	6.2	157.7	141.1	1.12	1.03
2005/2006		7.0	(0.7)	0.0	0.0	2.9	9.3	199.4	160.4	1.24	1.13
2006/2007		7.6	(1.2)	(1.3)	0.0	6.2	11.4	236.9	179.1	1.32	1.22
2007/2008		0.4	(1.0)	(1.6)	(0.3)	2.7	0.2	258.7	197.7	1.31	1.29
2008/2009		(12.2)	0.3	0.0	(0.2)	(2.5)	(14.6)	213.3	197.7	1.08	1.24
2009/2010		10.5	(0.7)	0.0	(0.6)	(3.6)	5.7	219.1	181.2	1.21	1.20
2010/2011		6.9	(0.5)	0.0	(0.4)	(1.0)	5.1	234.5	174.5	1.34	1.22
2011/2012		1.2	(0.2)	0.0	(0.4)	9.9	10.6	260.9	194.4	1.34	1.30
2012/2013											
	1	(1.6)	(0.1)	0.0	0.0	13.0	11.3	295.9	224.2	1.32	1.32
	2	11.6	(0.3)	0.0	0.0	(9.2)	2.1	298.0	215.0	1.39	1.33
	3	18.6	(0.2)	0.0	0.0	14.5	32.9	330.9	229.5	1.44	1.35
	4	14.2	(2.4)	0.0	(3.7)	(3.5)	4.6	335.5	226.0	1.48	1.36
2013/2014											
	1	10.6	(0.2)	0.0	0.0	7.9	18.3	353.8	233.9	1.51	1.38
	2	19.2	(0.2)	0.0	0.0	1.6	20.6	374.4	235.5	1.59	1.40
	3	17.7	(0.3)	0.0	0.0	(4.3)	13.1	387.5	231.2	1.68	1.43
	4	14.1	(3.4)	0.0	(6.4)	29.9	34.2	421.7	261.1	1.62	1.45
2014/2015											
	1	13.2	(0.2)	0.0	0.0	1.9	14.9	436.6	263.0	1.66	1.47
	2	6.8	(0.2)	0.0	0.0	(3.7)	2.9	439.5	259.3	1.69	1.50
	3	22.8	(0.3)	0.0	0.0	(14.5)	8.0	447.5	244.8	1.83	1.55
	4	14.0	(2.8)	0.0	(3.5)	5.2	12.9	460.4	250.0	1.84	1.59
2015/2016											
	1	12.7	(0.1)	0.0	0.0	14.6	27.2	487.6	264.6	1.84	1.63
	2	(9.6)	(0.1)	0.0	0.0	2.2	(7.5)	480.1	266.8	1.80	1.67
	3	(6.8)	0.0	0.0	0.0	(1.9)	(8.7)	471.4	264.9	1.78	1.69
	4	6.6	0.0	0.0	(1.9)	40.8	45.5	516.9	305.7	1.69	1.71
2016/2017											
	Q1	25.9	0.0	0.0	0.0	14.9	40.8	557.7	320.6	1.74	1.73
	Q2	9.9	0.0	0.0	0.0	(1.8)	8.1	565.8	318.8	1.77	1.75
	Q3	22.3	0.0	0.0	0.0	(15.1)	7.2	573.0	303.7	1.89	1.76
	Q4	27.5	(3.3)	0.0	(0.2)	(17.3)	6.7	579.7	286.4	2.02	1.80
2017/2018											
July 31, 2017	Q1	0.7	0.0	0.0	0.0	(5.5)	(4.8)	574.9	280.9	2.05	1.83
October 31, 2017	Q2	23.6	(0.1)	0.0	0.0	(11.5)	12.0	586.9	269.4	2.18	1.87
January 31, 2018	Q3	16.4	(0.1)	0.0	0.0	(16.6)	(0.3)	586.6	252.8	2.32	1.91
April 30, 2018	Q4	0.8	(2.4)	0.0	(49.9)	47.2	(4.3)	582.3	300.0	1.94	1.92

General notes:

[A]   For 1995/96 through to 2008/09 the figures are the average for the four quarters.

Columns (1) to (6) refer to changes during the quarter, column (7) to (10) refer to the end of each quarter.
All figures are millions of dollars, except columns (9) and (10). Column (9) is the ratio of column (7) to column (8).
Column (10) is the average of the ratios in column (9) over 12 quarters (i.e. over 3 year period).

Notes:

(1)   Net investment returns, including changes in unrealized capital gains, net of consulting and investment
management fees. This total includes returns on internally managed funds and other sundry investment earnings
less overdraft interest and interest paid to employee benefit accounts.

(2)   Allocations from the fund to all accounts and associated companies, except the Operating budget and Other allocations (column 4)

(3)   Allocations to the Operating budget.

(4)   In April 2014 a special allocation of $10.0 was made to capital. The amount was netted by a cost recovery of 3.6 million associated

(4)   with year end adjustments related to the debenture and the new residence financing.

(4)   The April 2015 amount is related to a year end mark-to-market value adjusted on the RBC SWAP interest agreement

(4)   The April 2016 amount is related to a year end mark-to-market value adjusted on the RBC SWAP interest agreement as well as the cost to carry related to

(4)   unused debenture proceeds.

(4)   The April 2017 amount is the net of the year end mark-to-market value adjusted on the RBC SWAP interest agreement and the cost to carry related to

(4)   unused debenture proceeds.

(4)   April 2018 special allocations: $30.0 to set up sinking funds related to the debenture issues; $20.0 to capital

The above amount is netted by the year end mark-to-market adjustment on the RBC SWAP interest agreement and the cost to carry related to
unused debenture proceeds (0.1).

(5)   The change in the amount owed to other funds for the quarter is the net cash flows into the accounts less any transfers to
Western's bank account.

(6)   Quarterly net change, is the sum of columns (1) to (5) and is the change in the value of the fund in column (7), which is the
change in the market value of investments during the quarter.

(7)   Total non-endowed externally managed funds. Endowed funds are not included.

(8)   Total of the non-endowed externally managed funds that are owed to University accounts and other creditors.

(9)   The ratio of column (7) to column (8).

(10)   The average of this ratio over the previous 12 quarters. The Board target for this ratio is an average of 1.08.

SCHOLARSHIPS/AWARDS/PRIZES

FOR INFORMATION

At its meeting on June 5, 2018, the Property and Finance Committee approved on behalf of the Board of Governors the following terms of reference for new scholarships, awards, bursaries and prizes.

Brett and Meaghan Barakett Award (Ivey Business School)
Awarded annually to a full-time HBA 1 or HBA 2 student at the Ivey Business School, based on academic achievement and demonstrated financial need. Online financial assistance applications are available through Student Center and must be submitted by September 30. The Office of the Registrar will determine financial need eligibility and the HBA Scholarship Committee will make the final selection of the recipient. This award was established with a generous gift from Brett Barakett (HBA '88) and Meaghan Barakett.

Value: 1 at $10,000
Effective Date: 2018-2019 academic year

Doug Burgoyne Entrepreneurship Award (Ivey Business School)
Awarded annually to a student who is enrolled full-time in the Master of Business Administration program at the Ivey Business School, based on academic achievement, community leadership and a focus on entrepreneurship. The MBA Scholarship Review Committee with at least one member of the selection committee holding membership in the School of Graduate and Postdoctoral Studies, will select the award recipient in consultation with the Executive Director of the Pierre L. Morrissette Institute for Entrepreneurship. This award was generously established in memory of the late Doug Burgoyne, MBA '02.

Value: 1 at $1,000
Effective Date: 2018-2019 academic year

Dr. & Mrs. W.J. Tillman Memorial Resident Award in Paediatrics (Schulich School of Medicine & Dentistry)
Awarded annually to two postgraduate trainees completing a residency program in Paediatrics, who best embody the vision of the Paediatric Training Program at the Schulich School of Medicine & Dentistry. This includes excellence in the roles of medical expert and patient care. Candidates must have made major contributions to the paediatric training program, university, and/or community including roles in patient advocacy, leadership, scholarship, and education. Preference will be given to those demonstrating a commitment to the psycho-social-biological care of children and their families. One award will be made to a trainee in PGY1 or PGY2 and one to a trainee in PGY3 or PGY4. Nominations can be made by clinical academic faculty in Paediatrics by submitting a one-page statement to the Departmental Office of Paediatrics by April 30th outlining how the nominee demonstrates these qualities. Final selection will be made by the Residency Program Committee in Paediatrics. This award was established through generous memorial gifts made in memory of Dr.& Mrs. W.J. Tillman.

Value: 2 at $2,000
Effective Date: 2017-2018 academic year

Dr. William Tillman was born in London, ON. After completing medical school at Western he graduated as the 1898 class gold medalist. After a period in general practice, he completed postgraduate paediatrics training in London, England. A physician who was known for kindness, he became a Professor of Paediatrics at Western in 1920, and became the first Chair of the formal Department of Paediatrics in 1934. Mrs. Anne Tillman, known for her volunteerism, believed in showing by example the value of human connection and responsibility. William retired in 1938 and was conferred an honorary Doctor of Laws Degree in 1948. Dr. Tillman died in 1957 at the age of 79.

<u>Dr. Peter Tadros Bursary in Medicine</u> (Schulich School of Medicine & Dentistry)
Awarded annually to a full-time undergraduate student in any year of the Doctor of Medicine (M.D.) program at the Schulich School of Medicine & Dentistry - Windsor Campus, based on demonstrated financial need. Online financial assistance applications are available through Student Center and must be completed by October 31st. The Office of the Registrar will select the recipient. This bursary was established by Dr. Peter Tadros.

Value: 1 at $2,000
Effective Date: 2018-2019 academic year

Dr. Tadros graduated from the University of Saskatchewan in 1965. He teaches at the Schulich School of Medicine & Dentistry in Windsor and is passionate about supporting future medical students.

<u>Ian Clarke Graduate Scholarship in Biology</u> (Biology)
Awarded annually to a graduate student enrolled in a Masters or Doctoral program in Biology, specializing in Cell and Molecular Biology, based on academic achievement and research merit. The Graduate Scholarship Committee in the Department of Biology will select the recipient. At least one member of the committee must hold membership in the School of Graduate and Postdoctoral Studies. This scholarship was established by a generous donation from the Canadian Subsidiary of New England Biolabs, Inc., in honour of Mr. Ian Clarke (MSc'84, Pharmacology/Molecular Biology).

Value: 1 at $1,000
Effective Date: May 2018

Mr. Ian Clarke received his MSc in Pharmacology and Molecular Biology from Western in 1984. He served as General Manager with New England Biolabs (Canada) Ltd. from 1996 to 2015. He contributed greatly to the success of New England Biolabs in representing Canadian Life Scientists. Ian passed away suddenly in 2015 at the age of 57 and is missed by many.

<u>Jakob Mueller Award in Medicine</u> (Schulich School of Medicine & Dentistry)
Awarded annually to an undergraduate student enrolled in Year 1 in the Doctor of Medicine (MD) program, based on academic achievement and demonstrated financial need. Candidates must complete an admission bursary application form, which is available online through Student Center, by July 1. The Office of the Registrar will determine financial need and make the final selection of the recipient. This award was established through a generous gift from Dr. Elizabeth K. Mueller (MD '77) in honour of her father, Jakob Mueller.

Value: 1 at $10,000
Effective Date: 2018-2019 to 2022-2023 academic years inclusive

Jakob Mueller was a teenager growing up in central Europe during the Second World War. His dreams of higher education were dashed, due to the chaos during and after the war. He fought hard to establish a good life in Canada, and is a strong supporter of education for all.

<u>Karen Auzins Scholarship in Conservation Biology</u> (Biology)
Awarded annually to a graduate student enrolled in a Master's or Doctoral program in Biology, beyond Year 1, with academic achievement and research merit. Preference will be given to students working in the areas of Biodiversity, Conservation or Ecosystem Health. The Graduate Scholarship Committee in the Department of Biology will select the recipient. At least one member of the committee must hold current membership in the School of Graduate and Postdoctoral Studies. This scholarship was established with a generous gift from Mrs. Karen B. Auzins (BSc '67, BA '66).

Value: 1 at $1,000
Effective Date: May 2018

Karen Auzins was born in 1943 in a small town in Northern Ontario with the "wild" spaces as her playground. She earned an Honors Biology Degree at Western University and witnessed how the "wild" spaces were systematically being decimated. The rule of thumb for a healthy planet that will provide a healthy environment for all living things is that 50% of the planet, both land and sea, should be left to the "wild" spaces. Karen's hope is that this award will be given to a student who is passionate about trying to find ways to preserve the "wild" spaces.

Keith and Cathy Gibbons Global Opportunities Award (Any Undergraduate or Graduate Program)
Awarded annually to full-time undergraduate or graduate students who are participating in an international exchange or study abroad program. This includes exchange programs; approved study abroad programs; curriculum based international field courses, international study, or international community service; and other University led international credit or non-credit learning experiences. Students participating in this program who are registered at the constituent University may be considered (with the exception of Ivey students). Students must have completed their prescribed academic program the previous year and currently be registered in a full-time course load (minimum 3.5 full courses). Students may apply for this award in advance of being accepted into an exchange or study abroad program with receipt of the award contingent upon acceptance into the program. Students may only receive a Global Opportunities award once during their academic career at Western. Online applications are available on the Global Opportunities website, Western International. Transcripts are required for students who studied elsewhere in their previous academic year. Applications are due on November 15th (for decisions in early January) and February 15th (for decisions in late March). Students will be selected based on a combination of academic achievement, as well as a statement outlining how this experience will contribute to their development as a global citizen, what they expect to learn through their international experience and how they will be an effective Ambassador for Western. This award was established by Keith (BA '76, Mathematics) and Cathy Gibbons.

Value: 4 at $2,000*
Effective Date: 2018-2019 academic year

*4,000 from the endowment payout will be matched by $4,000 through the University's Global Opportunities Award Matching Program on an annual basis, for as long as the program exists.

MBA '77 Award (Ivey Business School)
Awarded annually to a full-time student entering the Master of Business Administration program at the Ivey Business School based on academic achievement and demonstrated community leadership. The recipient will be a Canadian citizen. Preference will be given to a student with demonstrated financial need. Final selection of the recipient will be made by the MBA Scholarship Review Committee with at least one member of the selection committee holding membership in the School of Graduate and Postdoctoral Studies. Recipients will be notified at the time of acceptance into the program. This award was established with a generous gift from the members of the MBA Class of 1977 on the occasion of their 40th reunion.

Value: 1 at $5,700
Effective Date: May 2018

Meds Class of 1992 Award (Schulich School of Medicine & Dentistry)
Awarded annually to a full-time undergraduate student entering first year of the Doctor of Medicine (MD) program in the Schulich School of Medicine & Dentistry, based on academic achievement and demonstrated financial need. Online financial assistance applications are available through Student Center and must be submitted by September 30th. The Office of the Registrar will select the recipient. This award was established by a generous gift from the Meds Class of 1992 Alumni.

Value: 1 at $1,200
Effective Date: 2018-2019 academic year

<u>Mok Family Award in Medicine</u> (Schulich School of Medicine & Dentistry)
Awarded annually to a full-time undergraduate Doctor of Medicine (MD) student in any year, based on academic achievement and demonstrated financial need. Online financial assistance applications are available through Student Center and must be submitted by September 30th. Selection will be made by the Progressions and Awards Committee in the Schulich School of Medicine & Dentistry after the Office of the Registrar has assessed financial need. This award was made possible by a generous donation from Dr. Albert Mok (MD '75, MSc '71), his wife Mrs. Vicky W.K. Mok (MLIS '71) and their family.

Value: 1 at $1,000
Effective Date: 2018-2019 academic year

Dr. Albert Mok's grandfather and father were both physicians who were educated and practiced Medicine in China. Dr. Albert Mok graduated from Medicine at Western University in 1975 and practiced Medicine in London, ON for many years. His older brother, Dr. Lawrence Mok, graduated from Medicine in 1972 and his nephew, Dr. Ambrose Au, graduated in 1995. Albert's daughters, Dr. Andrea Mok (BSc Honors Biochemistry '01) and Dr. Lesley Mok (BMSc Honors Physiology '05) completed their Medical degrees at the University of Toronto in 2005 and 2009 and returned to London to complete their residency programs at Schulich. With four generations of Physicians, the Mok family established this award in the hope that it will serve as an example for other families to support future generations to study medicine and contribute to society.

<u>Regent Family Men's Rubgy Scholarship</u> (Any Undergraduate or Graduate Program)
Awarded to full-time undergraduate or graduate students in any year of any degree program at Western, including the Affiliated University Colleges, who have a minimum admission average of 80% or a minimum in-course average of 70% and are making a contribution as a member of the Men's Rugby Team. Candidates who are intercollegiate student athletes must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipients. This committee will base its decision on its evaluation of academic performance/potential (20%) and the written recommendation from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This scholarship was established by Mr. Aaron Regent (BA '88, History).

Number and value will vary ($15,000 available)
Effective Date: 2018-2019 to 2020-2021 academic years inclusive

<u>Rondine Travel Award</u> (Modern Languages and Literatures)
Awarded annually to undergraduate students enrolled in Italian 1046a/b, based on academic achievement. Preference given to students registered in Italian 2200 or in an Italian Module in the Fall/Winter term. The scholarship and awards committee in Modern Languages and Literatures, Italian Studies, will select the recipients. This award was established through a donation from the Italian Cultural Institute.

Value: $4,500 divided, up to 6 students
Effective Date: 2017-2018 to 2018-2019 academic years inclusive

<u>Student Practicum Travel Bursary</u> (Schulich School of Medicine & Dentistry, Public Health Program)
Awarded annually to a full-time graduate student in the Master of Public Health program who has achieved academic excellence and research merit, and also require support for the travel costs associated with the field work in this program. A one-page statement must be submitted to the Master of Public Health Program Office by March 31st outlining travel plans and why travel support is required. Selection will be made by a faculty committee in the Master of Public Health Program, with at least one member holding membership in the School of Graduate and Postdoctoral Studies. This bursary was established by Dr. Michael Strong and Mrs. Wendy Strong.

Value: 1 at $1,000
Effective Date: May 2018

<u>Vachon & Yi Environment and Sustainability Scholarship</u> (Centre for Environment and Sustainability)
Awarded annually to a graduate student entering the Master of Environment and Sustainability (MES) program, with academic achievement. The eligible student will be entering Western with a 4-year undergraduate degree (BA, BSc, B.Eng) from another accredited university. The Graduate Scholarship Committee in the Centre for Environment and Sustainability will select the recipient. At least one member of the committee must hold current membership in the School of Graduate and Postdoctoral Studies. This scholarship was established with a generous gift from Dr. Stephane Vachon (PhD, Business '03) and his wife Hye Chong Yi.

Value: 1 at $1,500
Effective Date: May 2018 to April 2023 inclusive

Dr. Vachon and his wife are strong advocates of graduate studies and want to encourage applicants from other universities in Ontario, that have received multiple offers for admission, to opt for the MES program at Western University.

<u>Blenkhorn Family Football Award</u> (Any Undergraduate or Graduate Program – Athletic Award)
Awarded annually to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a contribution as a member of the Men's Football Team. Candidates must be in compliance with current OUA and CIS regulations. As per OUA and CIS regulations, an entering student athlete must have a minimum admission average of 80% and a non-entering student must have an in-course average of 70%. The Western Athletic Financial Awards Committee will select the recipient basing its decision on its evaluation of academic performance/potential (20%) and the written recommendation from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Mr. Paul Blenkhorn (BESc '02) and Dr. Sarah Blenkhorn (MClSc '04, BHSc '01).

Value: 1 at $2,500
Effective Date: 2017-2018 to 2021-2022 academic years inclusive

<u>Katherine J. Little Graduate Nursing Scholarship</u> (Health Sciences, Nursing)
Awarded annually to a full-time graduate student in a Nursing program at the Masters or Doctoral level who is a current holder of an Ontario Graduate Scholarship (OGS), based on academic achievement and research merit. The School of Graduate and Postdoctoral Studies will select the recipient in cooperation with the graduate program in the School of Nursing. If during any year, there are no Nursing students receiving an OGS then a non-OGS Nursing student will receive the funding. This scholarship was made possible by a generous gift from Mrs. Katherine J. Little (BScN '54).

Value: 1 at $5,000*
Effective Date: May 2018

*OGS funding ensures a 2:1 match through the Provincial Government, increasing the value of the scholarship to $15,000 each.

<u>Gordon Jeffery Strings and Chamber Music Graduate Award</u> (Don Wright Faculty of Music)
Awarded annually to full-time graduate students entering a Master's degree program in the Don Wright Faculty of Music. Students must demonstrate outstanding performance ability with preference given to orchestral string players (violin, viola, cello, bass). The Graduate Scholarship and Awards Committee in the Don Wright Faculty of Music will select the recipients. At least one member of the committee must hold membership in the School of Graduate and Postdoctoral Studies. These awards were made possible by a generous bequest from the Estate of Gordon Jeffery (BA '40).

Value: 4 at $2,000
Effective Date: May 2018

Gordon studied Law at Osgoode Hall in Toronto and upon admission to the bar in 1942, joined his family's law firm, Jeffery & Jeffery, in London, ON. Gordon's true passion was music, studying organ in New York and forming a long association with St. Peter's Cathedral in London, serving as occasional organist. He had an extensive collection of musical instruments including Stradivarius violins, grand and upright pianos and organs. He contributed anonymously to support many young musicians and donated his violins to Western through his Estate. Gordon died in 1986 at the age of 67.

Dr. Lazarus Loeb Medical Award (Schulich School of Medicine & Dentistry)
Awarded annually to an undergraduate Doctor of Medicine (MD) student entering fourth year, based on demonstrated financial need and clinical excellence. Preference will be given to an Indigenous student (First Nations, Inuit or Metis). Online financial assistance applications are available through Student Center and must be submitted by September 30. Final selection will be made by the Progressions and Awards Committee in the Schulich School of Medicine & Dentistry after the Registrar's Office has assessed financial need. This award was made possible by a generous donation from Mrs. Jacqueline Loeb in memory of her husband, Dr. Lazarus Loeb (MD '54).

Value: 1 at $2,000
Effective Date: 2018-2019 academic year

Dr. Lazarus Loeb (MD, FRCPC, FACP, FCCP, FAAAI, FACAAI) earned his medical degree while he lectured his own medical class in bacteriology. He graduated cum laude earning five awards in addition to AOA Honor Medical Society. His specialty training was taken under the guidance of Dr. Robert A. Cooke of New York and Dr. Bram Rose of Montreal. Returning to Ottawa to practice allergy, Dr. Loeb established what eventually became a five doctor clinic of board certified allergists. His accomplishments include being head of the Department of Allergy at the University of Ottawa, President of the Canadian Academy of Allergy, President of the Ontario Medical Association, and a lifetime membership award in the Canadian Society of Allergy and Clinical Immunology. He and Mrs. Loeb migrated to Fort Worth, Texas in 1980 where Dr. Loeb practiced and taught until his death in 2005. Dr. Loeb's credo was 'Always listen to the patient.' As a teaching professor he believed in only doing for the patient what you could justify to the student. As a dedicated physician for 46 years, he was not above making house calls or meeting distressed patients at his office late at night. He avidly kept abreast of developments in medical practice and therapeutics. Dr. Loeb lived to practice medicine; he relished challenging medical problems and had a gift for diagnosis. It is his wife's hope, that the recipient of this award demonstrates clinical excellence like her husband, and takes that knowledge and skill back to their community.

John S. Millar Field Course Prize (Science, Biology)
Awarded annually to full-time undergraduate students in any program who intend to take a field course within continental North America through the Ontario Universities Program in Field Biology, based on academic achievement and financial need. Students must submit a one-page statement to the Department of Biology field course coordinator outlining their field course plans and travel costs, and submit an online financial assistance application through Student Center by February 28th that precedes their field course. The awards committee in the Department of Biology will select the recipients after the Registrar's Office assesses financial need. This prize was established by Alumni of the Department of Biology, in honour of Professor John S. Millar.

Value: 2 at $500
Effective Date: 2018-2019 to 2024-2025 academic years (with value to be reviewed after this)

Professor John (Jack) S. Millar was the former Head of the Department of Biology at Western University and retired in 2015. He was an outstanding educator and biologist. One of Jack's enduring impacts on Biology undergraduate and graduate students was his insistence on the importance of experiential learning in the form of participation in field courses and field work in natural environments.

REPORT OF THE AUDIT COMMITTEE

Contents	Consent Agenda
2017 Annual Report: Campus Community Policy Service	Yes
Health, Safety and Wellness Annual Report 2017	Yes
Internal Audit Charter	Yes

FOR INFORMATION

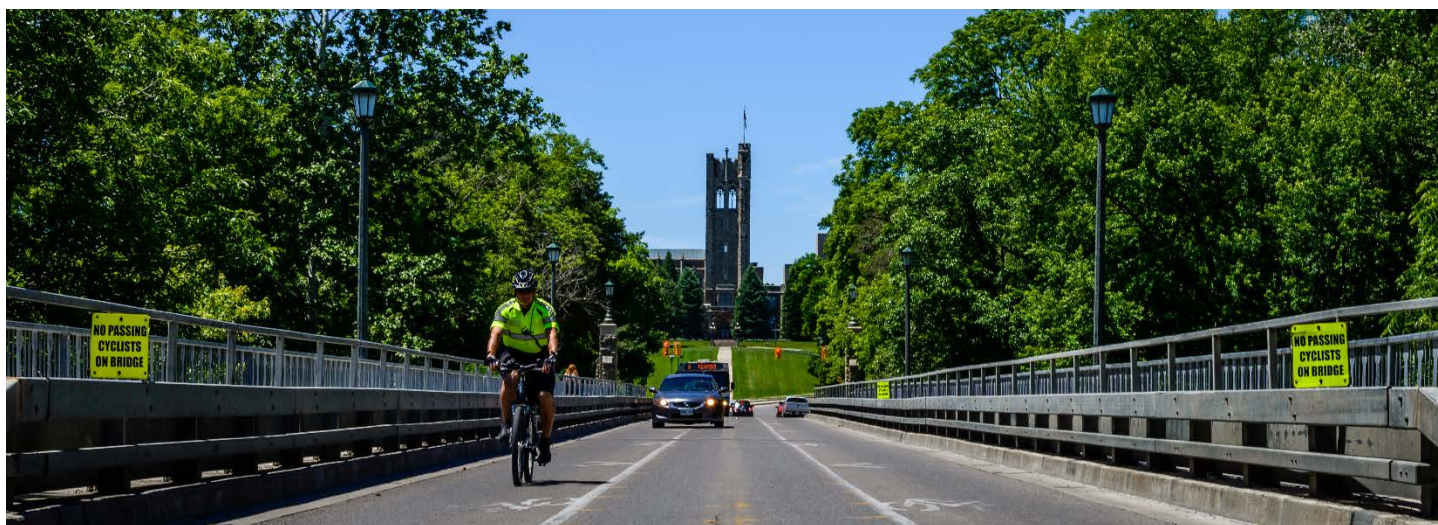1. **2017 Annual Report: Campus Community Police Service**

    See **Annex 1**.

2. **Health, Safety and Wellness Annual Report 2017**

    See **Annex 2**.

3. **Internal Audit Charter**

    See **Annex 3.**

OVERVIEW

With the goal of providing a community focused proactive approach for a safer campus the Community Campus Police Service (CCPS) has adopted a strategic planning process to ensure services are delivered efficiently and effectively. The size and complexity of the Western campus require the efficient deployment of resources based on a decision-making process founded on analytics and statistically sound for a balanced framework to guide our organization. Community safety in 2018 requires a more systematic, targeted and responsive approach allowing us to maximize our resources utilizing Focused Patrols, Community Engagement, and Crime Prevention.

Our goals and objectives, over the three years of the plan, is to:

- Develop and maintain preventative safety and security – strategies.

- Protect people, their property and university assets.

The plan is based on lowering crime rates and improving safety on campus through more accurate assessment of operational activity and how best to deploy, manage and oversee the efforts of CCPS officers. This review has already led to the addition of a new shift schedule to increase CCPS presence on campus, during our highest call volume, from 8:00 am to 3:00 am. A second initiative commenced this year was the implementation of a daily Focused Patrol model replacing many hours spent in random patrol on the campus. The guiding principle is grounded in analytics and personnel being aware of priority locations/areas they should be focusing on each day.

A review of our data builds a mechanism for a specific officer patrol plan, with the expectation of report backs, measuring

the results supporting a collaborative approach to community safety and well-being. The 26 CCPS members are dedicated to a risk-free, open and accessible campus for faculty, staff, students and visitors to work and learn each day.

Our close working relationship with the London Police Service allows CCPS to keep abreast of the latest policing trends and access to many internal investigative support services. Members of the Campus Community Police are designated as Special Constables as authorized by the London Police Services Board and approved by the Ministry of Community Safety and Correctional Services.

Community safety planning can only be attained through engagement and liaison across campus to promote Crime Prevention and utilize the physical environment to influence and lower crime and unwanted behaviour on campus. This methodology, along with continuous data analysis, recognizes trends leading to proactive safety/security action plans. It is important to be cognizant that Western University is in an urban setting and must contend with many of the crime and safety issues that exist in any city. This highlights the need for various partnerships, across the university, vital to providing a safe learning environment. The CCPS is uniquely positioned to be successful in this endeavour

MENTAL HEALTH

Mental Health calls for service continued to rise in 2017 with 89 mental health situations which required a Campus Police response. This was an increase of 31% over 2016 when CCPS responded to 68 incidents.

Surprisingly there was a slight decrease in officer hours (12 hours) utilized in these occurrences. The increased usage of the Mental Health and Addictions Crisis Centre's Crisis Mobile

Team is believed to be the factor in this result. The CCPS apprehended 30 persons this past year under the Mental Health Act.

Each apprehension requires two officer engagement until the person is assessed by a physician at the hospital or until all safety considerations were met. On occasion, this takes CCPS members away from campus for several hours.

The overarching goal is improved outcomes for people with mental health issues by building awareness and education for our officers. The CCPS will maximize training opportunities and improve on developing strategies with our numerous partners in order to identify any service gaps and to continually improve our response.

Table 2 – 3,059 total CCPS occurrences for 2017

INVESTIGATIONS

In 2017, 3,059 incident reports were created leading to a slight increase when compared to 2016 total of 2,828 incidents. Part of this increase is due to expanded safety and security reviews as well as improved community involvement reporting concerns.

The occurrence reports included responses to criminal and non-criminal incidents such as: alarms, check welfare, mental health matters, minor disturbances and suspicious activities or persons.

Table 1 – Mental Health Occurrence Officer Hours

These reports also include community service assignments, traffic activities, and Campus Police assistance occurrences.

As listed in Table 2, 'Lost and Found' continued to be the most common CCPS response with 571 incidents, however, a change to the CCPS internal procedures resulted in a 21% reduction, with further reductions expected for 2018. The second most common occurrence type was 'Assistance' incidents, which increased by 91 in comparison to 2016. This broad classification includes all CCPS interactions when a support service was provided to faculty, staff and students. The third most common occurrence type is 'Other' which is a grouping of all infrequent general incidents not captured elsewhere.

CCPS were involved with 378 criminal occurrences in 2017, which is a large reduction in comparison to the four previous years. These occurrences included property offences (theft, mischief), crimes against persons (assaults, harassment), and other criminal offences.

The most significant criminal occurrence reduction involved drug matters due to a new strategy employed by Western Housing and the CCPS with the goal of lowering the criminal impact on persons involved in minor drug use by reducing Campus Police direct involvement.

The 'Suspicious/Unauthorized' category includes disturbances, pranks, suspicious persons and vehicles, and unauthorized acts.

	Theft	Drug Offences	Assaults	Mischief	Other	Fraud	Break and Enter	Sexual Assault	Total
2013	240	120	12	46	77	14	29	11	549
2014	184	137	22	27	61	21	7	6	465
2015	212	92	15	22	50	9	8	9	417
2016	232	90	23	36	37	35	16	16	485
2017	234	44	17	31	36	8	3	5	378

■ 2013 ■ 2014 ■ 2015 ■ 2016 ■ 2017

Table 3 – 378 total criminal occurrences for 2017

Even though there was a reduction in overall criminal activity on campus, theft occurrences were consistent with 2016 statistics. There was a reduction in "Other Criminal Offences" which included assaults, frauds, break and enters, impaired driving, and criminal harassment.

A drastic reduction in the overall crime rate commenced in September of 2017 after the implementation of the CCPS new Strategic Plan priorities. These strategies helped to reduce criminal activity by 22% on campus which included Focused Patrol, Crime Prevention education, and increased bicycle rack monitoring. As displayed in Table 3, 'Theft' was the highest criminal occurrence experienced in 2017 with 234

incidents. 90 of these 234 incidents involved bicycle thefts, a decrease from 28 in 2016.

The increased CCPS visibility in residence buildings, high volume pedestrian walkways and identified critical locations across campus should lead to continued crime reductions in 2018.

CRIME PREVENTION & CAMPUS SAFETY AWARENESS PROGRAMS

Patrol Strategy & Response

The Western University community includes 38,000 students, over 8,000 staff members, and 101 buildings. In order to improve safety and reduce crime, one of CCPS primary goals is to increase uniformed officer proactive patrol and visibility. The CCPS patrols Western University and affiliated university colleges 24 hours a day 7 day's week. This includes cruiser, foot, and bicycle patrols. Responses to calls for assistance are prompt and it is not unusual for Special Constables to arrive within two minutes.

The CCPS created a new Focused Patrol strategy which included a tracking methodology to ensure CCPS resources are focused in areas identified as highest vulnerability at Western. This approach has been extremely successful with a 92% increase in campus proactive patrols (an increase of 3,503 hours from 2016) and a 31% reduction in Criminal Code occurrences. The following table includes all foot, vehicle and bicycle patrol hours totals:

Table 4 – 2017 Proactive Patrol Hours

*Over each 24-hour cycle, 365 days of the year, CCPS members averaged 19 hours of Proactive Focused Patrol.

Sexual Violence

The CCPS is an important partner in Western's Sexual Violence Policy and is a designated reporting location for individuals wanting to disclose sexual violence incidents. Recognizing the need to enhance the response to these incidents in 2017 CCPS created a new senior investigative position. Our Investigative Staff Sergeant responds to disclosures with the prerequisite knowledge, skills, and abilities to investigate sexual violence and other serious criminal offences. The position liaises with victim/survivor, Western staff, and London Police Service to ensure the victim/survivor is informed about available resources and supports. Throughout the year CCPS members deliver education programs, support survivors to ensure continuity of all sensitive investigative matters at Western. The Director of Campus Police is a member of the Sexual Violence Review Team to assist in a coordinated and consistent response to Sexual Violence. In order to better serve the Western community, our Investigative Staff Sergeant has attended training events to further improve her knowledge and skills, including 'Trauma Informed Interviewing' training and the Ontario Police College 'Domestic Violence Investigation' course.

Traffic Monitoring/Speed Watch Program

Western University is accessed from a number of points from the surrounding community. Each day Campus Police are conducting traffic patrol to ensure compliance with posted speed signs and rules of the road. The CCPS presently has four-speed measuring signs strategically situated within the Western campus. Our signs are being utilized at various locations to address traffic concerns and measure vehicle volumes and patterns. The CCPS also performs traffic calming and enforcement tasks to help maintain a pedestrian safe campus, investing 257 hours into these functions in 2017.

The amount of pedestrian traffic on campus is substantial and the safe movement of persons at crossovers/intersections is constantly under evaluation. Members of the CCPS enforce both the Highway Traffic Act of Ontario and the Western University traffic regulations.

Foot Patrol

Western Foot Patrol is a student volunteer-driven service that provides safe escorts, deters crime, and promotes safety awareness on both the main and affiliate college campuses. In 2017, our 254 Foot Patrol volunteers performed 1,343 safe escorts across campus an increase of 20% from last year. The members of Foot Patrol are key to safety as they conduct numerous hours of patrol on campus preventing illegal activity. This patrol is vital to CCPS overarching goal to reduce crime and build a safe community.

CCPS Quality Assurance

The CCPS works closely with London City Police (LPS) to ensure our standard operating procedures align with their internal policies. The Director has been in contact with

Deputy Chief Longworth who has agreed to assign a London LPS Quality Assurance officers to assist CCPS in review all standard operating procedures this year. This provides a solid framework of best practices corresponding with provincial legislation and the delivery of Campus Police operations to our clients.

Community Prevention Through Environmental Design (CPTED)

The CPTED program continues to expand and has experienced one of the busiest years to date. CCPS continue to meet with community members to increase individual awareness of their surroundings and assist in developing an environment that promotes personal safety and the security of physical property.

In 2017, 142 campus locations requested a CPTED review for possible improvements an increase of 168% over 2016. These inquiries resulted in 55 full CPTED reports created by the coordinator (up 77% from 2016). Many times general advice was offered not requiring a full CPTED analysis.

Several important CPTED reviews took place this year in an effort to minimize a variety of risks to the University, thus improving the overall safety on campus. Major projects included reviewing hazardous locations and augmenting video surveillance in numerous locations. In total 104 areas were identified as possible high risk/hazardous which the CPTED coordinator is systematically reviewing.

A total of 39 new video monitoring cameras were installed on campus in 2017. There are approximately 850 cameras in operation on Western's campus. Two of the more significant cameras mounted this year are situated at the Alumni Circle and University Drive - two locations effected by a high amount of pedestrian and vehicular traffic.

Safe Campus Initiatives

Campus Safety Awareness Training

In 2017, the CCPS continued to conduct safety presentations to the campus community. These presentations were tailored to meet the needs of various community groups and were typically one hour in duration. The safety education is focused on creating awareness of potential risks and to assist in developing preventative and reactive strategies to manage or mitigate these risks. Nineteen presentations were completed in 2017.

Fire Safety & Emergency Management (FSEM)

FSEM provides expertise in fire safety and emergency management to ensure the safety, security, and quality of life for the Western Community. FSEM members are responsible for testing, inspecting/maintaining life safety equipment such as fire alarms, sprinklers, standpipes, kitchen suppression and fire extinguishers. FSEM members also provide education and training to faculty, staff and students. Western's Fire Prevention Officers are accredited through the Ontario Fire College and technicians are certified through the Canadian Fire Alarm Association.

A concerted effort has been made to reach out to University colleagues and community partners with the overall goal of promoting a fire safe campus. As a result of

these efforts there is a solid foundation as the team grows into 2018.

In 2017 FSEM undertook the implementation of the Avantis work order management system. The Avantis system catalogues established our recurring monthly and annual legislative work activities. The system is then used to schedule and assign work tracking labour hours, purchased materials and external contractor services. The data gathered enables FSEM to run reports for; cost comparisons; job completion; labour resource/scheduling information; comparing the difference between estimated versus actual hours per task. This data is vital in establishing performance metrics for core functions. During the past year, FSEM also updated many internal documents including; a re-designed annual fire alarm testing report to satisfy legislative requirements and a completely new fire alarm system performance specification utilized to steer the design of future fire alarm systems on campus.

2017 by the Numbers

Fire Safety was responsible for the testing and inspection of:

- 92 Fire Alarm Systems
- 28,460 Fire Alarm Devices
- 61 Sprinkler Systems
- 5 Pre-acting Suppression Systems
- 21 Kitchen Suppression Systems
- 4,661 Fire Extinguishers

False Fire Alarms

	2015	2016	2017
Total Actual Fire Occurrences	11	14	5
Total False Fire Alarms	123	118	142

The active fires decreased by 64% in 2017, however, false fire alarms increased by 20%. One of the emphases for FSEM is on lowering false alarms incidents. Three areas of focus are:
- Contractor related to fire alarms (22)
- Malicious caused fire alarms (21)
- Cooking related fire alarms (17)

Members will be coordinating with our colleagues within Housing Services to discuss reduction strategies to provide awareness and educational training for students. Fire Safety will also be working closely with Facilities Management to ensure that contractors follow proper

procedures and policies on all Western project sites.

Women's Self Defence Clinic
(Rape Aggression Defense Program: RAD)

The Rape Aggression Defence Program provides all female community members basic information on personal safety, awareness, risk reduction, and avoidance. RAD also teaches practical defensive techniques that require no special skills. The CCPS has three certified RAD instructors who hosted four on-campus clinics in 2017.

Residence Liaison Officer (RLO) Program

The CCPS is committed to maintaining a positive relationship with all individuals working and living in the 18 residence facilities. The RLO Program provides a proactive communication channel for dealing with any problems or concerns that may arise. CCPS Special Constables are assigned to various events within Western's residences actively participating in safety, security, and awareness training programs for students and staff. CCPS members participated in 34 RLO events this past year and will strive to enhance these interactions in 2018.

ONGOING PROJECTS

Card Access and Alarm Signals

Most of Western's 101 buildings have been upgraded to electronic card access. This card system secures areas inside and restricts access outside buildings. Card access improves personal safety and creates a record of entry while reducing the risk of property damage and theft. The system at Western is central to maintaining a safe campus. CCPS will continue to monitor the effectiveness of the card access technology.

In early 2017 an escalating false alarm pattern was identified with annual increases from approximately 20,000 in 2012 to over 46,000 in 2016. This situation was problematic and prevented the CCPS from responding effectively. It was recognized the system has a dual functionality of alarm notification and tracking of access. An Alarm Reduction Project commenced and revealed that several non-critical spaces were alarmed when card access activity of personnel gaining entry would suffice. The CCPS began the process of reviewing its protocol to ensure the safety of all persons, the security of research material, and the protection of physical assets. This ongoing project involves meetings with the CPTED officer, CCPS Operations Manager, and consultation with various stakeholders. These reviews have identified shortcomings regarding the on/off schedule of alarm systems, defective doorways, locking systems and insufficient access control procedure.

As a result, various systems were adjusted to more appropriate schedules, repairs have been completed, and stakeholders have completed education with their colleagues. As a result of these efforts, there was a 23% reduction in false signals in 2017.

This project remains ongoing and, based on the reductions currently being achieved, a 60% reduction is expected during 2018.

Underwriters Laboratories of Canada (ULC) Fire Monitoring

In 2003, Underwriters Laboratories of Canada (ULC) created a regulatory strategy for Fire Signal Receiving Systems. The specifications are known as CAN/ULC-S561 and included principles for construction/operation of fire-signal receiving and building alarm control systems. The 2003 regulations were again updated in 2013. The purpose of standardizing

oversight of fire alarm systems across Canada was to ensure all equipment was manufactured and tested to the approved ULC safety standards. Currently Western operates a proprietary monitoring station model, and although this system is adequate, it does not meet ULC Standards. With the number of new Western buildings coming into service, London Fire has requested the entire campus move towards full ULC compliance. This includes equipment used in all buildings, the alarm receiving equipment, as well as the building which houses the ULC monitoring area.

The construction components of the receiving centre must also comply with ULC standards that our existing Campus Police location simply does not have. The estimate obtained to upgrade the current physical space, with the required renovations, is untenable. A project team was created, with internal subject matter experts from Western. The team's recommendation was to outsource all fire monitoring to a ULC listed Signal Receiving Centre.

With assistance from Procurement Services, an external company has been selected to transition all fire monitoring at Western, in a phased approach, over the next 2 years compliant with National Standards System for fire safety.

Emergency Mass Notification (EMN)
AlertWesternU@uwo.ca

A Request for Proposal was issued this past year with the required EMN capabilities and description of required deliverables for Western. The selected product was an EMN system from Everbridge. Western selected product provides enhanced emergency communications as well as the ability to improve non-emergency communication across the campus. Western students, faculty and staff will be subscribed to the service using their Western email address. The users will be encouraged, through a comprehensive communication strategy, to further update their subscription to customize their preferred communication methods e.g. text. AlertWesternu system will allow for important safety messages and timely response during emergencies. The system has the ability to rapidly communicate to the entire Western community instantaneously. Implementation of the EMN system is underway with all current Western community members enrolled by September 2018.

Safer Communities Act

The Ministry of Community Safety and Correctional Services had been working with other ministries and stakeholders to plan for an effective, efficient and sustainable delivery of future policing services in the province. The result of this review was the replacement of the Police Service Act with the new Safer Communities Act (Bill 175) enacted in March 2018.

The changes include:

- Having oversight of Special Constables by Ontario Special Investigations Unit and Ontario Policing Complaints Agency.
- Prohibit the use of the term "police" by any Special Constable or Special Constable employer (Western).
- Meeting minimum hiring standards and requirements regulating standards of dress for Special Constables.

Institutions wishing to hire Special Constables will have to apply to the ministry and be granted permission through the ministry and local Police Service Board of jurisdiction.

Although these changes will not affect the current police powers of our Special Constables it will require Western to rebrand the Campus Community Police Service including changing all uniforms and vehicle markings and removing any police term. This will require Western to create a robust communication plan to alleviate any negative perceptions by our campus community. It is anticipated this transition will take two or three years to complete.

campus population CCPS is striving to continually diversify our membership. Central to our recruitment efforts is a desire to reflect campus population by increasing the number of female officers within our ranks. Over the past year, we have been successful in hiring two female officers in supervisory roles, within CCPS. Western was able to recruit a senior member of the London Police Service for our Investigative Staff Sergeant position. The second officer recently immigrated to Canada allowing us to capitalize on her several years of policing experience with City of London Police in the United Kingdom. These experienced, qualified officers have increased our ability to provide diversity to our current workforce and to the campus community we serve.

The national Canadian average for female officers is approximately 20% of the total workforce. In 2017 CCPS targeted to raise the number of female officers from one to three. In reaching this goal we have met the national average. As vacancies become available in the future we will continue to recruit applicants becoming more reflective of our diverse Western Community.

ACKNOWLEDGEMENTS

The Campus Community Police Service would like to thank all of its members and community partners for their commitment in reaching the outcomes achieved in 2017.

RECRUITMENT

The CCPS is committed to being an inclusive, equitable organization where possession of a diverse set of experiences, perspectives, and backgrounds is key to our operational success. In an effort to be more reflective of our

OCCUPATIONAL HEALTH & SAFETY
ANNUAL REPORT 2017

Audit Committee June 2018

Executive Summary

Complexity of Environment

Amidst the background of a dynamic learning and research environment, Western University prioritizes a shared commitment to risk management through well defined safety programs and leadership stewardship.

Western's 40,000-plus community integrates a diverse universe of tenured faculty and experienced research staff, combined with an ever changing complement of students, post doctoral fellows and staff. This diversity introduces complexity and the necessity of a resilient and unwavering dedication to a strong safety culture.

As a U15 Research Intensive University, Western is at the forefront of innovation both nationally and globally, and with that visibility and stature, environmental and safety risk is magnified. Leading organizations demonstrate a solid safety culture that is anticipative and proactive in managing its risk profile. As a result, financial, legal, and reputational implications are minimized or avoided.

Within this dynamic environment, a balance of innovation and compliance can co-exist through a steadfast focus on programs, oversight, and accountability to ensure Western meets or exceeds university policy and legislative requirements. Ultimately, this emphasis improves the output and effectiveness of Western's research, and attracts and retains the brightest researchers.

Programs, Oversight, Accountability

With continued expansion of Western's research and learning activities, the Health and Safety team challenges itself to anticipate its service delivery while maintaining a solid foundation of safety excellence. As Western's umbrella of research programs has expanded in the realms of biosafety, radiation and lab safety, our Safety Officers have partnered to offer expertise, consultation, and solutions for ensuring safe and fiscally effective practices.

Overall internal responsibility for Western's health and safety is documented in policy and overseen through a management structure. Complementing this structure, a collaborative of health and safety committee members and Safety Officers provide counsel to management, including Vice Presidents, Deans, Associate Vice Presidents, and Managers with health and safety matters in their faculties and departments. Western has further implemented a Health and Safety model to manage workplace health and safety.

Occupation Health and Safety continually reviews the following ten-step model, which engages a broad spectrum of the employees and students:

Step 1: Leadership
Step 2: Risk Assessment
Step 3: Health and Safety Strategy
Step 4: Policy and Standards
Step 5: Procedures, Practices and Guidelines
Step 6: Communication
Step 7: Training
Step 8: Measurement
Step 9: Evaluation
Step 10: Recognition and Improvement

2017 YEAR IN REVIEW HIGHLIGHTS

✔ Achieved zero Ministry of Labour orders

✔ Renewed nuclear substances and radiation devices licence until 2022

✔ Conducted preventative hazmat mock drills with London Fire Department

2018 FOCUS AREAS

Building on strong safety culture	Complete 2015 WHMIS regulation implementation
	Complete HECHMET chemical inventory system
	Recertification of the Tandetron accelerator
	Reduce trend of slips, trips and falls
	Introduce New Substances Notification Regulation (organisms)
	Integrate Workplace Health Unit with Health and Safety Team

LAB SAFETY PROGRAM

Within a lab setting, risk may be introduced through existing or changing infrastructure and equipment, processes, and staff and students. This dynamic environment emphasizes the diligence required to maintain consistent and compliant practices.

In 2017, the lab safety program expanded its oversight to include undergraduate teaching lab inspections despite their significantly lower risk. This effort underscores Western's commitment to continually anticipate potential safety risk among its newest aggregate of students.

2017 LAB INSPECTIONS

500 — 424

0

LAB INSPECTIONS

267

PRINCIPAL INVESTIGATORS

Inspections conducted in Faculties:
Science
Engineering
Schulich School of Medicine/Dentistry
Social Science

The number of lab inspections compared similarly to 2016.

Examination of People, Process, and Physical Risk in Annual Inspections

At the epicenter of lab risk management, Western's Principal Investigators (PI) navigate the challenges of ever-changing personnel including vulnerable new workers conducting their first research, coupled with undergraduate students undertaking research thesis projects for their academic programs. Young and new workers have emerged as a key focus of risk by the Ministry of Labour. Western has moved most of our training programs to e-learning format to serve the diverse needs of the lab users.

Adding to the people complexity is the variety of lab equipment and processes that are subject to both legislative and improvement trends. Of the greatest risk are chemicals and their usage, storage and disposal. The combination of changing participants interacting with these hazardous chemicals and working with involved processes introduces a heightened environment of risk for the PI to supervise and manage.

Annual Inspection Process

Self Assessment Lab Checklist by PI

Deficiencies Identified, Corrected, Documented in Checklist

PI Review of Completed Checklist Prior to Annual Inspection

Ongoing Training and Consultation Supporting Principal Investigator

Since the program's inception, serious non-compliant items have been greatly reduced such as lack of safety equipment or defective lab equipment. Risk assessment has evolved to focus on chemical use and safe practices.   Figure 1 in Appendix A provides a five year history of the researcher compliance with the Lab Safety Program.   In 2017, the percentage of researchers in Engineering and Science that were in non-compliance has increased.   With the implementation of the HECHMET inventory system, we expect to achieve greater compliance as the issues creating non-compliance are labelling and segregation of chemicals.   We have engaged the academic leaders to assist the Lab Safety Officer with influencing the researcher.

Stepped-up Focus on Chemicals

With the breadth of Western's research activities, the most prevalent risk is chemicals and their use. The labelling of chemicals, and their storage and conditions all contribute to the potential for increased risk. To put this into perspective, there are several thousands of chemicals housed in labs across Western's campus that vary in type, degree of hazard, age, storage requirements, and hazardous waste classification.

Chemical Risk Mitigation

General OSHA and Specific In-Lab Training

Review New Lab Space at Design Phase

Proactive Consultation with Researchers on New Procedures

Root Cause investigation and Follow-up Learnings

Compliance with Current and Evolving Legislation

The Lab Safety Consultant provides essential counsel to PIs on the implications of evolving legislation and offers continual support in meeting or exceeding current requirements. As a result of furthering Western's culture of safety, there is a shared recognition that compliance leads to better research outcomes, and additionally cost effectiveness.
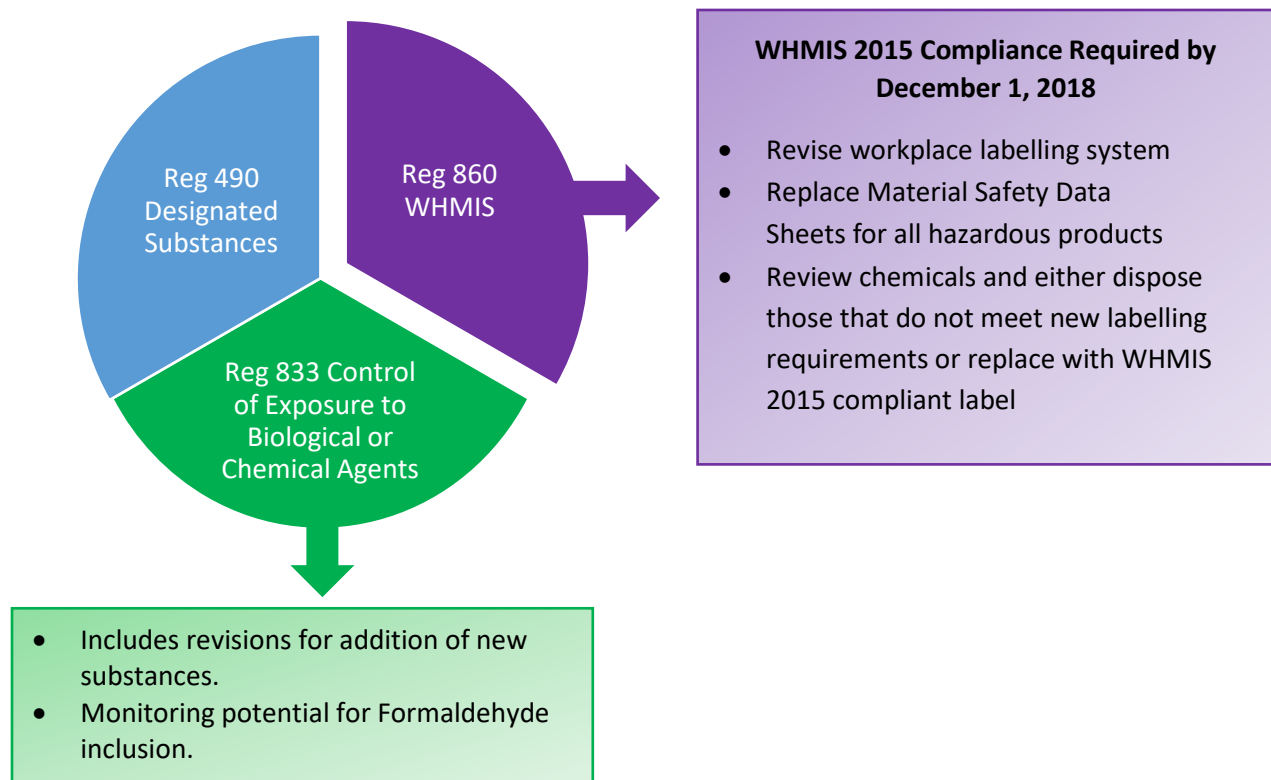
In one example, Western's implementation of Higher Education Cooperative for Hazardous Materials and Equipment (HECHMET) chemical inventory system in 2018 will introduce an inventory of chemicals

that will assist in hazard recognition, proactively identifying expiry dates, and subsequently managing waste disposal in the most optimal safe, environmental, and cost effective manner – resulting in a triple bottom line benefit.

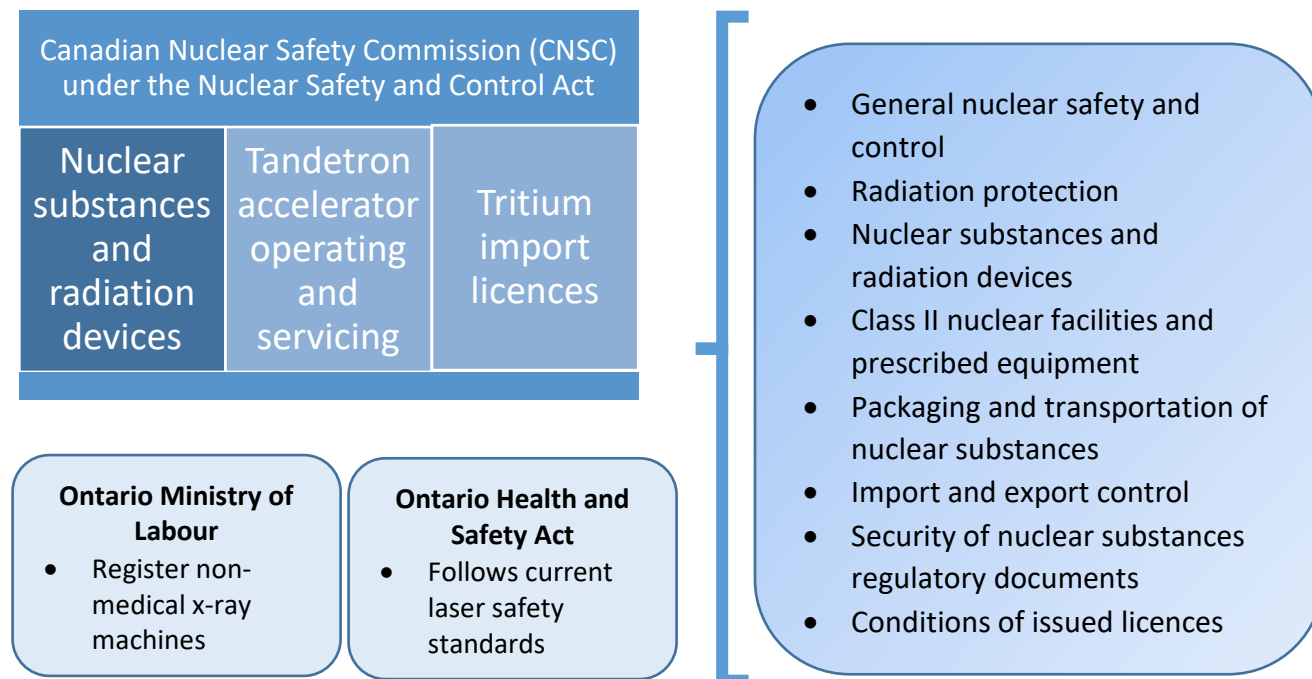**A Ministry of Labour orders in 2017 for Western's labs**

The legislative framework for the lab safety program centers on the Occupational Health and Safety Act (OSHA) and pertinent regulations. Hazardous waste is regulated under the Environmental Protection Act (EPA). Western is also obligated to report on Prohibition of Certain Toxic Substances Regulations to Environment Canada and Climate Change (ECCC).

Reg 490 Designated Substances

Reg 860 WHMIS

Reg 833 Control of Exposure to Biological or Chemical Agents

WHMIS 2015 Compliance Required by December 1, 2018

- Revise workplace labelling system
- Replace Material Safety Data Sheets for all hazardous products
- Review chemicals and either dispose those that do not meet new labelling requirements or replace with WHMIS 2015 compliant label

- Includes revisions for addition of new substances.
- Monitoring potential for Formaldehyde inclusion.

RADIATION, X-RAY, LASER SAFETY

Similar to the Lab Safety program, the Radiation, X-Ray and Laser Safety Program performs an integral role in deciphering and clarifying current and changing legislative requirements as it translates to Western's research environment. Simply, the Radiation Safety Officer's goal is to reduce the burden on the PI and make it easier to be compliant.
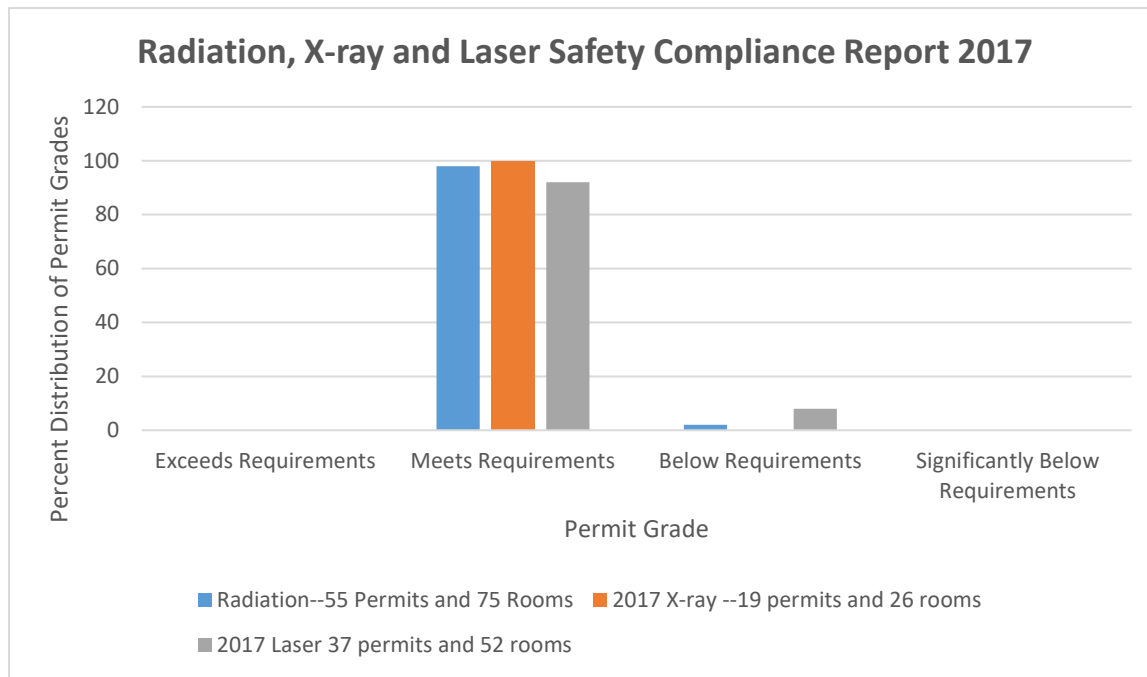
Legislation and Regulatory Requirements

Canadian Nuclear Safety Commission (CNSC) under the Nuclear Safety and Control Act

| Nuclear substances and radiation devices | Tandetron accelerator operating and servicing | Tritium import licences |

- General nuclear safety and control
- Radiation protection
- Nuclear substances and radiation devices
- Class II nuclear facilities and prescribed equipment
- Packaging and transportation of nuclear substances
- Import and export control
- Security of nuclear substances regulatory documents
- Conditions of issued licences

Ontario Ministry of Labour
- Register non-medical x-ray machines

Ontario Health and Safety Act
- Follows current laser safety standards

Inspections, Licences, and Filings

In 2017, Western attained a five-year renewal of its nuclear substances and radiation devices licences, achieving the maximum renewal period possible. This successful renewal builds upon a strong track record of exceeding Federal compliance standards, preventing disruption to research activities.

Western also demonstrated the highest standard of compliance to ensure radiation users incurred no radiation exposure. A continual monitoring program documents and reports exposure readings. The limits established by the university are approximately 10 times more stringent than the legal requirement, and no individual has reached an "action" level requiring mitigation.

Western also renewed the Tritium licence until December 31, 2019. In 2018 the Tandertron accelerator will be recertified.
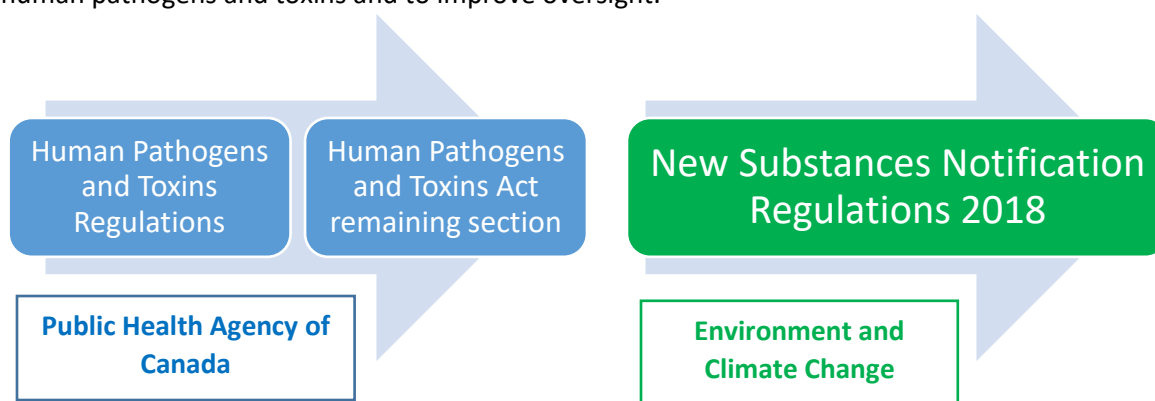
Radiation, X-ray and Laser Safety Compliance Report 2017

Chart — Percent Distribution of Permit Grades (y-axis) vs Permit Grade (x-axis)

Categories: Exceeds Requirements, Meets Requirements, Below Requirements, Significantly Below Requirements

Legend:
- Radiation--55 Permits and 75 Rooms
- 2017 X-ray --19 permits and 26 rooms
- 2017 Laser 37 permits and 52 rooms

The Radiation Safety Officer submitted its annual compliance reports met the requirement of the Canadian Nuclear Safety Commission.   A total of 111 permits covering 153 designated radiation, X-ray and laser rooms were inspected by the Radiation Safety Coordinator. Over 90 percent of permit holders were in compliance on the inspection of the lab in all three of these safety programs.   All deficiencies identified in the inspections were corrected in a timely manner.

BIOSAFETY PROGRAM

The Biosafety function oversees safety measures related to the effects of biological research on humans, plants and the environment, and specifically monitors the risk of biohazards such as bacteria and viruses used in laboratories. Other examples of biohazards can include plant pathogens, zoonotic diseases, and human source material.

Legislation and Regulations

National requirements exist for the safe handling of these materials under the oversight of the Public Health Agency of Canada (PHAC), which act to reduce the risk of intentional or unintentional misuse of human pathogens and toxins and to improve oversight.

Human Pathogens and Toxins Regulations

Human Pathogens and Toxins Act remaining section

New Substances Notification Regulations 2018

Public Health Agency of Canada

Environment and Climate Change

In 2017, Biosafety attained two new licences for Risk Group 2 (i.e. Cholera Toxin, Pertussis Toxin, Salmonella, Vaccinia Virus) and Risk Group 3 (i.e. Tuberculosis, Rabies Virus, HIV). These licences indicate how Western will maintain standard operating procedures and facilities to safely handle pathogens.

The area also made substantial progress in completing Western's Level 3 HIV facility, considered to be a hallmark program for Western with global prominence. This facility is key to retaining the research talent at Western. The Biosafety Officer is responsible for the annual commissioning and recertification of the facility by Health Canada.

Western received notice of a new regulation to come into force in 2018. The New Substances Notification Regulations (Organisms) (NSNR) will require advance notification of 14 days, prior to conducting an experiment that involves importing or manufacturing genetically modified organisms. The regulation aims to ensure all containment facilities demonstrate high confidence in standard operating procedures for genetically modified organisms. Western utilizes extensive use of such organisms, either created or imported, leading to the potential for increased administrative work for the researchers and potential delay in research.

On an annual basis, the Biosafety Officer works in partnership with the researchers in the Biosafety Committee to sustain the highest standards, overseeing, and inspecting 270 labs.   The work performed in each lab are categorized based on Risk Group.

Risk Group 1 (low individual and community risk)

Any biological agent that is unlikely to cause disease in healthy workers or animals.

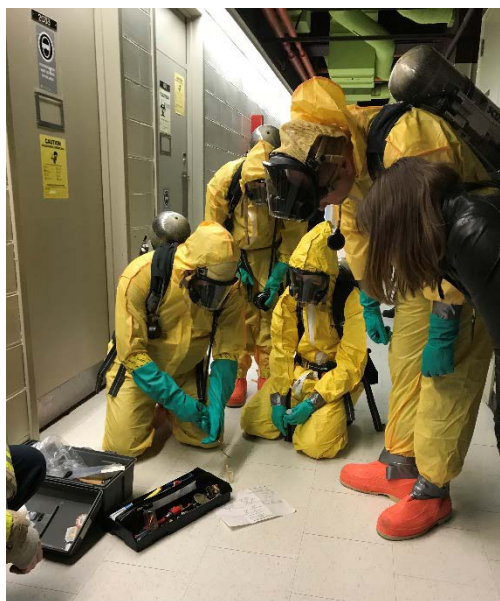**Risk Group 2 (moderate individual risk, low community risk)**

Any pathogen that can cause human disease but under normal circumstances, is unlikely to be a serious hazard to laboratory workers, the community, animals or the environment.

Risk Group 3 (high individual risk, low community risk)

Any pathogen that usually causes serious human disease or can result in serious economic consequences but does not ordinarily spread by casual contact from one individual to another or that causes diseases treatable by antimicrobial or antiparasitic agents.

HAZMAT Emergency Preparedness

The Biosafety Officer devotes significant attention to increasing visibility of preventable HAZMAT incidents and maintaining emergency readiness.

In collaboration with the London Fire Department, Western practices mock drills to test our mitigation practices for potential HAZMAT scenarios. The scenarios range in complexity and serve to solidify the university's strong collaboration with first responders.

These proactive drills ultimately serve to protect intellectual property and salvaging of valuable research.

Each year, the Biosafety team also encounters an influx of new students and trades staff that require industrial health training, specifically, confined entry, ladder use, and falls. The university is experiencing an increasing trend in academics interacting with real-life procedures such as a need to access elevated spaces. As a result, the function coordinates "shop talks" to address common safety risks such as untidy work environments, and storage and transport of combustibles.

GENERAL HEALTH AND SAFETY PROGRAM

With a scope of over 100 buildings including residences and common areas, and a diverse community of 40,000, the breadth of the General Health and Safety Program is considerable. Under the Occupational Health and Safety Act, the university must inspect the physical condition of the workplace at least once a year. The Office of Health and Safety coordinates this program for the Joint Occupational Health and Safety Committee identifying potential hazards.

Occupational risks may vary from tripping hazards, housekeeping of solvents and paint cans, electrical hazards, and proper use of furniture and equipment. The Health and Safety Officer dedicates focus on standard operating procedures and ensuring continual awareness of preventative measures such as inspecting eyewash and first aid stations.

The area encourages a culture of excellence where all individuals are encouraged to speak up concerning potential hazards.   In Appendix B of this report we provide charts outlining the lost time experience for the last five years for Western.   Western experience is very favourable when compared against all Ontario Universities and also our peer large universities.

Adopting a Smoke-Free Environment

In 2017, Western set the groundwork for establishing a smoke-free environment consistent with its goal of providing the best student experience. As a community where tens of thousands work, study, and live, Western is proactively embracing a healthy environment for the university at large, and it strives to be a leader among Ontario universities.

Acknowledging that this effort is a cultural change, the Office of Health and Safety enlisted an advisory group to guide the change management process, which led to a robust consultative program with various levels of stakeholders and approximately 40,000 individuals surveyed.

The team will enact a three phased approach beginning with clean air corridors and smoke free areas in traffic zones. In July 2018, designated areas smoking areas as a gateway to the final outcome of an entirely smoke-free university campus by July 2019.

Western is working with the London-Middlesex Health Unit and providing workshops to support this transition.

First Aid Responders

Western maintains training for approximately 300 certified first aid responders, who supplement the Student Emergency Response Team (SERT) comprised of future health care professionals. These volunteers provide coverage to over 100 multi-level buildings.

APPENDIX A

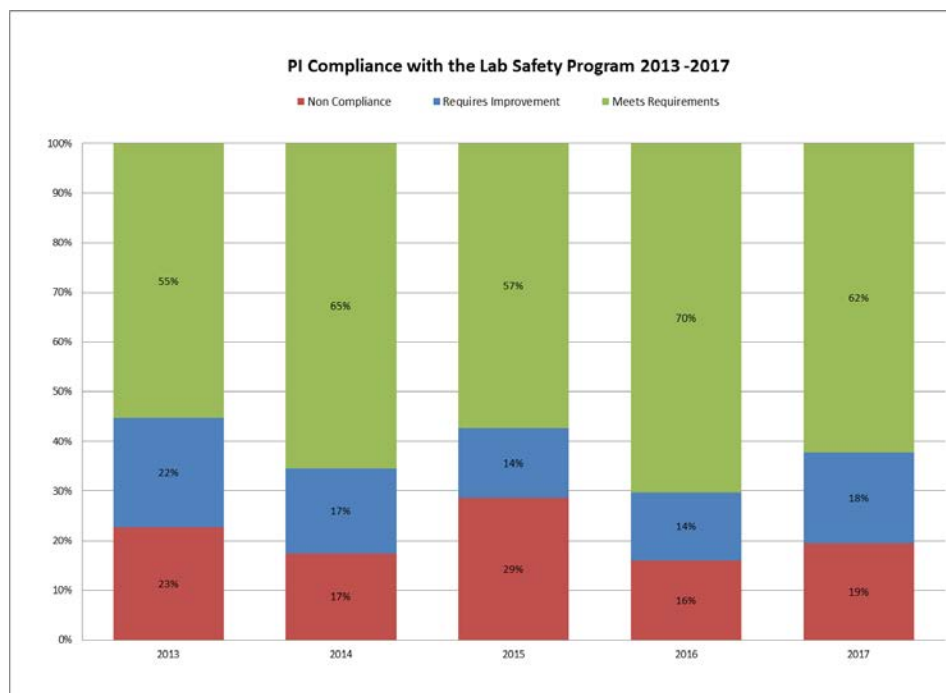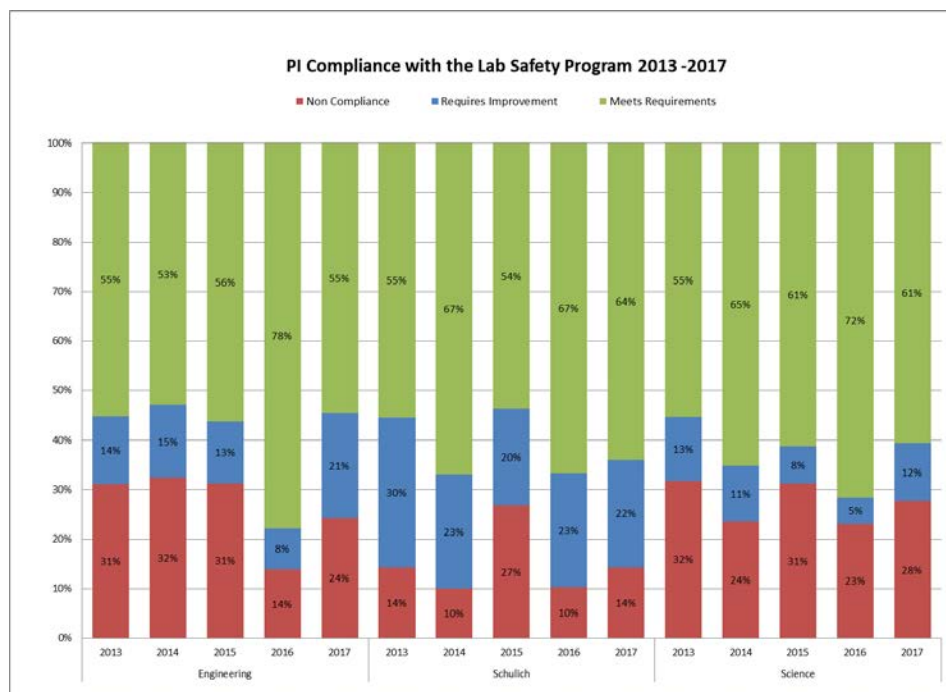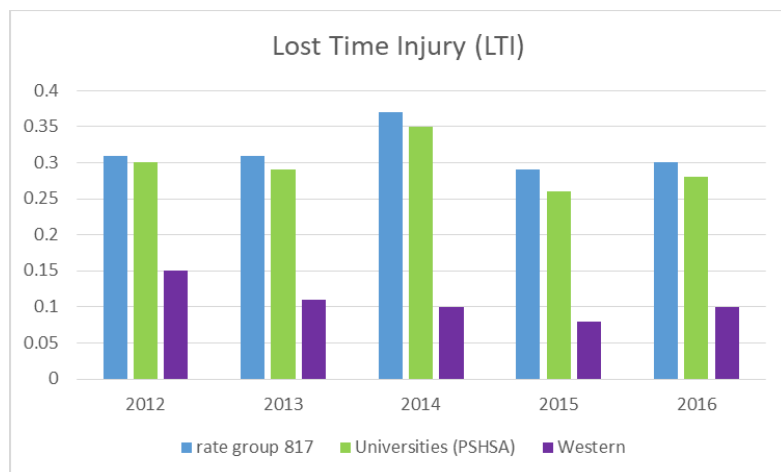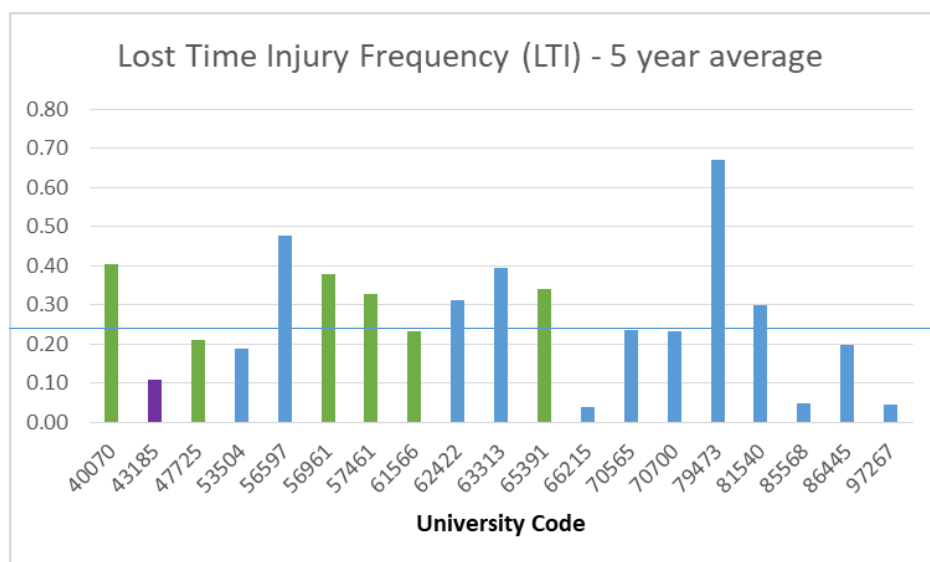**Figure 1 - PI Compliance with the Lab Safety Program 2013-2017**

Figure 2 - Principal Investigator Compliance by Faculty for the last 3 years
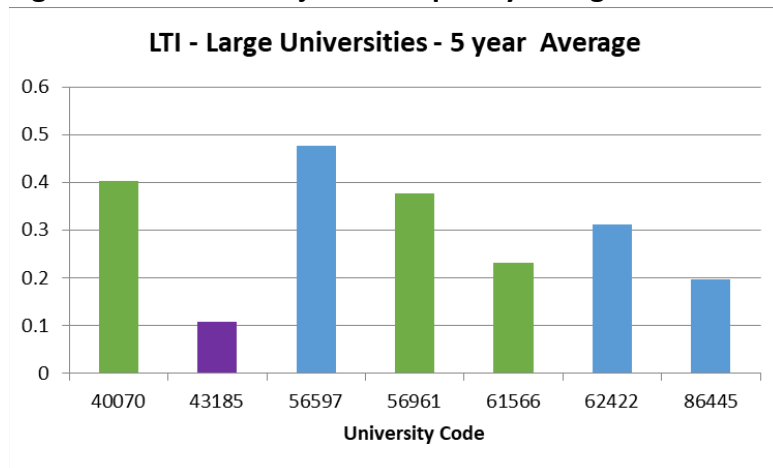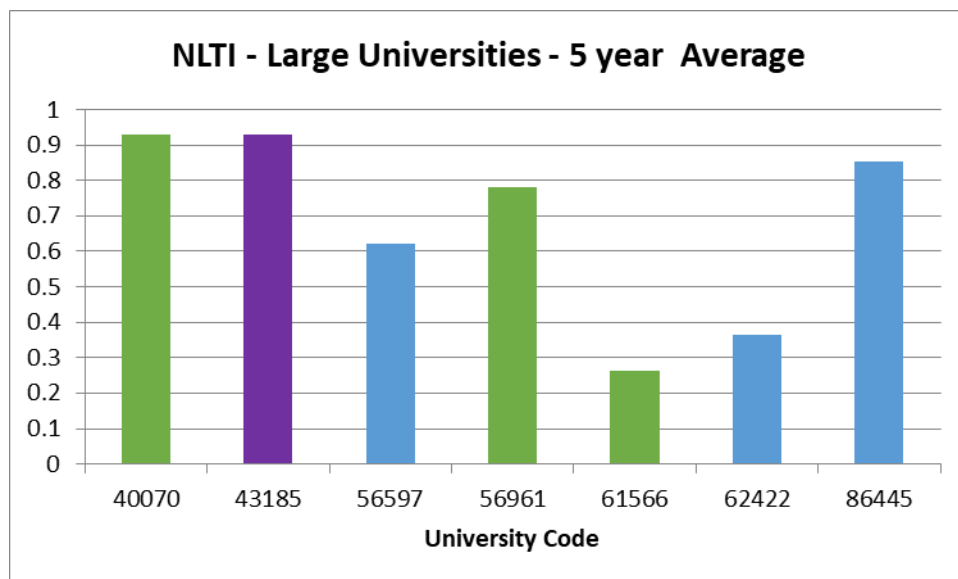
APPENDIX B

Figure 1 - Lost Time Injuries Frequency for all Ontario Universities

Figure 2 – Five Year Average for all Ontario Universities

Western = 43185

Green Bars denotes universities that do not contract out building and hospitality services
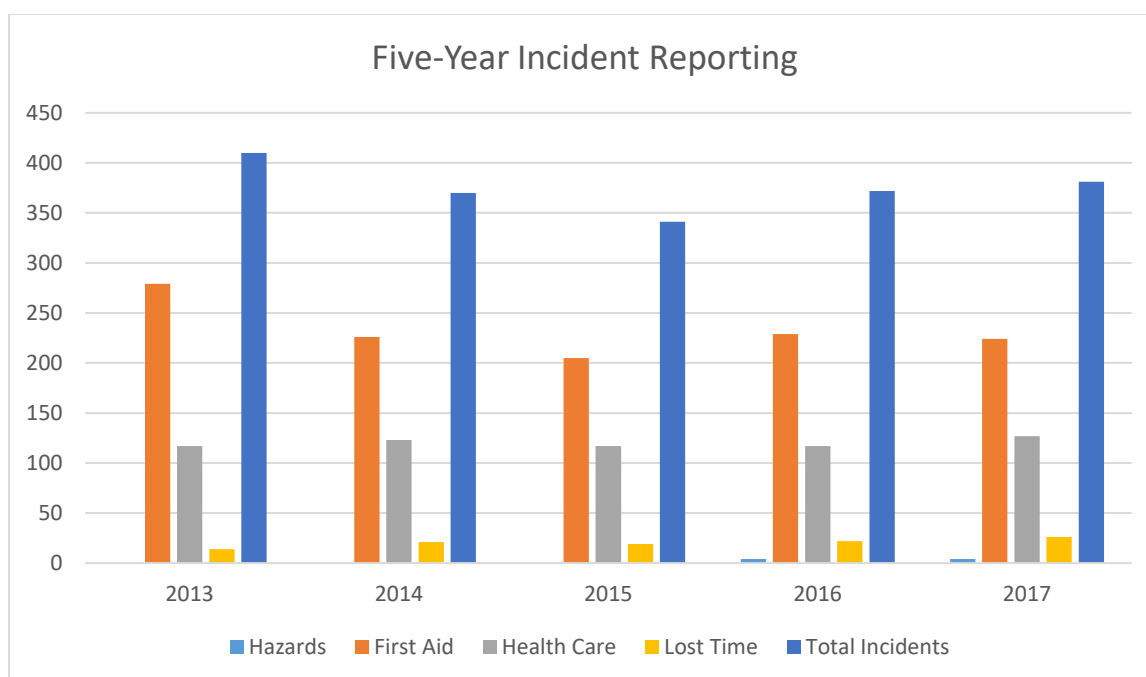
Figure 3 - Lost Time Injuries Frequency – Large Universities

Figure 4 - No Lost Time Injury Frequency – Large Universities

Western = 43185

Green Bars denotes universities that do not contract out building and hospitality services

APPENDIX C

Figure 1 - Five Year Incident History – claim type

INTERNAL AUDIT CHARTER

FOR INFORMATION

At its meeting on June 5, 2018, the Audit Committee re-approved the Internal Audit Charter, attached as
Annex 4.

Background

The internal audit charter is a document that defines the internal audit department's purpose, authority,
and responsibility. The charter is the foundation that provides a framework for the operation of the internal
audit function and is therefore an important component of the department.
Western's Internal Audit charter was originally developed with consideration to the following:

a) The International Professional Practices Framework (IPPF) of Internal Auditing, which specifies that,
   "*The internal audit charter is a formal document that defines the internal audit activity's purpose,
   authority, and responsibility. The internal audit charter establishes the internal audit activity's position
   within the organization, including the nature of the chief audit executive's functional reporting
   relationship with the board; authorizes access to records, personnel, and physical properties relevant
   to the performance of engagements; and defines the scope of internal audit activities.*"

b) The Institute of Internal Auditor's definition of Internal Auditing: Internal auditing is an independent,
   objective assurance and consulting activity designed to add value and improve an organization's
   operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined
   approach to evaluate and improve the effectiveness of risk management, control, and governance
   processes.

c) The Terms of Reference of the Audit Committee – Internal Audit can assist the Audit Committee in
   fulfilling its terms "*for ensuring that appropriate controls and accountabilities exist with the University
   with respect to finance and areas of material risk*"; "th*at the University's financial reporting processes
   are sound*"; and "*appropriate processes are in place to identify, report and control areas of significant
   risk to the University*".

d) Internal Audit charters from other Canadian universities and 'best practices' from public sector and
   public companies were reviewed to ensure Western's Internal Audit Charter is aligned with these
   organizations and is positioned to provide effective service to the Audit Committee and the University.

Western's Internal Audit charter is required to be reviewed and approved by the Audit Committee at least
every three years. Accordingly, the charter, originally approved in April 2008 and last re-approved in
2015, is now due for review and approval by the Audit Committee.

The current charter was compared with the IPPF and charters from other Canadian university internal
audit functions to ensure that it meets the IPPF requirements and that it is aligned with 'best practices'.
The review identified minor phrasing and re-ordering changes as well as three additions to the charter
that when added continue to align Western's charter with the IPPF and 'best practices'. These additions
are consistent with changes that have been made to other university internal audit charters in the past
year. They also provide clarification on practices that currently exist in practice. The additions are as
follows and have also been highlighted in bold font in the attached charter (Annex 1) for approval.

a) Under the Mission section: The mission of the Internal Audit profession is to enhance and protect
   organizational value by providing risk-based and objective assurance, advice and insight.

b) Under the Responsibility section: Determining whether risks to the achievement of Western's strategic
   objectives are appropriately identified and managed.

c) Under the Authority and Independence section: Internal Auditors will not assess operations for which
   they had responsibility in the previous year.

**Western University
Internal Audit Charter**

Mission:
The mission of the Internal Audit profession is to enhance and protect organizational value by providing risk-based and objective assurance, advice, and insight.

The mission of Internal Audit at Western University ("Western" or "University") is to support Western's leaders to achieve their goals by providing independent, objective and value-added assurance and advisory services that focus on risk management, internal control and governance processes as they relate to promoting ethics and ensuring effective management and accountability.

Purpose:
Internal Audit conducts reviews of University records and operations and reports the results of these reviews to management and the Audit Committee of the Board of Governors. Internal Audit helps the University accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

Internal Audit ensures that other assurance functions report on a timely basis to the Audit Committee.

Scope:
Internal Audit's coverage extends to all University units, operations and services. Internal Audit does not evaluate the content and quality of teaching and/or research. The scope of internal audit activities encompasses, but is not limited to, objective examinations of evidence for the purpose of providing independent assessments to the Audit Committee and management on the adequacy and effectiveness of governance, risk management and internal control processes for Western.

The extent and frequency of internal audits will depend upon varying circumstances such as the results of previous audits, relative risk associated with activities, materiality, adequacy of the risk mitigation processes, and resources available to Internal Audit.

The scope of the work of other assurance functions within the University, and audits by the external auditors and other regulators or external agencies, will be considered for the purpose of providing optimal (efficient and economic) audit coverage.

The Internal Audit department may perform advisory activities of which the nature and scope will be agreed with management, provided Internal Audit does not assume management responsibility.

Responsibility:
Internal Audit's purpose is to evaluate and contribute to the improvement of the University's risk management, internal control and governance processes by:

- **Determining whether risks to the achievement of Western's strategic objectives are appropriately identified and managed;**

- Identifying and evaluating significant exposures to risk and ensuring the risk is mitigated to a level that is acceptable to the University;

- Identifying improvements to the overall University process of risk management (identification, assessment, mitigation, monitoring and reporting);

- Examining and assessing practices, systems and internal control processes to assess whether plans and objectives are achieved;

- Evaluating operations as well as resource acquisition, usage and safeguarding for effectiveness, efficiency and economy;

- Assessing whether financial, managerial and operational information and the means used to identify, measure, analyze, classify and report such information are reliable and have integrity;

- Ensuring established processes and systems enable compliance with the policies, procedures, laws and regulations that could significantly impact Western;

- Assessing compliance of Western's officers, directors, employees and contractors with those policies, plans, procedures, laws, regulations and governance standards that may significantly impact Western;

- Investigating suspected or known violations of policies and procedures, financial irregularities, fraud or misuse of University assets and rules and regulations covering research and other grants, including liaison with law enforcement bodies when appropriate;

- Conducting special investigations or reviews at the request of management or the Audit Committee or as considered essential by the Director of Internal Audit;

- Serving as an advisory resource on issues relating to risk, internal control and governance.

- Submitting at least annually, to senior management and the Audit Committee a risk-based audit plan for review and approval;

- Periodically reporting to senior management and the Audit Committee regarding:

  - The internal audit department's purpose, authority and responsibility; and

  - The internal audit department's plan and performance, including results of audit engagements and other activities relative to its plan;

- Ensuring timely reports that present areas of significant risk and risk management processes are received by the Audit Committee or another governing committee, as appropriate;

- Handling documents and information shared with Internal Audit in the same prudent and confidential manner as by those personnel normally accountable for them; and

- Promoting ethics and values within the University.

Authority and Independence:
In carrying out their duties and responsibilities, members of the Internal Audit Department will have full, free and unrestricted access to all University records, information, facilities, and personnel relating to the performance of an audit or investigation. Internal Audit will also have free and unrestricted access to the Audit Committee of the Board of Governors, including in private meetings without management present.

Objectivity and independence are essential to internal auditing; therefore, Internal Auditors shall be independent of the activities audited and shall assert no direct responsibility or authority over activities reviewed. Internal Auditors do not relieve persons of any responsibilities assigned to them; and, as such, do not develop and install procedures, prepare records, or engage in activities which would normally be reviewed by Internal Auditors.

Internal Auditors will not assess operations for which they had responsibility in the previous year.

The internal audit activity will remain free from interference by any element in the organization, including matters of audit selection, scope, procedures, frequency, timing, or report content.

To support a necessary independent and objective mental attitude, engagements will be performed without compromise to quality or subordination of judgment on audit matters to others.

To ensure the independence of Internal Audit, the Director of Internal Audit reports administratively to the Vice President (Operations & Finance) and functionally to the Audit Committee of the Board of Governors.

Administrative reporting facilitates the operations of Internal Audit which includes approving resource allocations (human and financial), completing performance evaluations, providing an effective flow of communications and information and ensuring that Internal Audit accomplishes its mission within the context of the University.

Functional reporting provides the source of independence. The Audit Committee approves the Internal Audit charter and annual work plan, oversees the appointment, replacement or dismissal of the head of Internal Audit, and ensures the internal audit function has direct access to the Audit Committee.

Professional Standards:
Internal Audit staff members will adhere to the standards of their professional designations and be guided by the mandatory elements of the Institute of Internal Auditors' *International Professional Practices Framework*.

Charter Review and Approval:
This Charter shall be reviewed and approved as circumstances require and at least every three years by the Audit Committee of the Board of Governors.

- Approved by the Audit Committee April, 2008
- Re-approved by the Audit Committee March, 2011
- Revised and approved by the Audit Committee January, 2015

- Revised and submitted for approval to the Audit Committee June 5, 2018

REPORT OF THE FUND RAISING AND DONOR RELATIONS COMMITTEE

Contents	Consent Agenda
Fund Raising Activity Quarterly Report to April 30, 2018	Yes

<u>FOR INFORMATION</u>

1.   **Fund Raising Activity Quarterly Report to April 30, 2018**

The Fund Raising Initiatives Quarterly Report to April 30, 2018 is provided in **Annex 1**.

Western

Fund Raising Initiatives Quarterly Report
as at April 30, 2018
(with comparative figures from the fiscal year 2015/16 to 2016/17)

PLEDGE DATA [1]

	May 1, 2017 to April 30, 2018 (000's)			Fiscal Year 2017 (000's)	Fiscal Year 2016 (000's)
	Target	Actual	Actual as a % of Target	Year End May to April	Year End May to April
Pledges outstanding May 1,	**87,537**	87,537	N/A	105,717	161,936
New Gifts & Pledges (Gross)	65,000	70,130	107.89%	57,089	49,020
Pledges cancelled/amended on new/prior pledges	(2,296)	(1,835)	79.93%	(3,224)	(2,598)
Net New Pledges/Gifts	**62,704**	**68,295**	**108.92%**	**53,865**	**46,422**
Contributions received in payment of pledges/gifts: [2]					
Western University	54,138	63,184	116.71%	71,509	102,170
Richard Ivey School of Business (Asia) Limited	944	745	78.89%	536	471
Total contributions received	**55,082**	**63,929**	**116.06%**	**72,045**	**102,641**
Net Pledges Outstanding	**95,159**	**91,903**	**96.58%**	**87,537**	**105,717**

COST PER DOLLAR RAISED

	May 1, 2017 to April 30, 2018 (000's)			May 1, 2016 to April 30, 2017 (000's)			May 1, 2015 to April 30, 2016 (000's)		
Advancement Fund Raising Units	Net Pledges/Gifts	Expenses	Cost per Dollar Raised	Net Pledges/Gifts	Expenses	Cost per Dollar Raised	Net Pledges/Gifts	Expenses	Cost per Dollar Raised
Alumni Relations & Development [3]	55,719	8,626	$0.15	45,740	8,095	$0.18	36,463	8,382	$0.23
Richard Ivey School of Business	14,302	1,087	$0.08	11,272	1,292	$0.11	11,558	1,408	$0.12
Total Expenses/Cost Per Dollar Raised	**70,020**	**9,713**	**$0.14**	**57,012**	**9,387**	**$0.16**	**48,021**	**9,790**	**$0.20**
3-Year Average Cost Per Dollar Raised [4]	**58,351**	**9,630**	**$0.17**	**71,971**	**8,633**	**$0.12**	**76,171**	**7,741**	**$0.10**

Return on Investment	Revenue Cash Received	Expenses	Return on Investment	Revenue Cash Received	Expenses	Return on Investment	Revenue Cash Received	Expenses	Return on Investment
Fundraising/Development/Advancement	52,909	9,713	$5.45	52,573	9,387	$5.60	40,653	9,790	$4.15
Total Return on Investment	**52,909**	**9,713**	**$5.45**	**52,573**	**9,387**	**$5.60**	**40,653**	**9,790**	**$4.15**

[1] Includes total activity of:
Western University
The University of Western Ontario Inc.
The University of Western Ontario (UK) Foundation
The University of Western Ontario (HK) Foundation
Richard Ivey School of Business (Asia) Limited

[2] Represents all contributions including cash, gift in kind and gift in purchase discounts entered in the Contributor Relations System within reporting period and may differ from the general ledger reporting period.

[3] FY15 expenses do not include FDDP, CPA and Advancement Operations salary and benefits.

[4] 3 Year Rolling Average - reflects the major gift factor and the post campaign period. Return on Investment and Cost per Dollar raised are included on April 30th Quarter reports.

ITEMS REFERRED BY SENATE

Contents	Consent Agenda
Revisions to MAPP 7.10 – Standardized Training in Animal Care and Use	Yes
Performance Indicators Report	Yes
Western Libraries Annual Report 2017-18	Yes
Annual Report of the Working Group on Information Security (WGIS)	Yes
Annual Report on Promotion and Tenure 2017-18	Yes
Report of the Academic Colleague	Yes

FOR APPROVAL

1. **Revisions to MAPP 7.10 – Standardized Training in Animal Care and Use**

    Recommended: That changes to the Standardized Training in Animal Care and Use (Institutional Animal User Training Program) (MAPP 7.10) policy as set out in **Annex 1** be approved.

    Background:

    Revisions to the policy were made to achieve compliance and better alignment with Canadian Council on Animal Care (CCAC) guidelines.

    Substantive changes to the policy include:
    - The title of the policy was revised from "Standardized Training in Animal Care and Use" to "Institutional Animal User Training Program";
    - A "Definitions" section was included in the policy for clarity;
    - The policy was expanded to include sections regarding responsibilities for animal user training and care at the institution;
    - The policy now provides specific details about the required training for all involved in animal research, as well as describes how potential exemptions from training could be granted.

    Revised procedures are attached as **Annex 2**. The link to the current policy and procedure is located here: http://www.uwo.ca/univsec/pdf/policies_procedures/section7/mapp710.pdf

FOR INFORMATION

2. **Performance Indicators Report**

    See **Annex 3**.

3. **Western Libraries Annual Report 2017-18**

    See Annex 4.

4. **<u>Annual Report of the Working Group on Information Security (WGIS)</u>**

   See Annex 5.

5. **<u>Annual Report on Promotion and Tenure 2017-18</u>**

   See **Annex 6**.

6. **<u>Report of the Academic Colleague</u>**

   See **Annex 7**.

Western
UNIVERSITY · CANADA

**Manual of Administrative
Policies and Procedures**

POLICY 7.10 – Institutional Animal User Training Program

Policy Category: Research

Subject: Standardized training in animal care and use

Approving Authority: Board of Governors

Responsible Officer: Vice-President (Research)

Responsible Office: Animal Care & Veterinary Services Department

Related Procedures: Procedures for the Institutional Animal User Training Program

Related University Policies: MAPP 7.12 – Policy and Procedures for the Use of Animals in
Research and Teaching

MAPP 7.0 – Academic Integrity in Research Activities
MAPP 7.15 – Post Approval Monitoring Program (PAM)

Effective Date: June 21, 2018

Supersedes: January 27, 2005, November 29, 2009, November 22, 2012,
September 24, 2015; November 26, 2015

_____

I. PURPOSE & SCOPE

The purpose of this policy is to apply CCAC's guidelines for the training of Animal Users; and to
outline the associated roles and responsibilities for the Animal User Training Program associated with
Western's Research Community.

II. DEFINITIONS

Animal Users – all individuals who either use in animal-based science, or are employed to care for
'animals,' as defined by the Canadian Council on Animal Care (CCAC).

Western's Research Community – institutions and their departments involving animal-based
scientists having Animal Use Protocols under the jurisdiction of Western's Animal Care Committee,
the ACC

Competency – as per CCAC, the ability to effectively perform a particular task in relation to the care, maintenance or use of animals, while ensuring their welfare is protected as far as possible within the constraints of any approved AUPs.[1]

Three Rs Tenet – Replace – avoid or replace the use of animals wherever possible; Reduce – utilize strategies that reduce the number of animals used while maintaining experimental design; Refine – modify procedures and/or practices to reduce animal stress or pain.

III.   POLICY

1. Animal User Training Program elements must engender a culture of respect for animal life and must be designed to align with the Three Rs, as per CCAC's guideline on: training of personnel working with animals in science (2015).

    a. All Animal Users must demonstrate their understanding of ethics associated with the humane use of animals, including the Three R's tenet of replacement, reduction and refinement.

2. Institutional senior administration must ensure adequate resources are available to facilitate the delivery of an up-to-date and relevant Animal User Training Program that supports the knowledge and skills required for undertaking ACC-approved Animal Use Protocols and institutional roles of Animal Care/Husbandry personnel and aligns with current veterinary standards of animal care.

3. The Animal User Training Program must be administered centrally by the Department of Animal Care & Veterinary Services (ACVS), which is responsible to: determine Animal User training requirements; establish training competency benchmarks; develop and maintain training program content and training platforms; and maintain training records.

    a. Other Animal User trainers will be pre-approved by ACVS and will follow the centralized training program elements.

    b. The ACC via its Executive must be apprised of any significant changes to the Animal User Training Program.

4. Animal Users must complete the following CCAC-mandated animal training prior to undertaking animal-based science or animal care work, as outlined within ACC-approved Animal Use Protocols (AUPs) and/or associated with institutional roles:

    a. Western's *Basic Animal Care and Use* online ethics course, or an ACVS-approved alternative; and,

    b. As required by the Animal User's role, hands-on animal workshops / training sessions and their associated online course prerequisites.

    c. Exemption from the training requirements outlined in 4.a-b may be requested and will be considered by the ACC based upon documented and/or demonstrated evidence that an equivalent course or experience has been obtained elsewhere (See *Procedures for the Institutional Animal User Training Program*).

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[1] Canadian Council on Animal Care. CCAC Guidelines on: training of personnel working with animals in science. P.5

5. Animal User training must be offered with adequate frequency and oversight by proficient trainers to ensure all animal users receive necessary knowledge, skills and competency prior to performing ACC-approved animal procedures independently.

   a. The responsibility for ensuring Animal Users are competent will be shared among ACC-approved trainers and supervisors of Animal User trainees, e.g. Principal Investigators, Animal Care facility supervisors.

   b. Until personnel have obtained competence to perform animal procedures, a competent individual must closely supervise their work with animals.

   c. When practical skills must be acquired, training should be timed in proximity to the timeframe when the skills are required.

6. Any concerns associated with respect to Animal User competency and/or the Animal User Training Program must be forwarded to the ACC Executive for consideration, as per UCAC's Concerns Identification, Project Refinement and Corrective Response Policy (POL-004).

**Manual of Administrative
Policies and Procedures**

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PROCEDURE FOR POLICY 7.10 – Institutional Animal User Training Program

</div>

I Animal User Training Program

1. The Department of Animal Care and Veterinary Services and other ACVS-approved Animal User Trainers will:

    1.1. Develop and/or contribute to the development of appropriate training programs that meet Institutional Animal User training needs, and that align with CCAC guidelines and current veterinary standards of animal care;

    1.2. Assess the training requirements of all personnel associated with Western's Research Community that have been added to the *Personnel Training Requirements* section within *Animal Use Protocol (AUP),* and/or *Protocol Modification* forms, and those associated with Animal Care / Husbandry as employees of the University and its affiliates;

    1.3. Communicate training requirements and associated training processes to Animal User Trainees and their supervisors, e.g. Principal Investigator or other Supervisor;

    1.4. Provide access to training program resources, e.g. OWL online courses;

    1.5. Implement the Animal User Training Program (See training program flow chart, Appendix 1);

    1.6. Formally assess Animal User Trainee competencies via ACVS-approved training-specific Trainee Evaluation Checklists;

        1.6.1. Provide Animal User Trainees and their supervisors with written evaluations;

        1.6.2. Where concerns regarding Animal User competence arise, further individual training may be required before animal work may resume, as determined by an Institutional Veterinarian or ACC Executive.

    1.7. Maintain training records for all Animal Users using a centralized training database.

II Training Exemptions / Competency Assessments

Training Exemptions

1. Training exemptions from Institutional Animal User Training requirements may be considered if written documentation illustrating equivalent training obtained elsewhere is provided to the ACC Training Exemption Working Group, which has final authority for the granting of training exemptions.

2. An Animal User requesting exemption must electronically submit a Training Exemption Form (Appendix 2) with accompanying documentation outlining previous training history to training@uwo.ca.

3. The ACVS Animal User Trainer reviews and then forwards all related documents to the ACC working group requesting consideration of the exemption request.
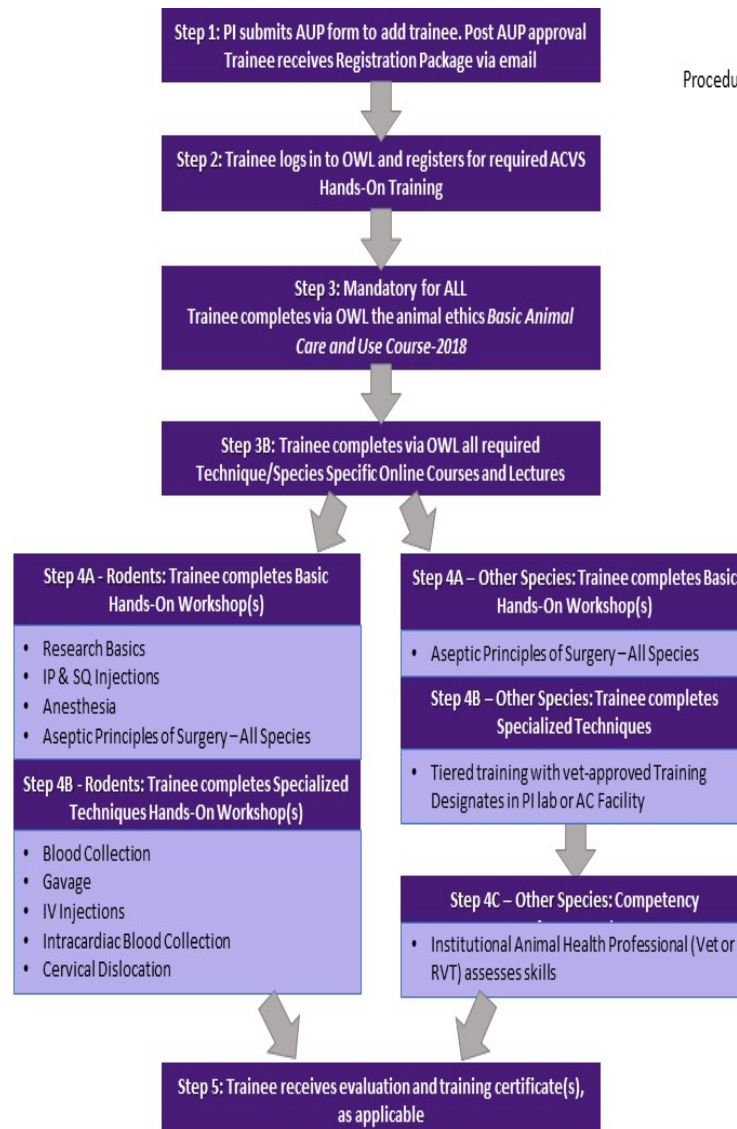
4. The ACC working group reviews all provided material, determines the exemption request outcome, and emails the requestor outlining its decision, either:

    4.1. Exemption granted, or

    4.2. Competency assessment required, or

    4.3. Institutional training session required.

5. Any concerns associated with ACC decisions must be forwarded to the ACC Executive via ausexec@uwo.ca.

Competency Assessments

6. Principal Investigators may request a competency assessment for their research staff in lieu of hands-on training completion.

    6.1. Competency assessments are available only to individuals with extensive and demonstrated experience in animal care and use.

    6.2. In lieu of instruction, participants will be asked to demonstrate skills as outlined within their Animal Use Protocols.

    6.3. ACVS or the ACC Executive may request support from an arms-length individual with recognized expertise to assist in evaluating the Animal User's competency.

        6.3.1. Individuals exempted through a competency assessment will receive a *Certificate of Competence* from the ACVS Animal User Trainer.

        6.3.2. The ACC may revoke a *Certificate of Competence* if evidence indicates that the individual has not demonstrated competence in a defined animal procedure. As directed by the ACC, the individual will be required to undertake related training before resuming hands-on animal work.

Appendix 1

Step 1: PI submits AUP form to add trainee. Post AUP approval Trainee receives Registration Package via email

Step 2: Trainee logs in to OWL and registers for required ACVS Hands-On Training

Step 3: Mandatory for ALL
Trainee completes via OWL the animal ethics *Basic Animal Care and Use Course-2018*

Step 3B: Trainee completes via OWL all required Technique/Species Specific Online Courses and Lectures

Step 4A - Rodents: Trainee completes Basic Hands-On Workshop(s)

- Research Basics
- IP & SQ Injections
- Anesthesia
- Aseptic Principles of Surgery – All Species

Step 4B - Rodents: Trainee completes Specialized Techniques Hands-On Workshop(s)

- Blood Collection
- Gavage
- IV Injections
- Intracardiac Blood Collection
- Cervical Dislocation

Step 4A – Other Species: Trainee completes Basic Hands-On Workshop(s)

- Aseptic Principles of Surgery – All Species

Step 4B – Other Species: Trainee completes Specialized Techniques

- Tiered training with vet-approved Training Designates in PI lab or AC Facility

Step 4C – Other Species: Competency

- Institutional Animal Health Professional (Vet or RVT) assesses skills

Step 5: Trainee receives evaluation and training certificate(s), as applicable

MAPP 7.10 APP1
Procedures for Institutional Animal User Training Program

Appendix 2

Animal Care Committee
Institutional Animal User Training Program
Exemption Request Form

Name:

Position:

Email:

Contact Number:

Principal Investigator:

Animal Use Protocol Number(s):

Have you completed the *Basic Animal Care and Use Course* online OWL course?   Yes   ☐   No ☐

Please list the online and/or hands on training workshops from which you are seeking exemption:

Workshop Name	Reason For Exemption Request

Have you provided ACVS (training@uwo.ca) with past training certificates and workshop descriptions:
Yes ☐   No ☐

Please provide any other information that would be applicable to this request:

Please complete and submit this form along with past training information to ACVS:
Phone x80277 * Email training@uwo.ca * Subject line: Training Exemption Request

The request will be sent to the ACC Training User Group for consideration.
A confirmation email will be sent from auschair@uwo.ca following approval determination by the ACC.
Any questions? Please follow up with training@uwo.ca directly.

Western's Annual Performance and Activity Indicators Report: 2018

May 23, 2018

- Since 2005, Western has published an Annual Performance and Activity Indicators Report.

- In 2016, the report was modified to align the indicators with the University's most recent strategic plan – *Achieving Excellence on the World Stage*. The indicators shown in the document were chosen from the best available data that align with the fourteen metrics in the Strategic Plan.

- It is important to note that this report is not intended as a promotional document. While some indicators do illustrate significant achievement, others identify areas where improvements are necessary.

- Starting in 2017 (presented to SCUP in September 2017), the report is being presented electronically – rather than a printed version. The report is now a series of dashboards that allow for more flexibility in display options. The report can be found at: http://www.ipb.uwo.ca/pi/

- The main page displays 8 broad categories of metrics – and each category contains multiple indicators. The structure of the indicators follows the format in the print version from previous years – with an explanation of the calculation, relation to the strategic plan, and commentary.

- Individual metrics may be downloaded and printed by clicking the "download" icon that appears on the top-right corner of each page.

2017-18 Annual Report

Western Libraries

Message from Catherine

Each academic year Western Libraries' librarians, archivists and staff make valuable contributions to the University's teaching, learning and research mandates and provide excellent service. This report will highlight key initiatives, activities, and select accomplishments for 2017/18.

The major organizational initiatives for this period have been: continued implementation of the Western Libraries strategic plan; the Organizational Renewal Initiative transition and implementation; facilities enhancements and the completion of the Space Master Plan; and, continuation of an acquisitions cost mitigation

Catherine Steeves, Vice-Provost & Chief Librarian

strategy and serials review process.

I hope you enjoy this opportunity to learn more about our activities and how we are evolving to meet the needs of the Western community and beyond.

2015-2020 Strategic Plan: Engage. Empower. Excel.

All of the activities and service developments of Western Libraries are guided by the following Strategies of Excellence in the strategic plan:

- Manage world-class print and digital collections and resources
- Advance 21st century literacies
- Partner in and support research to advance research excellence
- Champion open access and transform scholarly communication
- Cultivate purposeful partnerships on campus and beyond
- Provide user-centred spaces and technologies
- Actively engage with our communities
- Deliver service excellence to library users and the University

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Western Libraries

Organizational Renewal

We continued to advance our Organizational Renewal Initiative (ORI) throughout 2017/18. Significant developments include the release of the new organizational model and structure in June of 2017 and the subsequent development of a new user service model, transition strategy and implementation plan. We are introducing elements of the new model incrementally, in anticipation of a formal launch at the start of the fall semester.

The new integrated service model and organizational framework is designed to support research and academic outcomes. It features five core user-centred services or functions: research and scholarly communication; teaching and learning; content management discovery and access; archives and special collections; and, user experience and student engagement. This system-wide transformation is a shift away from a distributed library-by-library model. By working together, Western Libraries can seamlessly deliver services across virtual and physical locations, ensuring Western students, faculty, researchers and alumni connect with the

of knowledge and expertise and the opportunity to build new relationships and contacts. The new model affords the necessary flexibility to adapt to unique and new service requirements. As our users' needs evolve, so too can the kinds of support and services offered.

We developed a staff transition strategy, in consultation with Human Resources, Faculty Relations, UWOFA, and UWOSA, to establish a proper plan and process that respects policies, good practice and employee agreements. We have completed multiple internal librarian/archivist competitions for new positions and leadership opportunities.

Five Heads have been appointed and four specialized librarian roles have been filled from the internal pool. We held individual reassignment discussions with each librarian and archivist and they have just recently transitioned to their new functional teams. For the rest of Western Libraries' staff, work assignment discussions are underway and they will transition to the new functional teams for the start of the fall semester. We've provided several personal development, team development, leadership, and change management workshops to assist and support library staff and leaders through the transition. Similarly, we are providing training and professional development to support the acquisition of new skills and knowledge related to changing responsibilities.

> By working together, Western Libraries can seamlessly deliver services across virtual and physical locations, ensuring Western students, faculty, researchers and alumni connect with the services they need, when and where they need them.
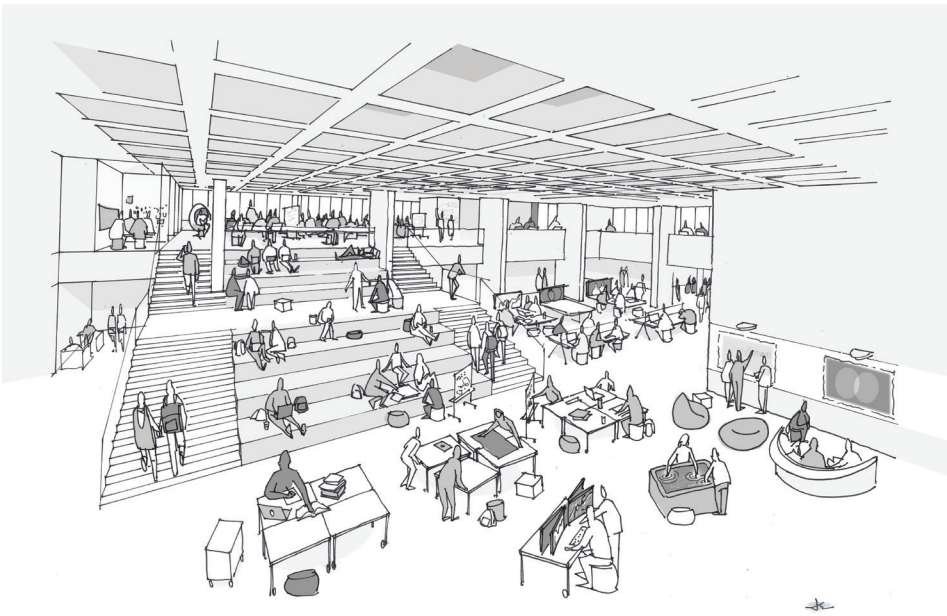
services they need, when and where they need them. Users will continue to benefit from existing relationships with Western Libraries staff, while having the advantage of access to a broader range

Space Master Plan and Facilities Enhancements

Each year Western Libraries undertakes renovation and facility projects of varying sizes and complexity to improve physical learning spaces and overall student experience.

The most significant achievement this year was the completion of the Space Master Plan (SMP) in collaboration with Facilities Management and the Office of Institutional Planning & Budgeting and with the direction of the architectural firm Perkins+Will. Over 2016/17, as outlined in last year's report, the focus of the project was stakeholder engagement, programmatic design, and structural review. Over the first half of 2017/18 the gross cost estimation was completed and the final report written and presented to university administration and library staff.

The SMP provides a long-term vision and guide for evolving aging library spaces in ways that are technology-rich and enable learning, knowledge creation and scholarly communication within individual, collaborative and community spaces. It builds a case for reinvestment in our libraries and demonstrates both the need and the opportunities a rejuvenation of our spaces present. Plans for the two major libraries have been broken down into multiple projects to provide flexibility in the development of funding strategies and execution. The plan will soon be available on the Western Libraries website.

The priority for renovation is The D.B. Weldon Library (Weldon Library) – now just over 45 years old. Built in a different era, it was designed as a closed stacks facility. As a study, research and learning environment, it does not meet the current needs of our students and faculty. We greatly appreciate that the University has recognized renovating Weldon Library as a major capital project priority in the 2018/19 operating budget and allocated $15 million toward this end. We are in the process of developing the tender for the architectural design and renovation of the building and should be able to achieve some significant transformations with this first investment.

Over 2017/18, we implemented and planned other facilities enhancements to improve Western Libraries' physical spaces and the overall student experience. We focused on the third phase of the Taylor Library renovations, which included the front entrance and, on the lower and ground floors, the installation of new flooring and additional student study space. An update of the Kellogg instruction room in 2018/19 will complete the multi-phased Taylor renovation project begun at the start of this four-year budget cycle. The renovation of the former Gustav Mahler-Alfred Rosé room in the Music Library into a Music Lab, available to the Faculty and the library, was completed. We also developed a rejuvenation plan for the Education Library to revitalize the library by creating an inviting, inspiring space for collaborative learning and research through improved interior design, new furnishings and equipment.

The SMP provides a long-term vision and guide for evolving aging library spaces in ways that are technology-rich and enable learning, knowledge creation and scholarly communication within individual, collaborative and community spaces.

ROOF GARDEN

STAFF

GRAD COMMONS

GENERAL LEARNING / GENERAL COLLECTIONS

SPECIAL

CLASSROOM

COMMONS / MEZZANINE

COMMONS SUPPORT

LEARNING COMMONS

GENERAL LEARNING / GENERAL COLLECTIONS

DIGITAL SCHOLARSHIP CENTRE/ MAP AND DATA CENTRE

HIGH DENSITY COLLECTION

Teaching and Learning

Western Libraries' contributions to teaching and learning and to student success are many and varied. We contribute to the student experience by providing teaching and learning spaces, collaborative and independent study environments, scholarly resources and information technologies, and research help services.

Our librarians, archivists and staff provide instruction in information literacy and research skills in support of our academic and research programs; This past year, a team of library staff spearheaded a digital literacies outreach initiative, consisting of pop-up literacy workshops using games and online tools to share tips on how to strengthen passwords, protect privacy, and spot fake news. A key

collaboration between Western Libraries and the Teaching Support Centre involves work on the Western Degree Outcomes (WDO) project. In 2016/17,

we created Information Literacy Learning Outcomes that complement the WDOs and a guide for their use in teaching important information and digital literacy skills is currently under development.

Western Libraries has moved to leverage the impact of peer mentorship on student learning through participation in the Learning Skills Centre Peer Assisted Learning (PAL) program. This popular program trains students to teach their peers various types of learning skills to help them succeed academically; this year, peer mentors received training from librarians on library resources and services available to support student success and how to refer students to these tools. Initial assessment of this collaboration indicates peer mentors know about library resources and services and are able to connect students to the library when needed.

We also develop and integrate e-learning strategies for information literacy and create online learning modules and research guides.

We continue our collaboration with the Teaching Support Centre (TSC) and WTS on the Supported Course Redesign (SCoRe) project, with librarians providing both general curriculum

and discipline-specific support. Over 2017/18, the integration of Research Guides into OWL sites has reached 86 per cent.

Western Libraries partnered with both the TSC and University Students Council to advance campus understanding, adoption and creation of open educational resources (OER) at Western. Increased use of OER is a key priority of the current student government. In addition to helping organize the program for Open Education Day, Western Libraries provided a session on finding and evaluating open educational resources. Western Libraries, with the Teaching Support Centre, is co-chairing the Open Education Working Group to investigate current attitudes toward open education at Western and avenues to support open educational resources and practice. Comprised of stakeholders from across campus, the group reports to John Doerksen, Vice-Provost (Academic Programs), and will produce a report and recommendations for

summer 2018. Western Libraries is also working to integrate open textbooks provided through eCampus Ontario into our library catalogue, making these materials discoverable for use by our faculty and students. Finally, work is underway to create a new area within Scholarship@Western, our institutional repository, that will support the open dissemination of teaching and learning resources such as lectures and modules.

Western and Affiliate instructors have increased their use of the Course Readings service. Course readings are made available online and embedded in OWL whenever possible and are fully accessible. A full syllabus service is available to instructors with enough notice. Feedback from instructors and students continues to be positive. The service has enhanced student access to required learning materials while decreasing student costs.

334 INSTRUCTION SESSIONS
9882 PARTICIPANTS

1,892,911 ONLINE VISITS

RESEARCH GUIDES INTEGRATED INTO **86%** OF OWL SITES

~ **457,847** TOTAL USES

WELCOME
2,488,803 VISITS FOR ALL LOCATIONS

COURSE READINGS
13,021 READINGS — *for* — **1,467** COURSES — *a* — **33%**↑

3,215 CHAT-BASED
14,062 IN-PERSON
REFERENCE QUESTIONS

Acquisitions and Collections

We continue to monitor the acquisitions budget closely and deploy cost-effective strategies for providing access to the resources required by faculty and students. Annual publisher increases continually out-pace acquisitions budget increases and our costs are vulnerable to currency fluctuations. Fortunately, the Office of Institutional Planning & Budgeting's pegged-rate adjustment for the acquisitions budget (at 1.25) allows for planned predictability in subscription expenditures and moderates the impact of dollar value fluctuations. We are piloting evidence-based acquisition of resources, such as monographs and streaming video, which is proving to be a viable alternative, making a large quantity of selected material available for minimum cost. We are also near to completing consultations with faculty, which is the final step after consideration of citation and usage data, in a project to develop a list of priority journal titles to inform collections decisions moving forward. In addition, the Libraries' anticipated move to the Ontario Council of University Libraries (OCUL) Collaborative Futures Shared Library Services Platform will allow us to explore ways to build and manage collections collaboratively with partner institutions in the province.

Western Libraries has been an active participant in regional, national and international conversations related to library acquisitions and the sustainability of the scholarly publishing model.

We are active in the Canadian Research Knowledge Network (CRKN) participating on the License Transition Task Group, the Content Strategies Committee, and the Executive Committee. In addition, Western has lead an informal U15 working group (including Université de Montréal, Dalhousie, and Laval with input from CRKN and Canadian Association of Research Libraries (CARL)) in the development of a brief and presentation on responses to escalating journal costs and movement toward a sustainable scholarly publishing model.

187,083 PRINT ITEMS CIRCULATED

›16K INTER LIBRARY LOANS

6M ONLINE JOURNAL ARTICLE DOWNLOADS
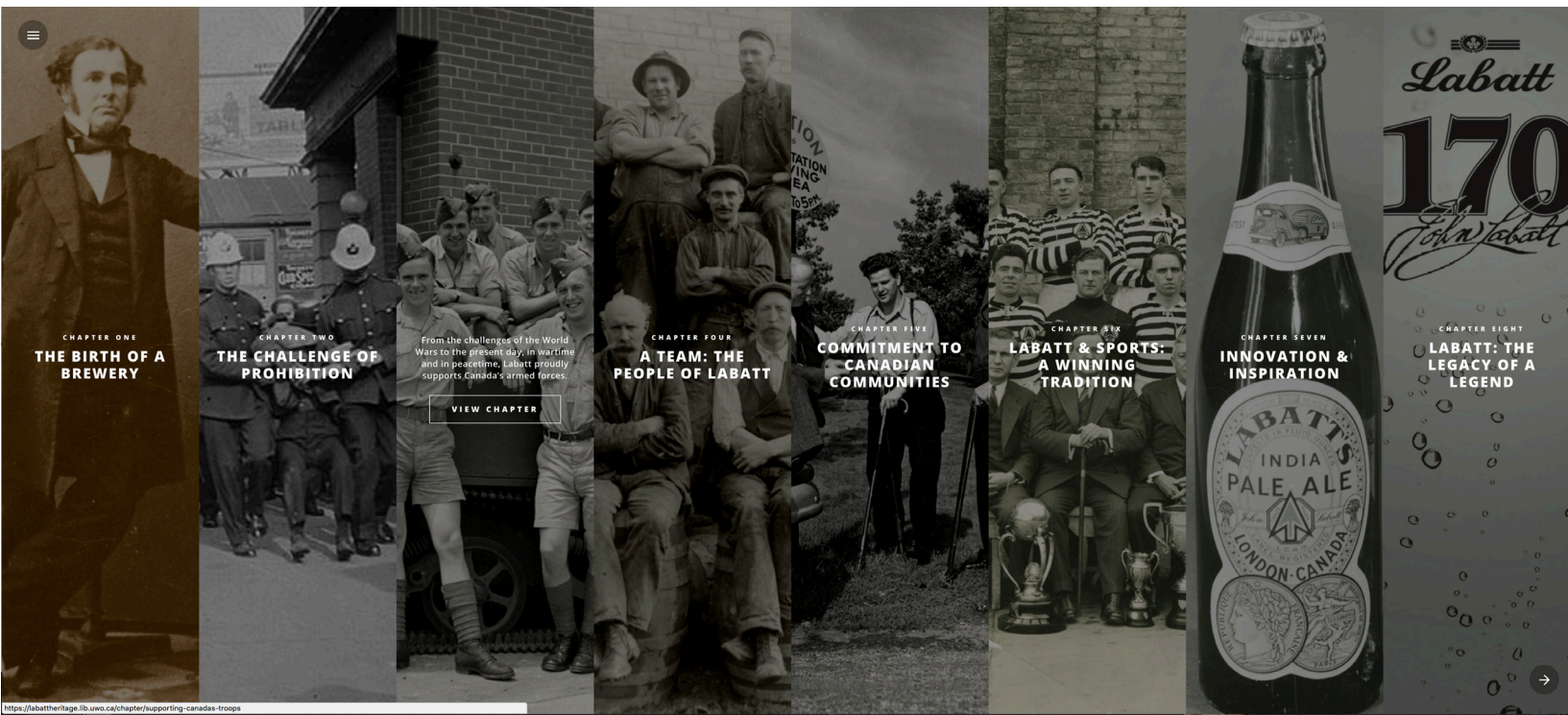
13M DATABASE RECORD VIEWS

Copyright

The Copyright Office promotes copyright literacy and campus understanding of copyright legislation, educational fair dealing and the responsible use of copyright-protected materials in teaching, research, personal study, and publication. Copyright literacy sessions are available to departments and Faculties upon request and incorporated into various campus orientations.

The 2017/18 academic year marked an enhanced national conversation on copyright as the government implements the statutory review of the copyright act mandated by the 2012 Copyright Modernization Act. This includes potential challenges to the educational fair dealing right, which could have significant impact on Western faculty and students. Fair Dealing Week provided an occasion to raise awareness of the copyright review and our team ran a series of Educational Fair Dealing Pop-Ups to engage faculty and students on the issue.

We have monitored events in Ottawa, advocated "on the hill," and maintained a discussion with Western's Copyright Governance Group, as well as with our national and consortial partners, such as Universities Canada, the Canadian Association of Research Libraries, and the Canadian Research Knowledge Network. Western applied to speak before the legislative review committee and will provide a written submission.

Archives and Special Collections

Western Libraries' digitization agenda for special and unique collections benefits both local and international researchers across the disciplines. This year's standout project is the partnership between Labatt Breweries and Western Archives to develop a major virtual exhibit. Intended to celebrate Canada's 150th and Labatt's 170th anniversaries, the exhibit uses over 500 digital images from the Labatt Brewing Company Collection to document and interpret the evolution of the nation and the company. The project also supported students, as funding from Labatt enabled us to hire two FIMS co-op students who gained valuable work experience, and public history students incorporated work on exhibit content as part of a course project. The exhibit has garnered national attention and Labatt recently received a prestigious award from the Archives Association of Ontario.

Among the most notable new archival and special collections acquisitions this past year are the Dr. Frank Hayden fonds (the "Father of the Special Olympics"); the Jan Eisenhardt fonds (pioneer in national fitness programs); the Wright Lithography Company fonds; and World War One German East Africa aviation maps.

A special highlight this year was the receipt of a Canadian cultural property designation for the "Canadian Whites", the World War Two era Canadian comic book collection previously donated by Dr. Eddy Smet, which includes a very rare copy of the first Canadian comic book, Better Comics #1.

Several wonderful exhibitions for the John A. Schweitzer Gallery and Weldon display cases were curated from our archival and special collections including: *Bacon Sherman and Bucke: The Untold Story; 18th Century Treasures from the Music Library Special Collections; Dr. Frederick G. Banting; Holodomor: Ukrainian Famine/Genocide 1932-1933; Canada and the Two World Wars; Dr. Charles Drake; Prohibition in London;* and the French Department's *50th Anniversary: Language, Literature and Linguistics.* And, similarly our materials went on exhibition in the broader community, examples include the Middlesex Centre and City of London Heritage Fairs, the annual Ting Comic and Graphic Arts Festival, and the exhibition of Shakespeare's "Fourth Folio" at the 2017 London Words Festival.

Research

Western Libraries is contributing to the advancement of research excellence by fostering new modes of scholarly communication; stewarding research collections; through statistical and geo-spatial data services and collections; and by providing research skills workshops and research consultations, including literature searches and systematic reviews, research data management, and research metrics analysis. Our librarians and archivists conducted 532 advanced research consultations over 2017/18. They also provided 117 research workshops and instructional sessions for graduate students, post-docs and faculty.

Scholarship@Western, our open access institutional repository, supports the dissemination and discovery of Western's scholarly output including online journals, scholarly papers, and electronic theses and dissertations. It continues to expand in both content and impact. In 2017/18, we have selectively rolled out full-service assistance in depositing papers, articles, and other research materials to make it easier to comply with the Tri-agency Open Access Policy. Other quality control measures relating to the accuracy of metadata, copyright checking, accessibility requirements, and locating perma-links have been built into the service.

This year, we began investigating the feasibility of moving to a new repository platform. Elsevier acquired Bepress, the company that produces our current platform Digital Commons. Some users raised concerns about Elsevier's commitment to open access and potential implications for content ownership, as well as, the likelihood of substantial increases in costs based on their aggressive commercial practices.

Part of this investigation has borne fruit for our Journal Publishing services, and we have migrated many of Western Libraries hosted journals over to Open Journal Systems, an open source system developed by the Public Knowledge Project and hosted by the Ontario Council of University Libraries. However, while we are actively exploring new repository services, and are preparing to run a pilot with Ubiquity Press, given the complexities and interdependencies between the repository, the school of graduate studies, and other Western stakeholders we have not yet determined when any such move will be possible.

Research Data Management (RDM) continues to be important to researchers, and is becoming increasingly salient to Canadian research funding bodies. With Potential RDM requirements on the horizon, Western Libraries, in partnership with Research Western, ran a RDM requirements survey, with the aim of assessing the RDM needs of our various Faculties. While response rates were low, we were able to identify some broad trends across the Faculties, most notably that there is a desire for Western Libraries to assist in research data management activities.

Similarly, a qualitative research project titled "Libraries as the Commons of the University: Identifying and Engaging Faculty Needs to Support New and Impactful Research and Publishing," focusing on how an academic library can best meet researcher needs is currently ongoing. Please contact Bobby Glushko if you wish to participate. These two studies will inform the work of the new Research and Scholarly Communications functional team as they set their priorities and begin working in the new organizational structure.

In response to the findings of the first survey, we have developed and run several workshops on various RDM tools and platforms, including ODESI, Scholars Portal Dataverse and Portage. While we recognize there is no one size fits all for RDM, and the problem is not scalable for us to offer a hands on solution to every researcher, we have developed and are continuing to develop RDM resources such as web tutorials, libguides, and other materials to help support researcher needs. Additionally, in support of this, Western Libraries has presented, and is available to present, at the Faculty or departmental level, on services to support the RDM needs of our communities.

Scholarship @Western

2185 ITEMS ADDED 2017-18

19,635 TOTAL ITEMS

1.3M DOWNLOADS 2017-18

›5.5M TOTAL DOWNLOADS

Looking Ahead

There is a lot on the horizon for Western Libraries in 2018/19. We will continue to implement the Western Libraries 2015-2020 Strategic Plan, along with the new organizational model and structure to align our organization with academic priorities and user-centred functions, we will engage an architectural firm to plan the Weldon Library renovation as imagined in the Space Master Plan, and continue the acquisitions and serials review and cost management processes. Our librarians, archivists, and staff will continue to contribute to teaching, learning and research through information literacy, community engagement, service excellence and, development and management of research, special and archival collections, and the provision of research services and consultations.

With the new organizational model in place, we're excited to see what we can accomplish together in 2018/19.

Western
Libraries

Western University
The Working Group on Information Security (WGIS)
2017 Annual Report

WGIS is a multi-disciplinary team representing a broad cross-section of the University community. The primary role of WGIS is to pursue proactive strategies to manage security risks to our information and the information systems that safeguard them – and to provide advice to WTS on implementing cyber security initiatives.

Oversight over a number of information security related initiatives is provided by WGIS, including observance of Cyber-Awareness month in October, risk assessments of Western's Faculties/Departments/Support Units, raising awareness about Western's data classification policy, and review of and recommendations regarding cyber-security incidents.

WTS, with advice from WGIS, continued a number of ongoing initiatives including Multi-Factor Authentication (MFA), self-phishing initiatives, password management practices, and expansion of use of the Security Incident & Event Management (SIEM) system.

In 2018, WGIS will continue to focus on systematically reviewing cyber security risks within the campus environment.

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Summary of Activities

1. Risk Assessment

WGIS uses a Risk Management Framework from the National Institute of Standards and Technology (NIST) to identify the greatest threats to Western's information security environment. The following improvements were identified:

- Need for a consistent approach to securing information shared within the University community.
- Requirement for formal information security programs and awareness within Faculties and Support Units – to build on existing unit-specific ad-hoc procedures that are better suited for traditional media than digital information.
- Need for an institutional cyber-security framework and strategy.

During 2018, WGIS will address a number of these information threats through activities that are described in this report, continue to discuss information security risks with departments, advancing the risk assessment interviews and monitoring upcoming trends.

In 2017, risk assessment interviews were conducted for 11 units as follows:

1. Student Health Services
2. Research and Development Services
3. Faculty of Science
4. McIntosh Gallery
5. Faculty of Health Sciences
6. Western Libraries
7. Western International
8. University Students' Council
9. Faculty of Law
10. School of Graduate and Post-Doctoral Studies
11. Richard Ivey School of Business

These interviews are a necessary step in the risk assessment process to identify critical information systems. This process will result in the development of an institutional inventory of critical information systems that exist across the campus.

In 2018, we plan to conduct interviews with the following units:

1. Housing and Ancillary Services
2. Faculty of Information and Media Studies
3. Faculty of Engineering
4. Faculty of Social Science
5. Office of the Registrar
6. Student Experience
7. Brescia University College
8. Huron University College
9. King's University College
10. Windermere Manor
11. Faculty Association
12. Book Store

2. Policies, Procedures, and Best Practices

Security Policy Review (Data Classification Standards)

Final approval from University's governance was received in 2017 and the introduction of the new MAPP 1.13 was communicated by way of broadcast updates through Web, mass email, targeted information presentations, and updates to key groups across campus.

This new MAPP 1.13 Computing, Technology, and Information Resources policy achieves the following:

- Consolidation of the previous MAPP Policies; 1.13 (Code of Conduct), 1.20 (Computing Resources Security), 1.21 (Wireless Networking), and 1.45 (Email) into a more cohesive and accessible format.
- Formally incorporates Data Classification Standards into Western's IT Policy framework as part of our ongoing shift toward an information (rather than technology) oriented cyber security strategy.
- Positions the University to be more agile with implementation of detailed procedures (supplemental to this overarching Policy) that may arise due to new or emergent technologies.

3. Cyber Protection

Information Security Awareness – CyberSmart

In 2017, the CyberSmart Committee continued to focus on how we can raise awareness within the Western community on the importance of information security.   The CyberSmart committee worked on two initiatives:

- The CyberSmart Committee began work on an online Information Security awareness training course. The plan is to have this awareness course available through OWL and to make it mandatory for all faculty and staff at Western with requirement to complete (i.e. renew) every 3 years. To-date, we have consulted with the Teaching Support Centre on best practices for delivering an online course, discussed ideas for using media to deliver the course via OWL, brainstormed course topics, and began to compile content for some of the topics. The next year will focus on finalizing the course materials, working to develop the course, and working with Human Resources to include the training in their suite of online training modules. This will be a key element to Western's overall Cyber Security strategy.

- Awareness-raising Campaign. On October 30, 2017, WTS and the CyberSmart Committee ran a Halloween-themed information booth in the UCC where we engaged with students, faculty, and staff. Visitors to the booth were encouraged to "Spin to Win" to find out if they were cyber smart and to win candy or another prize (see below for an image of the Spin to Win wheel). Each prize had a cyber security message attached to it (see below). Along with the booth, paper and Visix cyber awareness posters were posted around campus and information was shared via newspaper articles and social media posts.

Cyber Security Spin to Win Wheel

Cyber Security Prize Message 1

Cyber Security Prize Message 2

Cyber Security Prize Message 3

Cyber Security Prize Message 4

Security Incident Event Management Tool (SIEM)

For the last few years, Western has employed a SIEM tool which combines real-time analysis of security alerts generated by network hardware and applications with security event management. As our expertise with the tool has grown, additional data sources have been included – thus increasing the capability of the SIEM. Additional investment was made to accommodate this increase in capacity and performance. This tool has introduced a tremendous capability to track and proactively manage security and event information.

Use of this tool has improved our understanding of phishing attacks and it assists in identifying members of Western's community who have fallen victim to spam/phishing. It also provides greater insight into the environment through the development of various security related statistics such as:

Average Number of Phishing Victims / day – **8.4**
Average Number of Machines Locked (for security reasons) / month – **6.75**

Multi-Factor Authentication (MFA)

The MFA initiative started in 2017 with purchase of a license for a product called "DUO" and now extends the MFA solution into our PeopleSoft systems (Human Resources, Finance, and Student systems) by licensing for a product called "ERP Firewall" for all faculty and staff. The DUO solution was implemented in WTS for access to Western ROAMS (an application that provides secure access to our network from off campus) and to other key WTS servers.
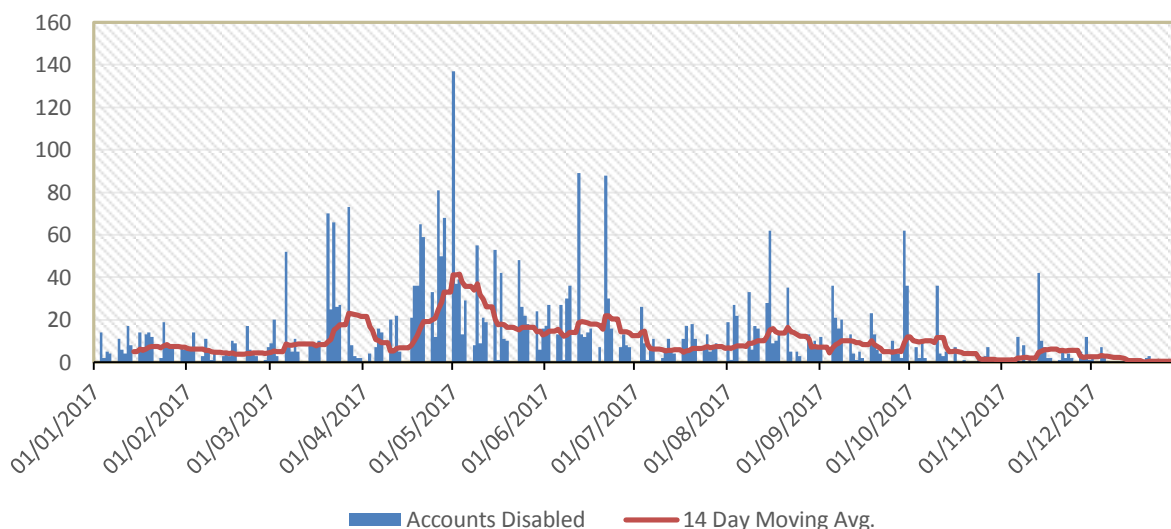
A prototype for deployment of MFA within PeopleSoft systems was also completed. The prototype demonstrated that Western could enable various levels of MFA in those systems. MFA could be required for only selective high-risk circumstances (e.g. changing your payroll bank account) or for every login to the HR system based on user level of access or dependent on where the user is located.   During 2018, MFA (DUO and ERP Firewall) will be deployed in PeopleSoft HR and Finance. A strategy and change management plan is being developed to deploy first to those with elevated system access, then to other PeopleSoft users of self-service option. In addition, a complete strategy for deployment of MFA at Western will be developed.

Ongoing "Phishing" Attack Mitigation Efforts

A series of activities to mitigate the effect of Phishing on our community were undertaken in 2017.

- Implementation of a self-phishing process to test responses to phishing attacks. Batches of 500 emails were sent out. Typical response rates were as follows: 36% of recipients opened the email, 10% actually clicked on link, 6.2% of recipients provided their userid/password and would have had accounts compromised if these were actual Phishing emails. This indicates more work around phishing awareness needs to be done.

- Reducing the number of aged passwords process started in January 2017 to get passwords older than 5 years changed which included 8683 accounts. Weekly, we are currently reaching out to holders of oldest passwords (100 users per week) to assist with and force (if necessary) password changes. At end of 2017, about 2500 individuals received notification to change their password.

- The Multi-Factor Authentication (MFA) initiative was piloted in 2017 as mentioned above – though it will not actually mitigate phishing on larger scale until further deployment in 2018.

Daily Disabled Accounts - 2017

Email and SPAM Management

The migration to Microsoft Office 365 (O365) has significantly improved Western's email capabilities. We are pleased to report that the move of Western's online Exchange environment to Canadian Data Centres was completed on Dec 12, 2017. Mail for staff, students, and faculty already in Office 365 is now in Canada. In early 2018, we will be in a position to begin the process of moving faculty who deferred their mail migration to Office 365. We will also look to replace List Guardian, our mailing list management application – in order to improve our ability to better manage SPAM generated through email lists.

Phishing via email continues to be the most prominent attack vector against our credentials. As stated in the SIEM section, the tool detects an average of 8.4 accounts per day as being compromised. The SIEM can assist in electronically detecting compromise of account before a user is aware that their account has been compromised.

Western uses several techniques to detect and block approximately 95% of incoming messages identified as spam. This equates to tens of millions of message per month. Robust spam management minimizes the phishing threat because it prevents high risk emails from being delivered to an inbox where it has the potential to be acted upon.

Unauthorized access to individual's credentials allows perpetrators to gain access to Western's resources like Library on-line journals, provides a venue to conduct fraud through the Human Resources system, etc. Due to these serious consequences, it is critical that we address this risk through technical and non-technical (i.e. CyberSmart campaign) mechanisms.

Financial Information Protection: Payment Card Industry (PCI) Compliance

Several WGIS members are actively involved with PCI compliance through the Western Bank Card Committee. Because of this engagement, WGIS remains informed of new developments and security practices in the payment card industry. Emerging payment technologies, new e-commerce solutions on campus, and a changing payment card security standard require that Western's payment card environment be reviewed regularly to determine the implications to Western's PCI status.

In 2017, Western achieved Level 1 compliance under version 3.2 of the Payment Card Industry Data Security Standards (PCI DSS). This was the second successful validation of compliance for Western, the first being in 2010. Western is one of two Canadian universities to attest, at the highest level, compliance with these stringent standards.

In 2018, the Bank Card Committee will continue to ensure Western remains PCI compliant, review processes associated with the Western ONE card, and review the Bank Card Policy.

4. Incident Response & Investigations

In 2017, the University was attacked on average 778,000 times per day as measured by the firewall.   Generally, Western experienced a decrease in the overall number of security incidents it managed from 30 in 2016 to 24 in 2017.   Of these, the following were assessed as serious:

- There were instances of low level identity theft where compromised Western identities were used to propagate targeted phishing or contact media outlets.
- Western's video-conferencing infrastructure was compromised – resulting in theft of long distance services.
- Western's network experienced a number of low impact service outages and Western was attacked by Distributed Denial of Service Attacks – all of which had minor operational impact.
- There were a few breaches of physical security where key-loggers (devices that capture keyboard activity) were placed in classroom computers.   Generally, these key-loggers were identified quickly by WTS's classroom management group but the trend is worrisome.

5. 2018 Plans

WGIS will focus on the following initiatives in 2018.

- Primary initiative going forward in 2018 is the creation of a Cyber Security Strategy for Western.   This will start with engagement of external resources to assist in the assessment of the current state and creation of a plan to implement the new strategy.   Included in this will be a review of current cyber insurance coverage and creation of a security incident response framework.

- Building on the MFA initiative which started in 2017, we will be deploying "ERP Firewall" in the PeopleSoft Human Resource and Finance systems in 2018. Early deployment will target those users with elevated system access and then to other users of self-service options.   Concurrently, a complete MFA strategy for deployment at Western will be developed – by prioritizing the services for deployment.

- Risk Assessment and Data Classification in the Faculties and Support Units will continue.   In 2017, we completed 11 units and plan to complete another 12 in 2018 – which will allow for completion of the initial assessments with all units in 2019.   We will continue to look for opportunities to accelerate the process.   Discussion includes security priorities and providing advice on best way to protect the critical information housed in the units and identification of "Crown Jewel Assets".

- WGIS will conclude the review/discussion of its role to ensure it remains able to provide critical advice and perspective to WTS on issues of information security. Growing sophistication and evolution of the cyber threat combined with the

distributed nature of Western's operations make security of information extremely challenging.   We must leverage the skills and knowledge of WGIS members and their familiarity with the operating issues in their respective units.

- Continued improvements to Cyber Security education and awareness.   These improvement activities will include implementation of a mandatory cyber security training program for the members of our community building on the initiative which began in 2017 in the CyberSmart Committee.

Appendix A – Current WGIS Members (as of end of 2017)

Name	Faculty/Department
Glen Tigert (Chair)	University Registrar
Erica Basile	Research Ethics
Rob Brennan	Western Technology Services
James Ciesla	Schulich School of Medicine & Dentistry
Jim Duncan	Housing and Ancillary Services
Paul Eluchok	General Counsel, Privacy Officer
Aleks Essex	Faculty of Engineering
Sharon Farnell	Internal Audit
Jeff Gardiner	Western Technology Services
Dave Ghantous	Western Technology Services
Ed Gibson	Western Technology Services
Lisa Latif	Office of Registrar
Scott May	Communications and Public Affairs
Geoff Pimlatt	University Students' Council
Chris Wedlake	Robarts Research Institute
Dan Redmond	Campus Community Police Service
Julie Whitehead	Faculty of Health Sciences
Ed Zuidema (Scribe)	Western Technology Services

Western

Equity and Human Rights Services

TO:	Faculty Relations
FROM:	Equity & Human Rights Services
DATE:	May 17, 2018
SUBJECT:	*Reports on Promotion and/or Tenure – 2017-2018*

Attached you will find reports summarizing the information requested on the designated group status of those individuals considered for Promotion and/or Tenure under the Collective Agreements for 2017/2018.

As in previous years, the data is provided with the following notes:

- The information related to the designated groups – with the exception of gender – was provided by Equity & Human Rights Services (EHRS).
- The information provided by EHRS is in aggregate form only and was drawn from the employment equity database.
- All information in the database is obtained through self-identification surveys sent to employees; therefore, information is only available for those individuals who have completed surveys.
- Where the information is unknown, it is considered to be a "no" response (i.e. not a member of designated group).
- For reasons of confidentiality, the information provided by EHRS is suppressed in cases where there are fewer than 5 individuals in the group considered for Promotion and/or Tenure and/or where deemed necessary by EHRS.

2017-18 REPORT ON PROMOTION AND/OR TENURE CASES CONSIDERED UNDER THE FACULTY COLLECTIVE AGREEMENT

(as required under Clause 21 in the Article *Promotion and Tenure*)

Total cases considered for Promotion and/or Tenure

Male	38						
Female	25						
Aboriginal	0						
Visible Minority	12						
Person with Disability	3						

Probationary Assistant Professors considered for Promotion and Tenure

	Process initiated by Dean in the last year - Clause 15.1	Process initiated by Dean in any year before the last year - Clause 15.3	Process initiated by Member by March 1 of 3rd year for consideration in the 4th year - Clause 15.4	Positive Committee recommendation - Clause 17	Negative Committee recommendation - Clause 17	Positive Provost decision - Clause 18	Negative Provost decision - Clause 18.3
Male	10	9	1	18	2	18	2
Female	9	4	0	13	0	13	0
Aboriginal	0	0	s	0	0	0	0
Visible Minority	2	1	s	2	1	2	1
Person with Disability	0	0	s	0	0	0	0

Probationary Associate Professor considered for Promotion or Granting of Tenure

	Process initiated by the Dean in the last year of the appointment - Clause 15.2	Process initiated by Dean in any year before the last year - Clause 15.3		Positive Committee recommendation - Clause 17	Negative Committee recommendation - Clause 17	Positive Provost decision - Clause 18	Negative Provost decision - Clause 18.3
Male	1	0		1	0	1	0
Female	0	1		1	0	1	0
Aboriginal	s	s		s	s	s	s
Visible Minority	s	s		s	s	s	s
Person with Disability	s	s		s	s	s	s

Tenured Associate Professors considered for Promotion

	Process initiated by Dean - Clause 15.5	Process initiated by Member no earlier than three years after promotion to Associate Professor - Clause 15.6		Positive Committee recommendation - Clause 17	Negative Committee recommendation - Clause 17	Positive Provost decision - Clause 18	Negative Provost decision - Clause 18.3
Male	12	3		15	0	15	0
Female	6	3		9	0	9	0
Aboriginal	0	0		0	0	0	0
Visible Minority	5	1		6	0	6	0
Person with Disability	1	2		3	0	3	0

Limited-Term Assistant and Associate Professors Considered for Promotion

	Process initiated by Dean - Clause 15.5.1	Process initiated by Member - Clause 15.4.2	Process initiated by Member - Clause 15.6.1	Positive Committee recommendation - Clause 17	Negative Committee recommendation - Clause 17	Positive Provost decision - Clause 18	Negative Provost decision - Clause 18.3
Male	1	1		2	0	2	0
Female	0	2		2	0	2	0
Aboriginal	s	s		s	s	s	s
Visible Minority	s	s		s	s	s	s
Person with Disability	s	s		s	s	s	s

Total cases considered for Promotion and/or Tenure	63

The information related to the designated groups - with the exception of gender - was provided by Equity & Human Rights Services. This information was provided, in aggregate form only, from the Employment Equity database. All information in this database is obtained through the self-identification surveys sent to employees. Therefore, information about membership in a designated group is only available for individuals who completed the equity survey. Those who have not completed a survey and who were considered for tenure and/or promotion are counted as not being members of a designated group. For reasons of confidentiality, with the exception of gender, equity data is suppressed (s) in cases where there were fewer than 5 individuals considered in a group (i.e. under a given Clause). The equity data for the total cases considered has not been suppressed.

2008-2018 REPORT ON PROMOTION AND CONTINUING APPOINTMENT CASES CONSIDERED UNDER THE LIBRARIANS AND ARCHIVISTS COLLECTIVE AGREEMENT

(as required under the Article *Promotion and Continuing Appointment*)

Total cases considered Promotion or Continuing Appointment

Male	6
Female	18
Aboriginal	0
Visible Minority	2
Person with Disability	1

Probationary Appointees and/or Members holding Continuing Appointments considered for Promotion

	Process initiated by Vice Provost and Chief Librarian or Dean in final six months of probationary period	Process initiated by the Vice Provost and Chief Librarian or Dean	Process initiated by Member	Positive Committee recommendation	Negative Committee recommendation	Positive Provost recommendation	Negative Provost recommendation
Male	0	2	0	2	0	2	0
Female	3	0	2	5	0	5	0
Aboriginal	s	s	s	s	s	s	s
Visible Minority	s	s	s	s	s	s	s
Person with Disability	s	s	s	s	s	s	s

Probationary Appointees considered for Continuing Appointment

	Process initiated by Vice Provost and Chief Librarian or Dean within the first month of the last year of the Member's probationary period at the General Rank	Process initiated by Vice Provost and Chief Librarian or Dean in final six months of probationary period **combined with** Process initiated by Member	Process initiated by Vice Provost and Chief Librarian or Dean at any time prior to final six months of probationary period	Positive Committee recommendation	Negative Committee recommendation	Positive Provost recommendation	Negative Provost recommendation
Male	0	4	0	4	0	4	0
Female	1	10	2	13	0	13	0
Aboriginal	s	0	s	0	0	0	0
Visible Minority	s	1	s	1	0	1	0
Person with Disability	s	1	s	1	0	1	0

Total cases considered for Promotion and Continuing Appointment	24

The information related to the designated groups - with the exception of gender - was provided by Equity & Human Rights Services. This information was provided, in aggregate form only, from the Employment Equity Database. All information in this database is obtained through the self-identification surveys sent to employees. Therefore, information about membership in a designated group is only available for individuals who completed and returned the surveys. Those who have not completed a survey and who were considered for tenure and/or continuing appointment are counted as not being members of a designated group. For reasons of confidentiality data is suppressed (s) in cases where there were less than 5 individuals considered in a group and/or where deemed necessary by EHRS . Please note that Clause numbers have been removed from this report, as they have varied across the Collective Agreements (i.e. between 2008-2018). The equity data for the total cases considered has not been suppressed.

Report to Senate of the Academic Colleague, Council of Ontario Universities

Erika Chamberlain, May 2018

<u>FOR INFORMATION</u>

There was a meeting of the COU Academic Colleagues and Full Council on 11-12 April at the University of Windsor. The following agenda items may be of particular interest to Senators.

<u>Sexual Violence</u>: the COU will prepare a sector-wide response and framework following the release of the provincial "Student Voices on Sexual Violence" survey. It is anticipated that the survey will reveal relatively high levels of sexual violence at universities, given the broad definitions that the survey used. The COU will argue that sexual violence is a serious social problem, and is not unique to university campuses. This means that a broader societal response (eg in secondary schools, the healthcare sector, law, and media) will be required. However, the COU recognizes that the media and general public are unlikely to interpret the survey results in a nuanced way.

<u>Fair Workplaces Act</u>: the province allocated $125 million to Colleges to help defray the extra costs associated with the *Fair Workplaces Act*, but did not allocate anything to Universities.

<u>International PhD Tuition</u>: the recent move to reduce international PhD tuition to domestic levels at some Ontario universities has undermined the COU's historical position on this issue. The COU had previously argued that the higher tuition levels reflect (a) lower government funding for these students, and (b) their increased needs for services like housing, language training, and career support.

<u>Provincial Election</u>: there was considerable discussion (formal and informal) regarding the likely impact of the upcoming provincial election. Several university presidents suggested that the SMAs may serve as good "protection" for the sector in the event of a Conservative victory, in that they show that we have already agreed to be held accountable and already have metrics in place. At the same time, there was some anxiety about how those metrics might be used by a future government.