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

1:00 p.m., Thursday, June 27, 2019
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 25, 2019

4. Business Arising from the Minutes

5. Reports of Committees:
   - Property & Finance Committee – Appendix II (Keith Gibbons)
   - Governance & By-Laws Committee – Appendix III (Rick Konrad)
   - Senior Policy & Operations Committee – Appendix IV (Paul Jenkins)
   - Audit Committee – Appendix V (Susan Bennett)
   - Fund Raising and Donor Relations – Appendix VI (Kelly Cole)

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

7. Questions from Members

8. Other Business

9. Adjournment to Confidential Session

Meetings of the Western Board of Governors begin at 1:00 p.m. will normally terminate by 4:30 p.m. unless extended by a majority vote of those present.
### SUMMARY OF AGENDA ITEMS – JUNE 27, 2019 - OPEN SESSION

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<tbody>
<tr>
<td>Adoption of Agenda</td>
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<tr>
<td>Report of the President</td>
<td>INFORMATION</td>
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<tr>
<td>Unanimous Consent Agenda – Appendix I</td>
<td>ACTION</td>
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<tr>
<td>Minutes of the Meeting of April 25, 2019 – Open Session</td>
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#### Report of the Property & Finance Committee – Appendix II

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<td>MAPP 1.25 – Lease of University Facilities for Long-Term Use</td>
<td>ACTION</td>
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<td>MAPP 1.10 – Election Posters and Signs</td>
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<td>MAPP 1.50 – Signage</td>
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<td>MAPP 2.12 Acquisition of Investment Services – Revisions to Policy</td>
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<td>MAPP X.XX – Major Strategic Opportunities Fund Policy</td>
<td>ACTION</td>
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<td>MAPP 2.26 Statement of Investment Objectives, Policies and Governance</td>
<td>ACTION</td>
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<tr>
<td>New Tuition Fee Proposal for 2019-20 Medicine (MD) Program</td>
<td>ACTION</td>
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<td>Revised Tuition Fee Recommendations for 2019-20 Part-Time JD Program</td>
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<td>Ancillary Financial Report</td>
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<td>Quarterly Ratio-Report on Non-Endowed Funds</td>
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<tr>
<td>Quarterly Report – 2018-10 Operating Budget Update as at April 30, 2019</td>
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#### Report of the Governance and By-Laws Committee – Appendix III

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<th>Statement on Equity, Diversity and Inclusion</th>
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<tr>
<td>Revisions to By-Law No. 1 and the Principles of Engagement for Members of the Board of Governors, and approval of the new Process for Dealing with a Breach of the Principles of Engagement for Members of the Board of Governors</td>
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#### Senior Policy & Operations Committee – Appendix IV

| Membership of the University Discipline Appeals Committee | INFORMATION |

#### Report of the Audit Committee – Appendix V

| 2018 Annual Report: Campus Community Policy Service | INFORMATION |

#### Fund Raising and Donor Relations – Appendix VI

| Fund Raising Activity Quarterly Report to April 30, 2019 | INFORMATION |
**Items Referred by Senate – Appendix VII**

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<td>Renewal of the Affiliation Agreement between the University of Western Ontario and Brescia University College, Huron University College, and King’s University College</td>
<td>ACTION</td>
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<tr>
<td>Approval of the Institute for Earth and Space Exploration</td>
<td>ACTION</td>
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<tr>
<td>John M. Thompson Centre for Engineering Leadership and Innovation</td>
<td>ACTION</td>
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<tr>
<td>Faculty of Arts and Humanities – Proposed Name Change: “Department of Modern Languages and Literatures” to “Department of Languages and Cultures”</td>
<td>ACTION</td>
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<tr>
<td>Faculty of Social Science – Proposed Name Change: “First Nations Studies” Program to “Indigenous Studies” Program</td>
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<td>Report on Promotion and/or Tenure – Faculty of 2018-2019 and LA 2008-2019</td>
<td>INFORMATION</td>
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<td>Report of the Academic Colleague</td>
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Questions from Members
For the June 27, 2019, Board of Governors meeting, I’m pleased to provide the following update on important developments since the last meeting of the Board on April 25, 2019, for which my written report was submitted on April 18, 2019.

**Provincial cabinet shuffle:** Earlier today (June 20), Ontario Premier Doug Ford announced a cabinet shuffle that includes the appointment of Ross Romano as the new Minister of Training, Colleges & Universities, replacing former Minister Merrilee Fullerton, who was named the new Minister of Long-term Care. A lawyer by profession, Mr. Romano served as a member of Sault Ste. Marie’s municipal council before being elected MPP for Sault Ste. Marie in a by-election held in June 2017. As a member of the provincial caucus, Ross has played several key roles, including member of the Standing Committee on Justice Policy, Parliamentary Assistant to the Minister of Indigenous Affairs, and Parliamentary Assistant to the Minister of Energy, Northern Development and Mines. Among the other cabinet changes made this morning with regional and/or Western connections: Law alumna Christine Elliott (MPP for Newmarket-Aurora) appointed to the newly named Ministry of Health and continuing as Deputy Premier; Political Science & English alumnus Rod Phillips (MPP for Ajax) named Minister of Finance; Political Science alumnus and former USC President, Stephen Lecce (MPP for King-Vaughan) named Minister of Education; Jeff Yurek (MPP for Elgin-Middlesex-London) named Minister of Environment, and; Ivey executive education graduate Monte McNaughton (MPP for Lambton-Kent-Middlesex) named Minister of Labour.

**Hasenfratz named Western’s 23rd Chancellor:** On May 23, I was delighted to announce that Western alumna Linda Hasenfratz will serve as the University’s 23rd Chancellor. As CEO of Linamar Corporation, Linda will bring a wealth of international experience and a dynamic, energetic style of leadership that will benefit Western when she is officially installed during convocation ceremonies in October. Among her many achievements, Linda is a member of the Canadian Business Hall of Fame and is widely recognized.../2
for her contributions to Canadian business and for her commitments to the community. Here at Western, in addition to serving as a member of the Ivey Business School’s Advisory Board, Linda has played a key role in encouraging more women to enter the fields of engineering and business through her personal engagement and philanthropy. As I stated in the official announcement of her appointment, I believe Linda exemplifies the type of graduates Western prepares for the world, and we are looking forward to the leadership she will bring to our institution in her new role. As Chancellor, she will succeed Jack Cowin, whose term as Chancellor concludes June 28. As a proud Western graduate and a passionate supporter of Western, Jack has been an extraordinary friend to his alma mater throughout his career, and we look forward to formally celebrating his term as Chancellor during our spring convocation.

**Western leadership update:** On April 30, I announced that Dr. Sarah Prichard has been appointed as Western’s Acting Vice-President (Research), on the advice of President-Elect Alan Shepard, commencing July 1. While Dr. Prichard will not stand as a candidate for the next mandate of the VPR when John Capone’s term concludes June 30, she will be working hard during the interim period to promote and support research activities on campus while the search for the next VPR is led by incoming President Shepard. Sarah brings to her new role many years of senior experience as an academic leader, researcher, research champion and administrator. She built a successful career as clinician-scientist and academic administrator at McGill University’s Faculty of Medicine and McGill University Hospital Centre (MUHC). She currently serves as the Vice Chair of the board of governors of MUHC which is home to 12,000 staff, 1400 clinicians, 1700 researchers and more than 2000 residents and medical students. Over the course of her career as a prize-winning teacher, researcher and academic clinician-scientist, she rose to the rank of Professor of Medicine and Associate Dean of Medicine. More importantly to her interim role at Western, Sarah will bring a wealth of experience across multiple jurisdictions and sectors in the organizing and leadership of research on a large scale.

In early May, four senior administrative colleagues announced their plans to step down from their respective roles, including: Vice-Provost & Associate Vice-President (International) Julie McMullin, who has been appointed Vice-President (Academic) & Provost at Mount Saint Vincent University in Halifax, starting August 1; effective May 17, Director of Finance & Administration (Research) Patrick Callaghan will depart Western for a new role as Assistant Vice-Chancellor, Finance & Operations at the Scripps Institution of Oceanography at the University of California, San Diego, and; Associate Vice-Presidents (Research) Juan-Luis Suárez and Mark Daley have chosen to step down from their respective administrative roles on July 1 to return to and focus on their research.

On May 17, Ken Coley was named Dean of the Faculty of Engineering for a five-year term beginning July 1. Professor Coley comes to Western following a successful career as an academic and administrative leader at McMaster University where he has played several senior roles since joining their Department of Materials Science & Engineering in 1996. Currently, Ken is the Associate Dean (Academic) for the
Faculty of Engineering as well as the Director of the McMaster Steel Research Centre. Previous senior roles he has played at McMaster include Chair of the Department of Materials Science & Engineering (2005-09), Director of the Engineering & Management Program (2003-05), and Acting Associate Dean of Graduate Studies (2001). Prior to joining McMaster, Ken was the British Steel Lecturer in the Department of Metallurgy & Engineering Materials at the University of Strathclyde (1989-96) and a Scientific Officer at the UK’s National Physical Laboratory (1986-89). Ken holds a BSc in Metallurgy from the University of Strathclyde (Glasgow, UK) and a PhD in Extractive Metallurgy from Imperial College of Science & Technology, London, where he also conducted postgraduate research.

On May 29, Paul Paolatto was named interim Director of Finance and Administration at Research Western, effective June 1. Paul will assume duties held prior by Patrick Callahan, whose departure is mentioned previously in this report. Paul will continue in his current role as Executive Director, Western Research Parks and CEO of the ADEISS Centre, in addition to these new duties. Searches will be launched in due course for a permanent Director of Finance and Administration and for a new Executive Director of Research Western.

On June 4, Jim Weese was appointed to two roles that will advance Western’s mission in the realms of internationalization and leadership development. First, Jim will take on the role of Acting Vice-Provost & Associate Vice-President (International), effective July 1, 2019 through June 30, 2020. He will fill the vacancy created when Julie McMullin departs Western, as previously mentioned in my report. Jim effectively served in this role during the 2017/18 academic year when Julie was on study leave. Second, Jim has agreed to take on a new role as the Executive Director of the Western Leader Academy — a key component of Western’s broader “Excellence in Leadership” initiative which has been designed to help current and aspiring academic and administrative leaders excel in their roles. In this capacity, and in collaboration with Human Resources and other sources of expertise across campus, Jim will draw upon his academic background and extensive experience as a senior academic leader to assist colleagues in developing their skills related to leading people and teams, programs and services, and leading innovation and change.

On June 5, Kevin Shoemaker was named as interim Associate Vice-President (Research) for a one-year term starting July 1. Kevin is a Professor in the Department of Kinesiology and currently serves as the Associate Dean, Research in the Faculty of Health Sciences, and Director for the Brain and Heart Health and Neurovascular Research Laboratory. He holds a Tier 1 Canada Research Chair in Integrative Physiology of Exercised and Health, and is a Distinguished University Professor. Kevin has an outstanding academic and scholarly record, and is the recipient of numerous awards for teaching excellence, service, and for his significant research accomplishments. An internationally recognized expert and leader in exercise physiology and health, Kevin leads a broad, multidisciplinary and highly
productive research program that has been continuously funded through CIHR, NSERC, and numerous other external agencies and organizations. His administrative contributions to the Department, Faculty and University, and service to his national and international scholarly community, have been extensive and exemplary. Kevin will play an important role in helping to maintain continuity and momentum in the research portfolio at Western during the senior leadership transition period of the Acting VPR and selection of a new Vice-President Research.

Meanwhile, the work of the selection committee for the next Dean of the Schulich School of Medicine & Dentistry remains underway. As well, the work of new leadership review committees for the Vice-Provost (Academic Planning, Policy & Faculty) and the Dean of Social Science are also now underway. Looking ahead, selection committees to recruit the next Vice-President (Research), next Associate Vice-President (Research), and the next Vice-Provost & Associate Vice-President (International) will soon be struck or have already begun their work.
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**

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<tr>
<td>1.</td>
<td>Open Session Minutes of the April 25, 2019</td>
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**Report of the Property & Finance Committee – Appendix II**

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**Report of the Senior Policy & Operations Committee – Appendix IV**

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

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**Fund Raising and Donor Relations – Appendix VI**

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**Items Referred by Senate – Appendix VII**

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<td>Report of the Academic Colleague</td>
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The Unanimous Consent Agenda

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 not 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.
MINUTES OF THE MEETING OF THE BOARD OF GOVERNORS

APRIL 25, 2019

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

PRESENT:

P. Jenkins, Chair
K. Kwan, Secretary

W. Boye
C. Burghardt-Jesson
A. Chakma
G. Dick
K. Gibbons
R. Giffin
C. Karakatsanis
D. Keddy
R. Konrad
M. Lerner
M. Robinson
C. Rorabeck
K. Mequanint
G. Parraga
B. Ross
S. Shortreed
C. Stephenson
K. Sullivan
J. Toswell
H. Usher
S. Bennett
V. Pirone
M. Robinson
J. Shapiro

By Invitation:

H. Connell, M. Ruddock

Regrets:

S. Chrominska

Land Acknowledgement

D. Keddy read the Land Acknowledgement.

BG.19-24 Chair’s Remarks

P. Jenkins welcomed everyone to the meeting, noting it was the first meeting for Dr. C. Rorabeck, the newest Board member.

BG.19-25 REPORT OF THE PRESIDENT

The President indicated he had no separate comments than those items already on the agenda for the meeting.

BG.19-26 UNANIMOUS CONSENT AGENDA [Appendix I]

It was moved by K. Mequanint, seconded by J. Toswell,

That the 19 items listed in Appendix 1, Unanimous Consent Agenda be approved or received for information.

CARRIED
BG.19-27 Minutes from the Previous Meeting

The open session minutes of the meeting of November 29, 2018 were approved as circulated.

BG.19-28 Business Arising from the Minutes

There were no items noted as business arising from the January 24, 2019 minutes.

REPORT OF THE PROPERTY & FINANCE COMMITTEE [Appendix II]

Prior to considering the Report of the Property & Finance Committee, K. Gibbons introduced the Budget item, with the President providing comments to set the context and provide background information for the Budget's consideration.

BG.19-29 2019-20 University Operating and Capital Budgets

It was moved by K. Gibbons, seconded by R. Konrad,

That the Board of Governors approve the 2019-20 University Operating and Capital Budgets and the proposed Program Specific Fees and Other Supplemental Fees for 2019-20.

Dr. A. Hrymak presented the 2019-20 University Operating and Capital Budgets detailed in Appendix II, Annex 1. He set the planning context as outlined in the slides used in the presentation which are attached as Appendix 1. His presentation highlighted: the external context and the impact on Western’s budget; the internal budgeting parameters, particularly that the budget would need to take into account the changes on an ongoing basis, which meant that the reserve funds should not be relied upon to address funding decreases as the cuts would hit the operating budget for a number of years; the planning basis is for 2 years, to re-align operating and base spending with new revenue trajectory, which itself is likely to be constrained after the 2 year period. Dr. Hrymak noted that the budget took a balanced approach, balancing fiscal pressures with those long term initiatives that align with strategic objectives.

Dr. Hrymak noted the changes to the OSAP system, and the ancillary fees (which now have an opt-out provision), with details to be forthcoming and the full impact yet to be determined. He also reviewed recruitment and international tuition levels, projected operating revenues (total $778.2M) and the 2019-20 Operating Expenditures (total $792.2M), investments and new initiatives, and the projected operating reserve of $73.4M. An executive summary of the revenues, expenditures and the capital budget are contained in pages 1-4 of Annex 1.

Discussion about the budget included the following points/concerns:

- It was clarified that the approval sought was for only the 2019/20 budget year
- Some faculties are facing difficulties due to the high entrance averages which results in recruitment challenges
- There will be recruitment to Canada Research Chairs, with a new initiative to be announced
- The change in the status of some of the ancillary fees will mean that each of these services will need to be reviewed in light of the actual opt-out rates as to which will need additional funding support
- Transit is considered a mandatory fee

CARRIED
BG.19-30  **Student Fee-Funded Units, Ancillaries and Academic Supports**

It was moved by K. Gibbon, R. Konrad,

That the Board of Governors approve the 2019-20 budgets for Student Fee-Funded Units, Ancillaries, and Academic Units summarized in the report entitled “Student Fee-Funded Units, Ancillary Units, Academic Support Units, and Associated Companies”.

CARRIED

BG.19-31  **Student Organization Fee Proposals for 2019-20**

It was moved by K. Gibbons, seconded by R. Konrad,

That the Western Student Ancillary Fees for 2019-20 as shown in Table 2 (Full-Time Students) and Table 3 (Part-Time Students) be approved.

That the organization fees for the University Students’ Council for 2019-20 as shown in Table 5 (Full-Time Undergraduate Students) and Table 6 (Part-Time Undergraduate Students) be approved.

That the organization fees for Society of Graduate Students for 2019-20 as shown in Table 5 (Full-Time Graduate students – 3 Terms) and Table 6 (Part-Time Graduate Students) be approved.

That the organization fees for the Honors Business Administration Association for 2019-20 as shown in Table 5 – Note <c> be approved, contingent on the Property and Finance Committee receiving the Review Engagement Report and final HBAA Financial Statements no later than April 24, 2019.

That the organization fees for the Master of Business administration for 2019-20 as shown in Table 5 (Full-Time MBA and AMBA) be approved.

CARRIED

BG.19-32  **Annual Report and Recommendations of the Student Services Committee**

It was moved by S. Shortreed, seconded by D. Keddy,

That the ancillary fees collected by the University be those detailed in Annex 4, Table 1, as recommended by the Student Services Committee.

CARRIED

BG.19-33  **Revisions to MAPP 1.16: Smoking, Vaping & Tobacco Use**

It was moved by D. Keddy, seconded by W. Boye,

That the Board of Governors approve the new MAPP 1.16: Smoking, Vaping & Tobacco use policy as outlined in Annex 5.

CARRIED

J. O’Brian noted there will be a communication strategy developed to ensure visitors and members of the community are aware that the campus is smoke free as of July 1, 2019.

BG.19-34  **New MAPP Policy XX: Use of Cannabis, Alcohol and other Substances**
It was moved by C. Karakatsanis, seconded by J. Shapiro,

That the Board of Governors approve the new MAPP Policy XX: Use of Cannabis, Alcohol, and Other Substances as outlined in Annex 6.

CARRIED

**BG.19-35  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:

- Scholarships, Awards, Prizes
- Peter C. Maurice Research Fellowship in Biomedical Engineering
- Daryl T. Bean Professorship in Law and Women’s Studies
- Report of the Investment Committee
- Quarterly Ratio Report – Non-Endowed Funds
- Credit Rating Review: February 13, 2019
- 2018-19 Operating Budget Update as of January 31, 2019 (Quarterly Report)

**REPORT OF THE SENIOR POLICY & OPERATIONS COMMITTEE  [Appendix III]**

**BG.19-36  Code of Student Conduct Revisions**

It was moved by M. Lerner, seconded by G. Dick,

That the Board of Governors approve the revisions to the Code of Student Conduct, as provided in Appendix III, Annex 2.

Dr. Chakma set the context for the review of the Code of Conduct, noting that unsanctioned street parties is not unique to London and has become a serious issues at a number of Universities across North America. The draft revision of the Code would enable the University to try and address the issue provided certain conditions are met. The University’s work will be done in tandem with other stakeholders.

L. Logan provided an overview of the presentation provided as Appendix 2. Her presentation highlighted background to the issue, work of the City of London Task Force and the Committees that have been established, Western’s approach and priorities moving forward, and what the City is undertaking. L. Logan explained that over time the University has evolved its response as the issue has developed. Western is working alongside City partners and other Universities in Canada and the US who are experiencing this issue. She noted that this issue requires a culture shift, something that will take time to change.

J. Massey, Associate Vice-President (Student Experience) provided an overview of the process undertaken to review the Code. A working group was established which looked at the language used in Codes and equivalents elsewhere, and using combined best practices, draft amendments were prepared. These amendments have also been reviewed by legal counsel and an external legal opinion was obtained on Western’s changes to the Code. The proposed amendments address jurisdiction and the spirit underlying the change, providing for discretion to be exercised as to when and how the Code is applied.

Discussion about the Code included the following points/concerns:

- The current Homecoming date does not appear to be experiencing the same issues as the unsanctioned street party
• A communication strategy will need to be developed to ensure that all Students are aware of the Code and how it can be applied, including consideration would be given to having Students “sign” the Code
• “an unlawful assembly” would fall within the provisions of the Code

CARRIED

BG.19-37 Information Items Reported by the Senior Policy & Operations Committee

The Report of the Senior Policy & Operations Committee, detailed in Appendix III, contained the following items that were received for information by unanimous consent:

• Committee Appointment: C. Rorabeck to the Fund Raising and Donor Relations Committee

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

BG.19-38 Western Athletics Coaching Matching Fund

It was moved by B. Ross, seconded M. Lerner,

That the Board of Governors approve the allocation of $5,000,000 for endowment in support of the Western Athletics Coaching Matching Fund.

C. Stephenson provided an overview of the Coaching Matching Fund. During the discussion P. Jenkins queried whether the Board has sufficient oversight of Athletics and whether this might be a matter for further consideration by the Audit Committee.

CARRIED

BG.19-39 Information Items Reported by the Fund Raising and Donor Relations Committee

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

• Fund Raising Activity Quarterly Report to January 31, 2019

ITEMS REFERRED BY SENATE [Appendix V]

BG.19-40 Renewal of the Articulation Agreement between Western University, King’s University College, Huron University College and Fanshawe College Regarding the Transfer of Credit for Students in the Business-Accounting Diploma Program

It was moved by K. Mequanint, seconded by J. Toswell,

That the Board of Governors approve the Articulation Agreement between Western University, King’s University College, Huron University College and Fanshawe College regarding the transfer of credit for students in the Business-Accounting Diploma Program effective January 1, 2019, as shown in Appendix V, Annex 1.

CARRIED (Unanimous Consent)

BG.19-41 Information Items Referred by Senate
Appendix VI, Items Referred by Senate, contained the following items that were received for information by unanimous consent:

- 2019-20 University Operating and Capital Budgets
- 2019 Entrance Standards for Undergraduate First-Year Admissions
- Five-Year Enrolment Projections
- Report on Year One Class and Entering Averages
- Report of the Academic Colleague
- Academic Administrative Appointments
- Teaching Award Recipients 2018-19
- Spring Convocations 2019 – Honorary Degree Recipients

The meeting adjourned to the confidential session. (2:47pm)

________________________   ______________________
P. Jenkins               K. Kwan
Chair                   Secretary
Budget 2019-20

Board of Governors
April 25, 2019

External Context

• Provincial Government Actions to-date
  – Domestic Tuition Rolled-back 10% in 2019-20 and then held flat for 2020-21
  – Changes to Ancillary Fee System – by providing students “opt out” on some fees
  – Changes to OSAP
  – No change to Grant Funding
Impact on Western’s Budget

- Domestic Tuition Roll Back
  - Revenue loss of $43M at the end of next 2 years
  - Partially offset by Increases in Int’l Tuition
- Changes to Ancillary Fee System
  - Lower revenues for some Student Services
  - Actual impact will not be known until Fall 2019
- Changes to OSAP
  - Waiting for details from Government

Internal Planning Parameters

- Current Budget Approach Continues
  - 3% Inflationary Budget Adjustment (IBA)
  - Selective Investments through APF/SUPF
  - Funding for Strategic Priorities
  - Tuition Revenue Sharing with Faculties on Incremental Enrolments
- Additional Base Reductions Required
  - 2.5% in each of the next two years, for a total base reduction of 5% -- on top of IBA
Enrolments: The Main Driver of Operating Revenues

SUEPP-approved Enrolment Forecasts
For Budget Planning Purposes – for the next 2 years

• Undergraduate
  – First-year class of 5,250 and 5,300
  – Which includes International intake of 680 and 730
    • Based on input from Deans and academic/educational quality considerations
    • We will do our best to expand further
• Graduate
  – As per the Plans submitted by the Faculties
Average Entering Grade of Full-Time First-Year Students from Ontario High Schools

Full-Time Year 1 Undergraduate International Enrolment at Western
Before we look at the 2019-20 Operating and Capital Budgets . . .

A Quick Look at Western’s Total Funding
From a Planning Perspective . . .
Western has 4 Major Types of Funds
(2017-18 Total = $1.44 B)

- Operating: 53.3%
- Capital: 24.7%
- Research: 14.3%
- Ancillary & Other Restricted Funds: 7.7%

Important Notes regarding Fund Types

- **Total Revenues in 2017-18** – according to the University’s Combined Financial Statements – amounted to $1.25 Billion

- The amount shown in the previous slide (i.e. $1.44 Billion) is higher because the sources of monies for each of the 4 fund types include transfers from one or more of the other three fund types – i.e. monies spent in one fund type is shown as revenue in another.
The 2019-20 Operating Budget

Projected 2019-20 Operating Revenues
(Total = $778.2M)
### Our Strategic Plan Priorities

<table>
<thead>
<tr>
<th>Pillar</th>
<th>Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>RAISING OUR EXPECTATIONS: CREATE A WORLD-CLASS RESEARCH AND SCHOLARSHIP CULTURE</td>
</tr>
<tr>
<td>2</td>
<td>LEADING IN LEARNING: PROVIDE CANADA’S BEST EDUCATION FOR TOMORROW’S GLOBAL LEADERS</td>
</tr>
<tr>
<td>3</td>
<td>REACHING BEYOND CAMPUS: ENGAGE ALUMNI, COMMUNITY, INSTITUTIONAL &amp; INTERNATIONAL PARTNERS</td>
</tr>
<tr>
<td>4</td>
<td>TAKING CHARGE OF OUR DESTINY: GENERATE AND INVEST NEW RESOURCES IN SUPPORT OF EXCELLENCE</td>
</tr>
</tbody>
</table>

### Investments and New Initiatives in this Budget

<table>
<thead>
<tr>
<th>Investment / New Initiative</th>
<th>Investment</th>
<th>Strategic Plan Pillars</th>
</tr>
</thead>
<tbody>
<tr>
<td>Growing Our Endowments: The Endowed Chairs Matching Program</td>
<td>$12M One-Time</td>
<td>1, 3, 4</td>
</tr>
<tr>
<td>Long-Range Space/Capital Plan: Indigenous Spaces, Medical Facilities</td>
<td>$12M One-Time</td>
<td>1, 2</td>
</tr>
<tr>
<td>Efficiency and Innovation Fund</td>
<td>$10M One-Time</td>
<td>4</td>
</tr>
<tr>
<td>Strategic Expansion of Engineering: Multi-Year Self-Funding Plan</td>
<td>$8M One-Time &amp; $950K Base</td>
<td>1, 2, 4</td>
</tr>
<tr>
<td>Innovation &amp; Collaboration Hub in Imaging</td>
<td>$3M One-Time</td>
<td>1, 2</td>
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<tr>
<td>Postdoctoral Fellowships Program (Pilot)</td>
<td>$452K One-Time</td>
<td>1, 4</td>
</tr>
<tr>
<td>Entrepreneurship Initiatives</td>
<td>$400K Base</td>
<td>2</td>
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</tbody>
</table>
2019-20 Operating Expenditures
(Total = $792.2M)

Summary of the 2019-20 Operating Budget
(Table 2)

- **Revenue Forecast** = $778.2M
  - Decrease of 2.2%

- **Expenditure Plan** = $792.2M
  - Increase of 0.3%

- **Projected In-Year Position** = $-14.0M

- **Projected Operating Reserve** = $73.4M
### Operating Budget 2019-20: Changes from 2018-19

<table>
<thead>
<tr>
<th></th>
<th>2018-19</th>
<th>Changes</th>
<th>2019-20p</th>
</tr>
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<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>795.9</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Government Grants</td>
<td></td>
<td>-1.2</td>
<td></td>
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<tr>
<td>2. Domestic Tuition</td>
<td></td>
<td>-31.7</td>
<td></td>
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<tr>
<td>3. International Tuition -- due to volume change</td>
<td></td>
<td>5.9</td>
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<tr>
<td>4. International Tuition -- due to rate change</td>
<td></td>
<td>8.1</td>
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</tr>
<tr>
<td>5. All Other</td>
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<td>1.2</td>
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</tr>
<tr>
<td><strong>Total Changes</strong></td>
<td></td>
<td>-17.7</td>
<td>778.2</td>
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<tr>
<td><strong>Expenditures</strong></td>
<td>789.9</td>
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<tr>
<td><strong>Faculties</strong></td>
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<tr>
<td>10. IBA + 2.5% Cut</td>
<td></td>
<td>-19.1</td>
<td></td>
</tr>
<tr>
<td>11. Re-Investment including Revenue Sharing</td>
<td></td>
<td>12.7</td>
<td></td>
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<tr>
<td>12. Other -- Turnover Recovery and CRCs</td>
<td></td>
<td>-1.6</td>
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</tr>
<tr>
<td>13. Sub-Total</td>
<td></td>
<td>-8.0</td>
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<tr>
<td>14. Student Aid (tuition set-aside)</td>
<td></td>
<td>-1.7</td>
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</tr>
<tr>
<td><strong>Support Areas</strong></td>
<td></td>
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<tr>
<td>15. IBA + 2.5% Cut</td>
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<td>-5.3</td>
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</tr>
<tr>
<td>16. Re-Investment</td>
<td></td>
<td>2.3</td>
<td></td>
</tr>
<tr>
<td>17. Sub-Total</td>
<td></td>
<td>-3.0</td>
<td></td>
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<tr>
<td>18. University-wide Expenditures</td>
<td></td>
<td>3.8</td>
<td></td>
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<tr>
<td>19. One-Time Allocations</td>
<td></td>
<td>-29.1</td>
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<tr>
<td><strong>Provision for Cost Fluctuations and Budget Transition</strong></td>
<td></td>
<td>40.3</td>
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</tr>
<tr>
<td>20. <strong>Total Changes</strong></td>
<td></td>
<td>2.3</td>
<td>792.2</td>
</tr>
</tbody>
</table>

### The 2019-20 Capital Budget
Overview of the 2019-20 Capital Budget

- Supports Long-Range Space Plan   (Page 35, Table 14)
- Major Projects – underway or upcoming (Category 1)
  - Modernization of Thames Hall
  - Weldon Library Modernization
  - Biomedical Research Facility: Phase 1 of Medical School Project
  - Ivey Spencer Leadership Centre Renewal / Expansion
  - Space/Facilities for Entrepreneurship Initiatives
  - University-wide Infrastructure Projects
- Preliminary Planning underway for Category 2 Projects
  - Indigenous Spaces, Medical Facilities, Parking Structures

Overview of the 2019-20 Capital Budget

- Total Spending of $95.3M   (Table 15, line 10)
  - $24.8M for New Construction   (Table 18, line 11)
  - $20.6M for Major Renovations   (Table 18, line 19)
  - $49.9M for All Other Expenditures
    - Utilities and Infrastructure
    - Modernization of Academic Facilities
    - General Maintenance and Modernization
    - Housing and Ancillary Projects
END
Unsanctioned Street Parties

Board of Governors
April 25, 2019
Agenda:

• Background
• City Task Force
• Western’s Approach
• City of London
• Priorities
• Code of Student Conduct
A Complex history

- A small crowd has traditionally partied on Broughdale Homecoming weekend

- 2013 police estimated the crowd on Broughdale to be about 3,000

- 2015 police estimated the crowd on Broughdale to be about 10,000

- 2016 responding to police concerns, Western’s official Homecoming was moved from Oct. 1 to Oct. 22.

- 2016 Broughdale party organizers immediately rebrand their party as ‘fake homecoming’ and attract an estimated 10,000 young people

- 2018 police estimate crowd at 20,000

The University’s response continues to evolve to address the changing dynamics
Unsanctioned street parties

• Concern for the safety of our students and the community

• A complex issue fanned by social media

• This is a North American issue

• Comprehensive collaboration through Broughdale Task Force – City of London, emergency partners, the University and the University Students’ Council

• Commitment to continuous collaboration to put an end to the illegal and dangerous party on Broughdale
Pulling all the levers

- Collaboration through the *Broughdale Task Force* composed of senior leaders from:
  - City of London, London Police Services
  - London Fire Department,
  - Western administration
  - University Students’ Council (USC)

- Feb. 15/19: Leaders from police departments, city halls and universities from 7 cities met to discuss how to deal with large, illegal street parties

- Reviewing how Western University Code of Student Conduct could successfully be used in instances where students have committed serious offences off campus.

- There is NO ONE magic answer. It will take a concerted effort on the part of Western, our students and our city partners to find solutions.
Western’s Approach:

Using the following framework to tackle the complex issues:

1. **Collaboration with City and emergency partners to utilize available policy levers** - focused on curbing the activity, coordinating communication, and conveying consequences

2. **Education & Communication**: Emphasizing safety, responsibility & respect

3. **Alternative Programming** - Safe, spirited, sanctioned on-campus activity where students can celebrate being purple and proud (94% of students who purchased tickets in 2018 attended the event; 19% of attendees did not go to Broughdale at all before the event)
Working Group

- Western’s internal Working Group on Broughdale has campus-wide representation, including student leaders. Its goal is to:

  Explore all the actions Western could use to deal with Broughdale

  Research best practices in Canadian and U.S. universities to curtail these parties

  Western has invested nearly $650,000 in the past five years to provide:
    Alternative student programming
    Hire additional police and security
    Erect fencing
    Cleaning up after the crowds are gone
City of London

- By-law Enforcement – Proactive
- Revisions to Public Nuisance By-law – subject to approval in May
  - Cost recovery from landlords
  - Increased fines
- Residential Licensing By-law
Priorities Moving Forward

- **Safety – students and community**
  
  *Education and communication to students about safety concern*

- **Reduction in Numbers on Broughdale**
  
  *Push and Pull Factors*

- **Culture Shift**
  
  *Expectations for the community*

- **Reduce Impact on Community Safety Services**
  
  *Prioritize access to care*
  
  *EMS, Hospitals, Fire, Police*

- **Students as leaders**
  
  *Student leadership is key to shifting the culture*

- **Coordinate Communications** from all Community Partners - before, during and after
What it will take to shift the culture

• **Compliance**
  - multiple levers that discourage attendance on Broughdale

• **Shift the Street Party Culture**
  - programming that attracts students and builds a new culture

• **Communications**
  - impactful messaging that doesn’t lecture students
  - collaborative messaging with community partners
Student Code of Conduct

Steps leading to recommendation:

- Consultation with and opinion from external legal counsel
- Working group established
- Consultation with other Ontario universities – review of codes of conduct
- Draft language prepared
- Consultation with external legal counsel
Student Code of Conduct

Committee Chaired by AVP (Student Experience) recommends:

• revision to the jurisdiction article of the Code, to extend the Code to off-campus conduct at unsanctioned events

• Provision of discretion to the AVP (Student Experience) when determining whether to exercise jurisdiction over off-campus conduct
REPORT OF THE PROPERTY AND FINANCE COMMITTEE

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<th>Consent Agenda</th>
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<td>No</td>
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<tr>
<td>MAPP 1.10 – Election Posters and Signs</td>
<td>No</td>
</tr>
<tr>
<td>MAPP 1.50 – Signage</td>
<td>No</td>
</tr>
<tr>
<td>MAPP 1.36 – Roof Access Policy</td>
<td>No</td>
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<td>MAPP 2.12 Acquisition of Investment Services – Revisions to Policy</td>
<td>No</td>
</tr>
<tr>
<td>MAPP 2.26 Statement of Investment Objectives, Policies and Governance</td>
<td>No</td>
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<tr>
<td>MAPP X.XX – Major Strategic Opportunities Fund Policy</td>
<td>No</td>
</tr>
<tr>
<td>New Tuition Fee Proposal for 2019-20 Medicine (MD) Program</td>
<td>No</td>
</tr>
<tr>
<td>Revised Tuition Fee Recommendations for 2019-20 Part-Time JD Program</td>
<td>No</td>
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<tr>
<td>Scholarships, Awards, Prizes</td>
<td>Yes</td>
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<tr>
<td>Lucas Family Women in Science Distinguished Scholar</td>
<td>Yes</td>
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<tr>
<td>Ancillary Financial Report</td>
<td>Yes</td>
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<tr>
<td>Quarterly Ratio-Report on Non-Endowed Funds</td>
<td>Yes</td>
</tr>
<tr>
<td>Quarterly Report – 2018-19 Operating Budget Update as at April 30, 2019</td>
<td>Yes</td>
</tr>
</tbody>
</table>

FOR APPROVAL

1. Revisions to MAPP Policies

Recommended: That the Board of Governors approve revisions to the following MAPP policies attached as Annex’s 1-4 as shown below:

- That MAPP 1.25 be amended as shown in Annex 1
- That MAPP 1.10 be deleted as shown in Annex 2
- That MAPP 1.50 be amended and renamed “Signage and Election Posters” as shown in Annex 3 and,
- That MAPP 1.36 be amended as shown in Annex 4

Background:
The revised policies have been recast into the new MAPP template, approved by the Board of Governors in 2012, with 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 1.25 – Lease of University Facilities for Long-Term Use

The revised Policy is set out in Annex 1.
• Minor changes due to separation of policy and procedure

MAPP 1.10 – Election Posters and Signs and MAPP 1.50 – Signage

The deleted MAPP 1.10 is set out in Annex 2 and the revised and renamed MAPP 1.50 is set out in Annex 3.

• Moved the Approving Authority from Property & Finance to the President

• These two Policies/Procedures have been merged into one policy and procedure that has been renamed to MAPP 1.50 Signage and Election Posters

Section 2.0 - Updated information to ensure that AVP, Facilities Management is contacted regarding signage on campus
Section 3.0 - Removed any reference to Parking & Visitor Services providing portable signage as Parking no longer provides the rental sign service
Section 5.0 - Updated Election section to confirm that Western does not allow election signage of any type
Section 6.0 - Updated Student Election signage section to refer to the annual Elections Manual provided by the University Students’ Council

MAPP 1.36 – Roof Access

The revised Policy is set out in Annex 4.

• Moved the Approving Authority from Property & Finance to the President

Section 3.0 - Updated role titles and course names for safety based courses

2. MAPP 2.12 Acquisition of Investment Services – Revisions to Policy

Recommended: That the Board of Governors approve revisions to MAPP 2.12 as shown in Annex 5.

Background: The revised policy shown in Annex 5, has 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 structural and editorial changes to conform to the separated format and provided the opportunity to update the language of the policy and procedures. The substantive changes are highlighted below:

General
• Structural change to separate policy and procedure

Policy
• Inclusion of definitions and terminology reflecting changes proposed in Policy 2.26 Statement of Investment Objectives, Policies and Governance
• Removal of outdated sections related Financial Services, Long-Term Loans, Forward Exchange Contracts and Financial and Commodity Hedges, which are no longer governed by this policy or procedures

Procedures
• Section 2.0 – Inclusion of the conflict of interest from Policy 2.26
• Section 3.0 – Updated period of review of the investment service provider from every 5 years to on a regular basis
Section 3.01 and 3.02 – Reorganized to highlight procedural difference between acquiring an investment manager versus other investment services

Section 3.01 – Updated for additional investment manager search methodologies (previously limited to short lists provided by the investment consultant or Investment Committee)

3. MAPP 2.26 Statement of Investment Objectives Policies and Governance

Recommended: That the Board of Governors approve the revised Statement of Investment Objectives, Policies & Governance for the Short-Term Portfolio, the Mid-Term Portfolio and the Operating and Endowment Fund.

Background:
Western's Statement of Investment Objectives, Policies and Governance (SIOP&G) for the Short-Term Portfolio, the Mid-Term Portfolio and the Operating and Endowment Fund provides a framework for the prudent investment of the investment portfolios which belong to the University and outlines the roles and responsibilities of those who make decisions regarding the Portfolios. The Board last approved changes to this policy in November 2017.

On May 30, 2019, the Investment Committee, a subcommittee of the Property & Finance Committee, approved a revised SIOP&G. On June 4, 2019, Property & Finance Committee approved these changes to proceed to Board for final approval. The paragraphs below highlight some of the changes made to the document.

General Changes
- The document has been renamed the Statement of Investment Objectives, Policies and Governance (SIOP&G) for the Short-Term Portfolio, the Mid-Term Portfolio and the Operating and Endowment Fund, to clearly identify the three pools of assets it covers.
- When the document refers to the Short-Term Portfolio (the “STP”), the Mid-Term Portfolio (the “MTP”) and the Operating & Endowment Fund (the “Fund”) collectively, this is referred to as the “Portfolios”.

Section 1 – Purpose and Background
- Some edits were made to clarify the use of the word Portfolios and clarify the names of the STP and the MTP.
- The definition of the Mid-Term Portfolio was modified to a portfolio that is “invested mainly in liquid stocks and fixed income securities”.

Section 3 – Investment Objectives and Policies – Short-Term Portfolio
This is a new section that defines the portfolio objectives, risk tolerance and liquidity constraints of the STP.

Section 4 – Investment Objectives and Policies – Mid-Term Portfolio
This is a new section that defines the MTP. The section covers: portfolio objectives, risk tolerance, asset mix policy, rebalancing policy, exposure to non-Canadian currencies, measurement of investment returns and Liquidity. Further details on the Mid-Term Portfolio are provided at the end of this document.

Section 5 – Investment Objectives and Policies – Operating & Endowment Fund
Most of the information in Section 5 used to be in Section 3.

Section 6 – General Investment Guidelines and Operational Matters
As discussed in Section 5, this new section contains subsections about general and operational matters that were previously in Section 3.

Section 7 – Responsible Investing
The Responsible Investing section was updated based on the work of the Working Group on Responsible Investing, a sub-committee of the Investment Committee.
**Section 8 – Governance**

This section about governance contains the same seven sub-sections as the old document (Property and Finance Committee, Investment Committee, Administration, Managers, Custodian, Investment Consultant and Performance Measurement Consultant). New language coming from the new Terms of Reference for Property & Finance and the Investment Committee were incorporated.

**Mid-Term Portfolio**

**Background**

An amount of $175 million will be taken out of the Short-Term Portfolio to fund the newly created Mid-Term Portfolio.

**Goal and Strategy**

The goal of the Mid-Term Portfolio is to deliver higher returns than the Short-Term Portfolio without significantly altering the existing liquidity and currency profiles. Management will try to achieve its goal by increasing equity risk, duration risk and credit risk. The Mid-Term Portfolio’s risk is expected to be between that of the Short-Term Portfolio and the Operating & Endowment Fund.

**Outcome**

The Investment Committee approved the following asset mix and portfolio on May 30, 2019:

<table>
<thead>
<tr>
<th>Proposed Asset Mix</th>
<th>Proposed Strategy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian equities</td>
<td>10% Fidelity Canadian Focused Equity</td>
</tr>
<tr>
<td>Global equities</td>
<td>20% Fidelity Global Low Volatility Equity</td>
</tr>
<tr>
<td>Short-term bonds</td>
<td>10% Fidelity Canadian Short-Term Bond</td>
</tr>
<tr>
<td>Core fixed income</td>
<td>20% Fidelity Canadian Bond Core Plus</td>
</tr>
<tr>
<td>Corporate bonds</td>
<td>20% PIMCO Monthly Income Fund (Canada)</td>
</tr>
<tr>
<td>Commercial mortgages</td>
<td>20% Romspen Mortgage Investment Fund</td>
</tr>
</tbody>
</table>

Northern Trust will provide the reporting on the new portfolio.

The Revised MAPP 2.26 – Statement of Investment Objectives, Policies and Governance is provided in Annex 6.

4. **MAPP X.XX – Major Strategic Opportunities Fund Policy**

**Recommended:** That the Board of Governors approve the Major Strategic Opportunities Fund Policy (MAPP X.XX) as shown in Annex 6, and,

That the Board of Governors approve $250 million from the Undistributed Investment Returns be set aside for this purpose, effective July 1, 2019.

**Background:**

In 1984, the Board of Governors established an investment policy that called for the core portion of non-endowed funds to be invested in the same manner as the endowed funds. This policy has allowed Western to earn returns on the non-endowed funds that exceed the returns that would have been earned by investing all non-endowed funds in short-term money market instruments over time.

The returns generated by investing the core portion of the non-endowed funds in the Operating & Endowment portfolio have added significant value.

Western’s prudent fiscal management and history of investing non-endowed funds alongside endowment funds have generated unrealized Undistributed Investment Returns (UIR) of approximately $282 million as at April 30, 2018. This provides a unique opportunity to establish a Major Strategic Opportunities Fund (Fund) by transferring $250 million of the UIR to the Fund.
Although the Fund will not be endowed, it will be managed similar to an endowment so that the Fund continues to support major strategic opportunities in perpetuity. Like an endowment, efforts will be made to maintain the purchasing power of the Fund over the long-term. The Fund’s investment strategy will be consistent with its past and will be consistent with the long-term strategy of the Operating & Endowment portfolio. As such, the Fund will receive its’ pro-rata share of the annual returns/losses from the investment of non-endowed funds in the University’s Operating & Endowment Portfolio.

This new policy will enhance transparency to university stakeholders about the intention to utilize these funds in support of transformative opportunities over the long-term.

The MAPP X.XX – Major Strategic Opportunities Fund Policy is provided in Annex 7.

5. **New Tuition Fee Proposal for 2019-20 Medicine (MD) Program**

   **Recommended:** That the Board of Governors approve the following proposal of tuition fees for 2019-20:

   Medicine (MD) – 5th Year: 50% of 4th Year Rate

   **Background:**
   Consistent with normal process/procedure, tuition fee recommendations for 2019-20 were included in the University’s Operating Budget, which was approved by the Property & Finance Committee and the Board of Governors in April 2019. However, subsequent to that budget approval, a new tuition fee proposal for the Medicine (MD) program has come forward for review by the Provost, and is now being recommended.

   A 5th year of study in the MD Program at Western will be granted on application to the Associate Dean Undergraduate Medical Education, to students who are unmatched to a residency program in Canada and have a plan to advance or change their career focus. In Ontario, according to a College of Physicians and Surgeons of Ontario (CPSO) ruling, unmatched students must not graduate if they are allowed to undertake clinical learning electives.

   This is not a full academic year and is aligned with Western’s vision of experiential learning. The recommendation is that tuition be lower than the Year 4 MD tuition rate, and be aligned with the levels at peer institutions. The recommendation for Western is that the tuition rate be set at 50% of the MD year 4 rate. For information, in the upcoming 2019-20 year, there are three unmatched students to a residency program who may enter the 5th year program.

6. **Revised Tuition Fee Recommendations for 2019-20 Part-Time JD Program**

   **Recommended:** That the Board of Governors approve the following revision of tuition fees for 2019-20:

   Part-time Per-Course Undergraduate Law (JD): 1/7th of Full-Time Rate

   **Background:**
   Consistent with normal process/procedure, tuition fee recommendations for 2019-20 were included in the University’s Operating Budget, which was approved by the Property & Finance Committee and the Board of Governors in April 2019. However, subsequent to that budget approval, a revision to the part-time tuition fees for Undergraduate Law (JD) has come forward for review by the Provost and is now being recommended.

   Part-time tuition fees for the undergraduate Law (JD) was presented in the budget document as one-fifth (20%) of full-time tuition. The program structure is such that students take, on average, between 7 and 8 courses in each of the three years of study. Therefore, the part-time per-course tuition recommendation is being revised to one-seventh of the full-time rate.
FOR INFORMATION

7. **Scholarships, Awards, Prizes**

The Property and Finance Committee approved, on behalf of the Board of Governors, the terms of reference for new scholarships, awards, bursaries and prizes.

See Annex 8.

8. **Lucas Family Women in Science Distinguished Scholar**

At its June 4, 2019 committee meeting, the Property & Finance Committee approved on behalf of the Board of Governors, that the Lucas Family Women in Science Distinguished Scholar be established and appointed in the Faculty of Science.

**Background:**
See Annex 9.

9. **Ancillary Financial Report**


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

The Quarterly Ratio Report on Non-Endowed Funds is provided in Annex 11.

11. **Quarterly Report – 2018-19 Operating Budget Update as at April 30, 2019**

The Quarterly Report – 2018-10 Operating Budget Update as at April 30, 2019 is provided in Annex 12.
POLICY 1.25 – Lease of University Facilities for Long-Term Use

Policy Category: General

Subject: Lease of University Facilities for Long-Term Use

Approving Authority: Property & Finance

Responsible Officer(s): Vice-President (Operations & Finance)

Responsible Office(s): Vice-President (Operations & Finance)

Related Procedures: Administrative Procedures for Lease of University Facilities for Long-Term Use

Related Policies: Policy 1.1 Use of University Facilities for Other Than Regularly Scheduled Academic Purposes

Effective Date: June 29, 2004

Supersedes: October 2, 1997

June 27, 2019

POLICY

1.00 This policy relates to the rental or lease of University facilities for extended periods of time and to the establishment of operating agreements wherein the revenues from operations are shared by the University and the lessee. [See Policy 1.1, Use of University Facilities for Other Than Regularly Scheduled Academic Purposes, for information about short-term use of space.]
PROCEDURE FOR POLICY 1.25- Lease of University Facilities for Long-Term Use

PROCEDURE

1.00 All requests involving long-term use of University facilities must be reviewed and approved by the Office of Institutional Planning and Budgeting.

2.00 Facilities Management is responsible for drawing up leases and negotiating the level and cost of services.

3.00 If an operating agreement is related to the lease of space, the operating agreement will be reviewed and negotiated with the involvement of Institutional Planning and Budgeting, the Division of Financial Services, and the Division of Facilities Management.

4.00 Leases and operating agreements require approval by the Property & Finance Committee when:

(a) the lessee is an individual or group external to the University and the lease is for more than three years, or
(b) the annual value of the lease is significant (greater than $50,000).

4.01 Leases and operating agreements of lesser value or magnitude may be approved by the Vice-President (Operations & Finance).

4.02 If there are unusual aspects to the proposed terms of the lease, it will be reviewed by the Vice-President (Operations & Finance) and the Provost & Vice-President (Academic) who may approve or reject an application, taking into account precedent and such other advice and particulars as may be appropriate.

4.00 Leases and operating agreements require approval by the Property & Finance Committee when:

(a) the lessee is an individual or group external to the University and the lease is for more than three years, or
(b) the annual value of the lease is significant (greater than $50,000).

4.01 Leases and operating agreements of lesser value or magnitude may be approved by the Vice-President (Operations & Finance).

4.02 If there are unusual aspects to the proposed terms of the lease, it will be reviewed by the Vice-President (Operations & Finance) and the Provost & Vice-President (Academic) who may approve or reject an application, taking into account precedent and such other advice and particulars as may be appropriate.
REVENUE

5.00 Revenues from leases will be received by the Corporate University and sufficient funds will be provided to the Division of Facilities Management to operate and maintain the leased facilities as provided in the lease.

RENEWALS

6.00 The Division of Facilities Management shall be responsible for the timely review of leases and operating agreements and for referral to the appropriate authority where renewal is warranted.

7.00 Provided that the principal conditions of an approved lease and/or operating agreement are to be continued, leases and/or operating agreements that are to be renewed will be reviewed by the Office of Institutional Planning and Budgeting, the Division of Facilities Management, the Division of Financial Services (where applicable), and the lessee.

8.00 Provided that there are only minor changes from the original lease and/or operating agreement, renewal may be approved by the Vice-President (Operations & Finance) on behalf of the Board of Governors.
POLICY 1.10 – Election Posters and Signs

Policy Category: General

Effective Date: January 24, 1975

Supersedes: (NEW)

POLICY

1.00 The following regulations shall apply to election advertising on the campus of the University by candidates for municipal, provincial and federal elections:

1.01 Election advertising on campus shall be limited to the interior of University buildings and only in those areas designated by Facilities Management for internal election advertising.

1.02 The areas designated for the posting of election signs or posters are:

   (a) Bulletin Boards

   (b) Poster Rails

1.03 Requests to post election signs and arrange floor displays shall be submitted for approval to the Reservations Office, at Facilities Management.

1.04 Posting of election signs and posters in other than the areas designated in 1.02 and 1.03 is prohibited. Notices displayed elsewhere will be removed.
POLICY 1.50- Signage and Election Posters

Policy Category: General
Subject: Signage and Election Posters
Approving Authority: President
Responsible Officer: Vice-President (Operations & Finance)
Responsible Office: Facilities Management
Related Procedures: Procedures for Policy 1.50 Signage and Election Posters
Related University Policies: MAPP 1.12 Policy on Advertising and Commercial Activity, MAPP 1.35 Policy on Harassment and Non-Discrimination
Effective Date: June 27, 2019
Supersedes: January 27, 2011

GENERAL PURPOSE AND INTENT

The University of Western Ontario is proud of the beauty of its campus. Any formal signage policy must meet the need of a facility of higher education to provide a means of knowledge and information exchange while maintaining aesthetic standards by establishing regulations for exterior and interior signage, whether that signage is temporary or permanent.

This policy will:

• Establish clear and consistent signage practices in order to provide necessary information to members of the campus community and to visitors
• Enhance the appearance of the University’s interior and exterior spaces, including its unique landscape and architectural features
• Reduce potential hazards that may result from confusing or incorrect signage or inappropriately placed signage

Additionally, this policy, in conjunction with the Policy on Advertising and Commercial Activity (MAPP 1.12) and the Policy on Election Posters & Signs (MAPP 1.10), will address the University’s stance on portable signage and chalking on all University property.
POLICY 1.50- Signage and Election Posters

2.0 DEFINITIONS

“Sign” or “signage” means any identification, device or illustration which directs attention, in a public place, to any specific purpose including, but not limited to services, events or entities. The categories of signs or signage are:

(a) “Temporary signs”, including any poster, painting, leaflet, sticker, placard or flag that is designed to advertise, convey information, or provide direction for a limited amount of time.

(b) “Permanent signs”, including signs that are attached to buildings, as well as freestanding monuments or plaques.

(c) “Chalking”, which is the practice of using washable marking products to advertise, convey information, or provide direction for a limited amount of time on exposed surfaces belonging to the University.

(d) “Portable signs”, which are those rented through Parking & Visitor Services and which are designed to provide advertising for special events and directional information.

2.1 TERMINOLOGY

(a) Directional signs are erected for public convenience and way finding such as those indicating restrooms, telephones and walkways.

(b) Government signs are those signs, notices or emblems, such as traffic signs and designated exits, erected under the authority of the University in order to conform to government regulations and/or health and public safety concerns.

(c) Political signs are those erected temporarily which pertain to student elections.

(d) Sandwich boards are A-frame sign holders used to temporarily display directional or event information.
Procedures for Policy 1.50- Signage and Election Posters

1.0 PERMANENT SIGNAGE

Any permanent sign, or bulletin board erected on University property, or affixed to any building, structure or landscape feature must meet design standards set by Facilities Development & Engineering, Division, Facilities Management. This signage must be designed, approved and installed by, or under the supervision of Facilities Development & Engineering. This provision applies to all interior and exterior signage including, but not limited to commemorative plaques, building identification and way finding, landmark signs and bulletin boards. Parking and traffic signs shall conform to legal standards and shall be installed by, or under the supervision of Facilities Development & Engineering.

Any costs associated with the removal of any sign which is in direct contravention of this policy or any other University policy may be charged to the individual or group responsible for the placement of the sign.

2.0 TEMPORARY SIGNAGE

The University has delegated responsibility for the approval of all temporary signage to Facilities Engineering, Facilities Management the Associate Vice President, Facilities Management or designate. With the exclusion of advertising covered by MAPP 1.12, all temporary signage must meet the standards established by Facilities Engineering Management with regard to both form and content.

Without limiting the generality of the above, no signs shall be placed on any vertical surface including, but not limited to building walls, flagpoles, windows, walls and doors without express permission of Facilities Engineering Facilities Management.

Messages must be in good taste and be compliant with all University policies, including MAPP 1.35 Policy on Harassment and Non-Discrimination. The Associate Vice-President, Facilities Management or designate, has the authority to require the removal of any sign which, in his/her reasonably exercised discretion is not in compliance with this or any other approved University policy.

Any costs associated with the removal of any sign which is in direct contravention of this policy or any other University policy may be charged to the individual or group responsible for the placement of the sign.

All temporary signage must be removed within 48 hours of the completion of the event advertised. All signage remaining after this period will be removed by Facilities Management and any and all charges accrued will be billed to the appropriate group or individual.
3.0 PORTABLE SIGNAGE

All portable signage on campus must be approved by Facilities Management, Engineering, and be provided by University Parking and Visitor Services. Signage will be obtained and paid for by rental agreement and will be placed and removed at an agreed time.

4.0 CHALKING

The temporary chalking of information is permitted only with the use of washable product on horizontal, exposed surfaces. Tunnel floors and walls are not considered to be exposed surfaces and chalking on them is, therefore, prohibited. As above, chalked messages deemed to be distasteful or offensive will be removed at the direction of the Associate Vice-President, Facilities Management (Finance & Facilities) or the Director of Campus Community Police Services.

5.0 ELECTION POSTERS AND SIGNS- MUNICIPAL, PROVINCIAL AND FEDERAL ELECTIONS

5.1 Posting of election signage for municipal, provincial and federal elections is prohibited on Western University property.

5.1 The following regulations shall apply to election advertising on the campus of the University by candidates for municipal, provincial and federal elections:

5.2 Election advertising on campus shall be limited to the interior of University buildings and only in those areas designated by Facilities Management for internal election advertising.

5.3 The areas designated for the posting of election signs or posters are:

(a) Bulletin Boards

(b) Poster Rails

5.4 Requests to post election signs and arrange floor displays shall be submitted for approval to the Reservations Office, at Facilities Management.

5.5 Posting of election signs and posters in other than the areas designated in 5.3 and 5.4 is prohibited. Notices displayed elsewhere will be removed.
6.0 STUDENT ELECTION SIGNS

6.1 Posting of signage for student elections must follow the guidelines stipulated in the annual Elections Manual provided by the University Students’ Council (USC). The Associate Vice-President, Facilities Management has the authority to remove any signage that does not comply with these guidelines. In order to maintain an environment that is pleasing and safe for all, the following rules apply:

6.1.1 All student election signs are restricted to designated areas identified by the Office of the Associate Vice-President, Facilities Management.

6.1.2 A maximum size of 2’ x 4’ must be maintained for all signs.

6.1.3 No paint, dye or other coloured substance (including Kool-Aid) is to be used on snow, or any other surface. Chalk may be used in accordance with the chalking regulations provided in this policy.

6.1.4 Installation of sign poles is only permitted in snow; sign installations involving driving a stake into the ground are not permitted at any time.

6.1.5 Signs constructed above ground must be free standing and require no support wires.

6.1.6 No posters or signs can be attached via tape, shrink wrap, staples, nails, etc. to any campus structure or feature, including but not limited to: windows or glass in doors, light standards, trees, flagpoles, information signs, road signs, art installations, fence systems, or guard rails.

6.1.7 Signs must be installed in a manner that maintains a safe egress around the designated areas for all pedestrians and drivers on the campus.

6.1.8 The Associate Vice-President, Facilities Management and the Director of Campus Community Police Services have the authority to remove any sign that is considered unsafe, that obstructs any line of vision thus contributing to an unsafe condition, or that is considered offensive or distasteful.

6.1.9 All signage must be removed within 48 hours after the election is completed. Any signage remaining will be removed by Facilities Management and appropriate charges will be applied and billed to the group or individual responsible.
PURPOSE

1.00 The purpose of this policy is to ensure that only Authorized Persons and Qualified Persons, or those under the direct supervision of same, are allowed access to roofs of any University building.

RESPONSIBILITY

2.00 Compliance with this policy is the responsibility of all people who gain access to University roofs.

DEFINITIONS:

Qualified Person(s): To be considered a “qualified person”, individuals must complete the “Working at Heights” awareness training offered by Occupational Health and Safety (OHS) and be familiar with Facilities Management Work Procedure Policy WP-44 (Fall Protection) and Safety Policy S-4 (Roof Maintenance Procedure). Qualified Persons are designated Facilities Management staff identified by the Associate Vice-President, Facilities Management.

Authorized Person(s): An authorized person is one who has received written authorization from the Manager, Structural Services, or designate, or is in the company of a Qualified Person.
POLICY 1.36 – Roof Access Policy

AUTHORIZED ACCESS

3.00 Qualified Person: A qualified person is one who understands the regulatory requirements for working at heights, and is familiar with the Roof Maintenance Procedures, e.g., Facilities Management staff designated by the Associate Vice-President (Finance & Facilities).

4.00 Authorized Person: An authorized person is one who has received written authorization from the Supervisor, Structural Services, or designate, or is in the company of a qualified person.

5.00 Access for Facilities Management Project Work: Access to roofs for contractors and consultants working on approved projects may be authorized by the Facilities Management Project Manager/Coordinator.

RELEVANT POLICIES

6.00 Procedures outlined in WP-44 (Fall Protection), S-4 (Roof Maintenance Procedure), and UWO Policy 2.15 (Approval Authorities for Construction and Maintenance Projects) must be adhered to when gaining access to any roof.

POLICY FOR RESIDENCES

7.00 For the purposes of access to residence roofs, the Residence Managers and Assistant Director of Housing Services shall be deemed to be “qualified persons” as defined above, provided they have received appropriate awareness training on the regulatory requirements for working at heights as provided by the OHS Department. Anyone requesting permission to be on a residence roof who is not in the company of a qualified person (or as part of an approved PPD project) shall require the written authorization of the Supervisor Structural Services, or designate.
AUTHORIZED ACCESS

1.00 Roof access for contractors and consultants working on approved Facilities Management projects may be authorized by a Facilities Management Project Manager/Coordinator.

2.00 It is the responsibility of any Qualified Person or Authorized Person to ensure that access to the roof is secured prior to leaving the area.

AUTHORIZED ACCESS - RESIDENCES

3.00 For the purposes of access to residence roofs, the Director, Facilities, Housing and Ancillary Services and the Associate Director, Facilities, Housing and Ancillary Services shall be deemed to be “Qualified Persons” as defined in the Roof Access Policy, provided they complete the “Working at Heights” awareness training offered by OHS and are familiar with Facilities Management Work Procedure policy WP-44 (Fall Protection) and Safety Policy S-4 (Roof Maintenance Procedure).

4.00 Anyone requesting permission to access a residence roof not in the company of a Qualified Person (or as part of an approved Facilities Management project) shall require the written authorization of the Manager, Structural Services, or designate.
POLICY 2.12 – Acquisition of Investment Services

Policy Category: Financial
Subject: Acquisition of Investment Services
Approving Authority: Board of Governors
Responsible Officer: Vice-President (Operations & Finance)
Responsible Office: Financial Services
Related Procedures: Procedures Related to Acquisition of Investment Services
Related University Policies:
MAPP 2.8 Procurement of Materials and Services
MAPP 2.26 Statement of Investment Objectives, Policies and Governance
Effective Date: September 28, 2000 June 27, 2019
Supersedes: October 1, 1996 – September 28, 2000

I. PURPOSE

The purpose of the policy is to define the responsibilities and accountabilities associated with the acquisition of Investment Services for the University’s Investment Portfolios.

II. DEFINITIONS

Investment Committee: the Investment Committee, which has been established by Special Resolution 1-N of the Board of Governors, is responsible for the University’s overall investing activities.

Investment Portfolios: includes the Operating and Endowment Fund, Short-Term Portfolio, and Mid-Term Portfolio of the University, as defined in Section 1 of Policy 2.26.

Investment Service(s): relate to the provision of service for the Investment Portfolios, such as external investment managers, custodians, investment consultant(s) and performance measurement consultant(s).

III. POLICY

1.0 The acquisition of Investment Services for the University’s Investment Portfolios are specifically excluded from Procurement Services’ responsibilities (Policy 2.8) and is the responsibility of the Investment Committee and Financial Services. This document outlines how these groups will perform their duties with respect to the acquisition of investment related services. This policy does not cover investment services for the University’s pension plans, which are administered by the Joint Pension Board.
2.0 The method of selection for an Investment Service provider will be determined based on the type of Investment Service required, in accordance with the procedures related to this policy.

Financial Services

3.00 In the Statement of Investment Objectives, Policies and Governance, the Board of Governors has delegated the responsibility for investing cash balances and borrowing cash to Financial Services. For investing cash balances, Financial Services will use a short list of investment dealers who are able to provide the level of service required, as defined by the Associate Vice-President (Finance & Facilities), and who have an excellent credit rating. For short term borrowing, Financial Services will normally use the University's main bank. Funds may also be borrowed from other sources with the approval of the Property and Finance Committee and the Board of Governors.

Long Term Loans

4.00 Each long term loan requires the approval of the Property and Finance Committee and the Board of Governors. Financial Services will invite proposals from a selected list of potential suppliers and make a recommendation for each loan to the Property and Finance Committee for approval.

Forward Exchange Contracts

5.00 Financial Services will secure forward exchange contracts from the University's main bank, when required to fix the rate of exchange for a future payment to a supplier. Such arrangements are made in conjunction with the respective department.

Financial and Commodity Hedges

6.00 Other hedges can be put in place in order to fix the rate of interest for a loan to be taken out in the future or to fix the cost of a commodity (such as natural gas) to be delivered in the future. All such hedges will be coordinated by Financial Services, in conjunction with the appropriate department and will also be approved by the Property and Finance Committee.
PROCEDURE FOR POLICY 2.12 – Acquisition of Investment Services

1.0 As outlined in the Policy 2.26, the Investment Committee has the responsibility for the acquisition and termination of Investment Service providers. As outlined in the Statement of Investment Objectives, Policies and Governance, dated September 1994, the Board of Governors has delegated responsibility to the Investment Committee for the engagement and termination of investment managers, consultants and custodians.

2.0 As part of the acquisition process, the Investment Committee is required to comply with Section 6.4 of Policy 2.26.

3.0 The Investment Committee will review the appointment of the Investment Service provider(s) on a regular basis, consultant and custodian, at least every five years. This documented review will include a discussion of the service received in relation to the cost of the service. If a change in the provider is required, as a result of this review, or for any other reason, the Investment Committee will follow one of the processes identified below:

   Financial Services, in conjunction with Procurement Services, will distribute a request for proposal to all potential suppliers.

3.01 Acquiring an investment manager

When acquiring an investment manager, the Investment Committee will normally rely on a short list of investment managers, provided by the investment consultant. The Investment Committee may also interview and select managers from its own short list of potential managers. Depending on the nature of the investment mandate and upon recommendation from Financial Services, the Investment Committee may decide to use an alternative to the investment consultant to conduct the search. These include, but are not limited to, hiring another investment consulting firm for the purpose of conducting the search, issuing a request for proposal, purchasing a database of potential investment managers or selecting an investment manager from a proprietary list. The Investment Committee will make its decision following a documented review of the potential investment manager options.

3.02 Acquiring an Investment Service, other than investment manager

Financial Services, in conjunction with Procurement Services, will distribute a request for proposal to all potential Investment Service providers. The Investment Committee will make its decision following a documented review of the proposals received.

4.0 With respect to payments for Investment Services, the University will follow those guidelines set out in Policy 2.8. University policy with respect to the purchase of materials and supplies (policy 2.8), will be followed with respect to payments to these firms.

5.0 The Investment Committee will report its activities on a quarterly basis to the Property and Finance Committee.
Policy 2.26 - Statement of Investment Objectives, Policies and Governance

For the Short-Term Portfolio, Mid-Term Portfolio and Operating and Endowment Fund

Revised May 2019
Section 7 Responsible Investing

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Section 1  Purpose and Background

1.1 Introduction

The purpose of this Statement of Investment Objectives, Policies and Governance is to document the investment beliefs, principles and policies of Western University (the "University") for the Short-Term Portfolio (the "STP"), the Mid-Term Portfolio (the "MTP") and the Operating and Endowment Fund (the "Fund"). The STP, MTP and the Fund are collectively referred to as the "Portfolios". This document is a management tool and is not designed to satisfy any specific legislation, but is expected to demonstrate prudent management of the Portfolios and provide a framework for University investments. The authority and responsibilities of decision-making bodies are also documented herein.

1.2 Description of Portfolios

The Fund consists of two components:

i) endowed assets that are invested to generate income sufficient to meet the payout rate established by the Board of Governors (the "Board") under Investment Payout Policy ("Policy 2.11") to fund endowed chairs and scholarships, among others (the "Endowed Portfolio"); and

ii) excess cash related to non-endowed funds (the "Operating Portfolio").

The two components are invested according to the same investment policy as described in Section 5. The ownership share of the Fund between the Endowed Portfolio and the Operating Portfolio is tracked on a monthly basis and investment returns are allocated based on the pro-rata share each month.

The University also holds two additional portfolios:

- a Short-Term Portfolio (STP) generally invested in a bank account, a money market fund and a high-interest savings account; and

- a Mid-Term Portfolio (MTP) invested mainly in liquid stocks and fixed income securities.

The STP and MTP provide the University with the liquidity necessary for the allocation of spending from endowments. As a result, the University is able to manage the Fund with a very long-term focus, with little need for liquidity. In fact, the horizon of the Fund is perpetuity, and it is invested to withstand volatility in returns from quarter to quarter and year to year.
Section 2  Statement of Investment Committee Beliefs

The Investment Committee is guided by various investment beliefs, including:

- A governance framework is essential to achieve success in managing investments and consists of:
  
  i) a diverse, independent and experienced Investment Committee to mentor, monitor and counsel University Administration;
  
  ii) written investment objectives, policies and governance guidelines to facilitate efficient operations;
  
  iii) acknowledgment and delegation of responsibilities amongst four levels of fiduciaries:
    
    ▪ Board of Governors ("Board") – approves policies and is ultimately responsible for results attained;
    
    ▪ Property and Finance Committee ("P&F") – recommends policies to the Board;
    
    ▪ Investment Committee (the “Committee”) – designs policies and oversees implementation thereon; and
    
    ▪ University Administration ("Administration") - implements policy directly and through contracted agents.
  
  iv) establishment of risk management policies, commensurate with the Portfolios’ circumstance, which attempt to address the greatest investment risks within the Portfolios. However, it must be recognized that in order to attain the stated objectives, some risk is essential within the Portfolios.

- A broadly diversified portfolio which includes, among other vehicles, as appropriate, cash, bonds, equities and less liquid non-traditional investments such as private equity, real assets and absolute return strategies are the best way to achieve required nominal and real returns and is a prudent and cost-effective method of reducing risk.

- Cash is generally the asset class with the lowest expected long-term returns and should be minimized, except for the STP.

- Bonds provide a steady income stream and often experience lower volatility when equity performance is volatile.

- Equities provide dividend income and/or potential capital growth and are expected to outperform bonds by a risk and volatility premium.

- Equity premiums are dynamic and unpredictable; hence, diversification by market, investment manager and style is preferred.
• Non-liquid and non-traditional investments, particularly in private equity, real estate and infrastructure, provide income and potential capital growth but generally require more specialized knowledge than public equities and have higher management fees.

• Active portfolio managers are expected to add value above their respective benchmark after taking into account related fees, particularly in less efficient markets such as Canadian, Non-North American equities and non-traditional investments, including private markets. Active portfolio management is defined as any strategy where a manager uses proprietary knowledge to outperform a benchmark, as opposed to only replicating the benchmark return.

• Portfolio return objectives and pursuits thereon must be evaluated on a net-of-fees basis.

• Portfolio rebalancing according to asset range guidelines is a procedure that maintains equity/bond exposures at risk policy levels.

• Due to the size of the Portfolios, it is more economical to use external investment managers ("Managers"). Managers should preferably be researched by the investment consulting community in order to be considered for managing a portion of the Portfolios.

• The Committee should remain mindful of the size of the Portfolios’ holdings with a particular Manager in relation to the size of the Manager’s assets under management.

• Liquidity needs will vary between the Fund, STP and the MTP. The Fund has a long duration with low liquidity needs and, as a result, can hold some of its assets in illiquid investments (e.g. non-traditional investments, including: real estate, private equity, infrastructure and hedge funds) with an objective to achieve additional diversification and an additional liquidity risk premium. The STP and the MTP have high and moderate liquidity needs, respectively, and as such, investments in illiquid asset should be minimized.

• Attempting to achieve investment return advantages through market timing practices, such as frequent asset allocation changes, poses unacceptable risks to the Fund and the MTP. It is extremely difficult to repeatedly time the market through ongoing changes to the equity/bond mix and in individual elements of each portfolio. The Committee should be mindful of market cycles and while not attempting to engage in market timing practices, should consider modest portfolio rebalancing with market cycles in mind.

• Most University operating costs and obligations are denominated in Canadian dollars; hence, some foreign currency hedging is desirable to reduce risk.

• The Committee recognizes that environmental, social and governance factors may have an impact on corporate performance over the long-term, although the impact can vary by industry. Western’s Responsible Investing Policy is covered in Section 7.

• As described in Section 6.4, members of the Committee will advise the Committee Chair of any conflicts of interest that arise.

• The above investment beliefs should be reviewed on an annual basis.
Section 3  Investment Objectives and Policies – Short-Term Portfolio

3.1 Portfolio Objectives

i) to preserve capital and minimize risk in order to meet the University’s liquidity needs;

ii) to obtain a reasonable level of return commensurate with risk, terms and liquidity.

3.2 Risk Tolerance

Given the portfolio objectives listed above, risk tolerance is low and therefore investments should be limited to bank accounts, high interest savings accounts and high quality money market securities.

3.3 Liquidity

Liquidity needs are high given that the STP is used to fund day-to-day operations. Only investments that can settle into cash within a short period of time should be used.
Section 4  Investment Objectives and Policies – Mid-Term Portfolio

4.1 Portfolio Objectives

i) to outperform the FTSE 91-Day T-Bill Index by 300 basis points over a 3 to 5 year period.

ii) to generate investment returns that are in excess of the reserve requirements and that can be used to make additional allocations in relation to University priorities and needs.

4.2 Risk Tolerance

The risk tolerance is moderate and the standard deviation of returns should normally fall between 3% and 7%. Preservation of capital over the investment horizon (3 to 5 years) is essential. Liquidity and currency risks are to be minimized. As the portfolio will be the next source of liquidity should short-term assets be exhausted, the risk tolerance will fluctuate over time based on the position of the Operating Portfolio and its reserve rating and should be reassessed periodically.

4.3 Asset Mix Policy

The asset mix policy of the MTP will be reviewed on an annual basis. Given the portfolio’s objectives, risk tolerance and constraints, assets will be invested mostly in liquid equities and fixed income. The current target asset mix policy is 30% Equities and 70% Fixed Income.

The portfolio’s objectives can be achieved by gaining exposure to the following risk factors:

- Equity
- Interest rate (duration)
- Credit

The following types of mandates may be used in the portfolio:

**Equities**
- Canadian equities
- Global equities

**Fixed Income**
- Short-term bonds
- Core fixed income
- Corporate bonds
- High-yield bonds
- Commercial mortgages

The allocation to each individual mandate is limited to 30% of the MTP market value. This constraint is in addition to the asset mix policy in section 4.4.
The table below shows the risk factors that each strategic asset class is exposed to:

**Risk Factor Exposure**

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<tr>
<th>Strategic Asset Class</th>
<th>Risk Factors</th>
</tr>
</thead>
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<td></td>
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<tr>
<td>Canadian Equities</td>
<td>Equity</td>
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<tr>
<td>Global Equities</td>
<td>Size (Small cap)</td>
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<td></td>
<td>Value / Growth</td>
</tr>
<tr>
<td><strong>Fixed Income (Interest Sensitive)</strong></td>
<td></td>
</tr>
<tr>
<td>Core Fixed Income</td>
<td>Interest rate</td>
</tr>
<tr>
<td>Corporate Bonds</td>
<td>Credit</td>
</tr>
<tr>
<td>Commercial Mortgages</td>
<td>Deflation</td>
</tr>
</tbody>
</table>

### 4.4 Rebalancing Policy

Administration is permitted to deviate from the approved asset mix policy as follows:

<table>
<thead>
<tr>
<th>Strategic Asset Class</th>
<th>Target Mix</th>
<th>Allowable Drift</th>
<th>Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Canadian Equities</td>
<td>10%</td>
<td>-5%, + 5%</td>
<td>5% to 15%</td>
</tr>
<tr>
<td>Global Equities</td>
<td>20%</td>
<td>-5%, + 5%</td>
<td>15% to 25%</td>
</tr>
<tr>
<td>Total Equities</td>
<td>30%</td>
<td>-5%, +5%</td>
<td>25% to 35%</td>
</tr>
<tr>
<td>Fixed Income</td>
<td>70%</td>
<td>-5%, +5%</td>
<td>65% to 75%</td>
</tr>
</tbody>
</table>

Changes to the asset mix policy beyond these ranges would require the approval of P&F on the recommendation of the Committee.

### 4.5 Exposure to Non-Canadian Currencies

Given the fixed income focus of the MTP, currency exposure should be minimized as it would increase the risk of the portfolio. Non-Canadian currency exposure should be fully or almost fully hedged on fixed income mandates. Managers are allowed to retain up to 10% of non-Canadian currency exposure for tactical purposes. The global equity component of the portfolio may remain unhedged, given the relatively small exposure and the diversification benefits it would bring.
4.6 Measurement of Investment Returns

Investment returns are measured quarterly and assessed in relation to the following criteria:

- The overall objective is to achieve a rate of return in excess of the FTSE 91-Day T-Bills + 300 basis points over a 3 to 5 year period, with a level of risk, as measured by the standard deviation of returns, ranging from 3% to 7%.

- The Managers are expected to achieve the performance objectives included in their mandates over the relevant time horizon.

4.7 Liquidity

Liquidity requirements for the MTP are moderate. In a normal environment, assets will not be taken out of the MTP to meet obligations. A significant portion of the portfolio should be convertible into cash in a relatively short timeframe, given the nature of the obligations that the MTP is backing.
Section 5  Investment Objectives and Policies – Operating & Endowment Fund

5.1 Fund Objectives

i) To maintain the purchasing power of the Fund after payout over the long-term. The required return, at a minimum, should meet (after fees) the University Investment Payout Policy 2.11.

ii) to earn the return produced by the asset mix policy (Section 5.3), based on the return of the market indices, plus a premium to reflect active portfolio management. The premium should at least cover the cost of active management; and

iii) to meet the following payout requirements:

For the Endowed Portfolio

a) Pay the total return generated by the endowment portfolio’s share of the Fund to the capital of the endowment funds.

For the Operating Portfolio

b) Pay the 30-day Treasury bill rate less an established administrative fee to a portion of the non-endowed funds, as outlined in Policy 2.11. Such portion of the Operating Portfolio includes the Capital Fund, Ancillaries, and Trust Funds but do not include Research Funds.

c) Pay the amounts required for the Supplemental Pension Plan and for Term Endowments as outlined in Policy 2.11.

d) Pay an allocation to the University, subject to availability and restricted to one-time allocations. Allocations will not be made to fund general operations of the University.

e) Fund the initial and future allocations to the Major Strategic Opportunities Fund (“MSOF”), subject to the Major Strategic Opportunities Fund Policy X.X.

f) When investment returns exceed the above obligations and are in excess of the reserve requirements (as defined later in this document), the Board may make additional allocations in relation to University priorities and needs.
5.2 Risk Tolerance

The required real rate of return over time can only be achieved by accepting a level of volatility in returns from quarter to quarter and from year to year. The current expected asset mix policy return on the portfolio is 6.6% and the expected standard deviation of returns is 11.1% (see note 1 below). As a result, we expect that annual policy returns will fall within a range of minus 4.5% to plus 17.7% about 67% of the time and that annual returns will fall outside of this range about 33% of the time.

5.3 Asset Mix Policy

The Committee reviews the asset mix policy on an annual basis to maintain, over the long-term, the best balance between investment returns within an acceptable level of risk. Assets will be allocated across four strategic asset classes, based on the role of the underlying assets in the portfolio. The four strategic classes are Equities, Fixed Income, Real Assets and Diversifiers (see Section 6.1 for a list of eligible investments for each strategic asset class). Each strategic asset class is exposed to particular risk factors.

- Equities are expected to generate most of the growth in the portfolio.
- Fixed Income assets are expected to protect the portfolio in times of stress and provide some liquidity.
- Real Assets are expected to protect the Fund from high or unexpected inflation.
- Diversifiers provide additional diversification to the portfolio due to their low correlation with the other asset classes.

The current target asset mix policy is 65% in Equities, 15% in Fixed Income, 15% in Real Assets and 5% in Diversifiers. The asset mix policy is based on an optimization model that was externally developed and vetted by the Committee. This model projects investment return and risk based on historic relationships among the asset classes. To achieve the return objective, the portfolio has a substantial weight in growth assets.

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1 Source: Mercer as of December 31, 2018.
The table below shows the risk factors that each strategic asset class is exposed to:

**Risk Factor Exposure**

<table>
<thead>
<tr>
<th>Strategic Asset Class</th>
<th>Risk Factors</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Equities (Growth)</strong></td>
<td></td>
</tr>
<tr>
<td>Canadian Equities</td>
<td>Equity</td>
</tr>
<tr>
<td>U.S. Equities</td>
<td>Size (Small cap)</td>
</tr>
<tr>
<td>EAFE Equities</td>
<td>Liquidity</td>
</tr>
<tr>
<td>Long/short Equities</td>
<td>Value / Growth</td>
</tr>
<tr>
<td>Private Equity</td>
<td>Foreign exchange</td>
</tr>
<tr>
<td><strong>Fixed Income (Interest Sensitive)</strong></td>
<td></td>
</tr>
<tr>
<td>Core Fixed Income</td>
<td>Interest rate</td>
</tr>
<tr>
<td>Commercial Mortgages</td>
<td>Credit</td>
</tr>
<tr>
<td></td>
<td>Deflation</td>
</tr>
<tr>
<td></td>
<td>Liquidity</td>
</tr>
<tr>
<td></td>
<td>Foreign exchange</td>
</tr>
<tr>
<td><strong>Real Assets</strong></td>
<td></td>
</tr>
<tr>
<td>Real Estate</td>
<td>Inflation</td>
</tr>
<tr>
<td>Infrastructure</td>
<td>Liquidity</td>
</tr>
<tr>
<td>Commodities</td>
<td>Foreign exchange</td>
</tr>
<tr>
<td><strong>Diversifiers</strong></td>
<td></td>
</tr>
<tr>
<td>Absolute Return Strategies</td>
<td>High yield credit spread</td>
</tr>
<tr>
<td>Market Neutral Strategies</td>
<td>Liquidity</td>
</tr>
<tr>
<td>Cash</td>
<td></td>
</tr>
</tbody>
</table>
5.4 Rebalancing Policy

The Committee is permitted to deviate from the approved asset mix policy as follows:

**Fund Rebalancing Policy**

<table>
<thead>
<tr>
<th>Strategic Asset Class</th>
<th>Target Mix</th>
<th>Allowable Drift</th>
<th>Range</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Equities</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Canadian Equities</td>
<td>20%</td>
<td>+/- 5%</td>
<td>15% to 25%</td>
</tr>
<tr>
<td>U.S. Equities</td>
<td>20%</td>
<td>+/- 5%</td>
<td>15% to 25%</td>
</tr>
<tr>
<td>EAFE Equities</td>
<td>20%</td>
<td>+/- 5%</td>
<td>15% to 25%</td>
</tr>
<tr>
<td>Private Equity</td>
<td>5%</td>
<td>+/- 5%</td>
<td>0% to 10%</td>
</tr>
<tr>
<td><strong>Total Equities</strong></td>
<td>65%</td>
<td>+/- 5%</td>
<td>60% to 70%</td>
</tr>
<tr>
<td><strong>Fixed Income</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Fixed Income</td>
<td>10%</td>
<td>- 5%, +25%</td>
<td>5% to 30%</td>
</tr>
<tr>
<td>Commercial Mortgages</td>
<td>5%</td>
<td>+/- 5%</td>
<td>0% to 10%</td>
</tr>
<tr>
<td><strong>Total Fixed Income</strong></td>
<td>15%</td>
<td>-5%, +25%</td>
<td>10% to 35%</td>
</tr>
<tr>
<td><strong>Real Assets</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Real Estate</td>
<td>5%</td>
<td>+/- 5%</td>
<td>0% to 10%</td>
</tr>
<tr>
<td>Infrastructure</td>
<td>10%</td>
<td>+/- 5%</td>
<td>5% to 15%</td>
</tr>
<tr>
<td><strong>Total Real Assets</strong></td>
<td>15%</td>
<td>- 10%, +5%</td>
<td>5% to 20%</td>
</tr>
<tr>
<td><strong>Diversifiers</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash</td>
<td>0%</td>
<td>- 0%, +10%</td>
<td>0% to 10%</td>
</tr>
<tr>
<td>Absolute Return Strategies, Market Neutral Strategies</td>
<td>5%</td>
<td>+/- 5%</td>
<td>0% to 10%</td>
</tr>
<tr>
<td><strong>Total Diversifiers</strong></td>
<td>5%</td>
<td>- 5%, +10%</td>
<td>0% to 15%</td>
</tr>
</tbody>
</table>

Changes to the asset mix policy beyond these ranges would require the approval of P&F on the recommendation of the Committee.

5.5 Target Ratios for the Operating Portfolio

The Administration provides quarterly reports to P&F which monitor the reserve levels for the Operating Portfolio by reporting the ratio of the market value of investments to the obligations of the Operating Portfolio at the end of each fiscal quarter over time. The Board’s policy requires the ratio of investments to obligations to maintain a target level of at least 1.08, based on a 12 quarter moving average. It is recognized that due to volatility in investment returns this ratio may fall below 1.00 at the end of a given quarter. Any such shortfall will be shown in the annual financial statements but will not be used in calculating the balanced operating budget required by the Board.
The investment earnings objective is expected to exceed the payout requirements over time for the Operating Portfolio. Indeed, a fundamental premise is that investment returns in excess of the payout requirements will be generated to meet other important University needs.

Reserves, being the cumulative difference between investment returns and obligations are maintained for the Operating Portfolio to accommodate the short-term variability of investment returns and thus reduce, to an acceptable level, the risk associated with meeting the payout requirements discussed in Section 5.1 (b) and (c) above.

The reserve level is equal to the total market value of the Operating Portfolio portion of the Fund less the obligations owing to the Operating Portfolio. It is recognized that there is potential for the reserve level for non-endowed funds to be in deficit. Nevertheless, the Committee is expected to take a long-term view of the management of the Fund and to maintain an asset mix which is expected to earn the required rate of return over the long run.

5.6 Endowed Portfolio Payout Policy

The Board establishes policy for University Investment Payout (Policy 2.11), as amended from time to time). Such policies are designed to ensure that current and future generations share equally in the benefits of the endowments.

5.7 Exposure to Non-Canadian Currencies

The Canadian equity market represents approximately 4% of total world equity market in terms of total capitalization. Non-Canadian investments are included in the Fund in order to add diversification and reduce volatility of returns. Non-Canadian investments need not necessarily incur gains or losses from increases or decreases in the value of the Canadian dollar relative to currencies in other countries. This can be accomplished through currency hedging techniques employed by a Manager.

Although an analysis of the University’s spending shows that less than 5% of all expenditures are in non-Canadian funds, the value of the Canadian dollar affects the price of imported materials that are resold in Canada. Accordingly, it is appropriate to have some exposure to investments within currencies that are Non-Canadian to provide a hedge against a major fall in the value of the Canadian dollar.

The policy range of exposure to Non-Canadian currencies has been established to be within the range of 0% to 60% of the total Fund, after currency hedging.

5.8 Measurement of Investment Returns

Investment returns are measured quarterly and assessed in relation to the following criteria:

- The overall objective is to achieve the required rate of return over the long-term on the Fund, with an acceptable level of risk. The real rate of return is monitored on a 4 year annualized basis.

- The Managers are expected to achieve the performance objectives included in their mandates over the relevant time horizon.
5.9 Liquidity

The Committee will ensure that the Fund has sufficient liquidity to meet its future obligations. To properly assess the liquidity needs of the Fund, Administration will provide the Committee with regular updates on risk controls regarding liquidity, such as:

i) the availability of short-term and mid-term assets;
ii) the ratio of assets to obligations for the Operating Portfolio;
iii) any upcoming contributions to the University operating and capital budgets; and
iv) internal loans.
Section 6  General Investment Guidelines and Operational Matters

6.1 Eligible Investments

The following represents descriptions of eligible investments making up the strategic asset classes. The Portfolios may use these eligible investments except where specifically restricted by the individual portfolio guidelines.

**Equities**

Equity investments include common stock and equivalent securities, including, but not limited to, equity warrants, rights, call options, installment receipts, subscription receipts, convertible debentures, limited partnerships, private placements, REITs, preferred shares, stapled units (see note 2 below), stock index futures, options on futures and other derivative securities to manage risk, such as currency futures. The common stock or equivalent securities may be traded on Canadian, U.S., international or emerging markets stock exchanges, but can also be privately held. Specific equity mandates may be classified as Canadian equity, U.S. equity, international equity, global equity or emerging markets equity. Equity investments may also involve short selling. Private equity investments may include leverage that is appropriate for that asset class.

**Fixed Income**

Fixed income investments may include Canadian Government and Guaranteed-Affiliates bonds, real return bonds, provincial and municipal bonds, corporates/credit sensitive securities (includes the debt of corporations, supranational agencies and municipal entities whether domiciled inside or outside Canada, in developed or developing countries), sovereign bonds from developed or developing countries, high-yield bonds, mortgages, preferred stock, commercial mortgage-backed securities, commercial mortgages, mortgage-backed securities, asset-backed securities, private placements, convertible securities, cash and equivalent and fixed income futures and options.

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2  A stapled unit is a security that is contractually bound to one or more other securities to form a single salable unit.
**Real Assets**

Real Asset investments include real estate, infrastructure and commodities.

Real estate investments are ownership investments in land and buildings that are used for office, industrial, retail or residential purposes. Returns from real estate are expected to provide an offset for inflation over time.

Infrastructure investments are investments in assets that provide essential services with sustainable demand and predicable cash flows (see note 3 below). Returns from infrastructure are expected to provide an offset for inflation over time.

Real estate and infrastructure investments may include leverage that is appropriate for those asset classes.

Commodities may include direct investments, or investments through derivatives such as futures, in basic goods in the agriculture, livestock, energy and mining sectors.

**Diversifiers**

Diversifiers include cash and cash equivalents, absolute return strategies and market neutral strategies.

Cash and cash equivalents include the following securities:

- Government of Canada treasury bills, notes, debentures and any obligations unconditionally guaranteed by the Federal Government of Canada;
- Treasury bills, notes, debentures and any obligations unconditionally guaranteed by a provincial government of Canada;
- Municipal notes, debentures and any obligations unconditionally guaranteed by a municipal government of Canada;
- Highly rated foreign government treasury bills, notes, debentures and any obligations unconditionally guaranteed by a foreign government;
- Highly rated Banker’s Acceptances, Certificates of Deposits and other instruments issued by a Canadian or foreign bank;
- Highly rated commercial paper and corporate bonds of Canadian and foreign corporations;
- Repurchase agreements backed by a minimum of industry standard collateral;

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3 Infrastructure investments projects include water, utilities, toll roads, bridges, tunnels, communications and airports, etc.
• Floating-rate notes issued by Canadian or foreign issuers; and

• High interest savings accounts.

Absolute return strategies try to achieve positive returns irrespective of the market environment and exhibit low correlations with bonds and stock portfolios.

Market neutral strategies are structured in such a way that they are not exposed significantly to market fluctuations.

Absolute return and market neutral strategies may include public and private securities as well as leverage that is appropriate for these types of assets.

6.2 Manager Structure

The Committee manages the risk profile of the Fund and the MTP by recommending for approval each portfolio’s Asset Mix Policy to P&F and then, ultimately, to the Board. The Committee hires Managers with specific asset class investment mandates as opposed to balanced investment mandates and the Committee is thus able to manage the actual asset mix of the Fund and the MTP.

The Committee may hire either active or passive Managers. In general, passive management is preferred in markets where Managers have not been able to outperform the market indices, such as the current case in Canadian fixed income securities. Active Managers are required to earn a prescribed amount over the appropriate index return to cover their fees and to compensate for the greater risk and fee costs of active management.

Management of publicly traded equities may involve the use of leverage and short selling at a level with which the Committee stated at the outset of the Manager’s mandate. The Committee may hire Managers where the mandate allows leverage and short selling (see note 4 below).

There is a preference for multiple manager styles for the total fund. Within equities, styles can include value and growth. Within bonds, styles can include interest rate anticipation, sector selection, security selection, yield curve positioning and currency management or passive (index returns).

The University's tax-exempt status makes interest, dividends, capital gains and foreign exchange gains equally desirable.

4 When a security is sold short, the security is borrowed from a broker and sold with the intention of making a profit by buying the security back at a lower value.
6.3 **Cash Flow Management**

The objectives of the University's cash flow management process are as follows:

i) to maximize the funds that are available for external management in the Fund, while maintaining sufficient short-term and mid-term investments outside of the Fund to meet the University’s working capital requirements;

ii) to generally maintain a positive cash balance throughout each year in order to meet the University’s liquidity needs, investing temporary excess cash either in the STP or MTP;

iii) to only borrow funds for short periods of time to support operating purposes. A line of credit is maintained for operating needs in the amount of up to $20 million; and

iv) to ensure, as much as reasonably possible, that the funds allocated to Managers are not subject to short-term cyclical variations as a result of the University's cash flow needs.

6.4 **Conflict of Interest**

If a member of the Committee or any agent of or advisor to the Committee has any material pecuniary interest, direct or indirect, in any matter in which the Portfolios are concerned and becomes aware of such a conflict, that person shall, without delay, disclose this interest in writing and shall not take part in any debate or vote on such a matter. It is noted that agents and advisors are permitted to present items to the Committee and it is understood that such agents and advisors may benefit in the event that the Committee adopts the items.

The Committee shall include in the mandate of each Manager the requirement to comply with the Code of Ethics and Standards of Professional Conduct adopted by the CFA Institute.

Every disclosure of interest under this section shall be recorded in the minutes of the Committee meeting. The failure of a person to comply with the procedures described in this section shall not of itself invalidate any decision, contract or other matter.

If a conflict of interest is discovered or disclosed after the Committee has made a decision, the Committee will reconsider the decision in light of the new information.

6.5 **Proxy Voting**

The exercise of voting rights acquired through any investment is delegated to the Managers with the instruction to vote in favour of any proposal which, in their opinion, will accrue and enhance the investment value of the relevant security, and against any proposals which will unduly increase the risk level or reduce the investment value of the relevant security to the detriment of the Fund or the MTP. However, when it would be in the University's best interest to do so, the University reserves the right to exercise its voting rights.
If the Manager firm, or any employee or associate of the Manager firm, has any direct or indirect pecuniary interest in any matter on which the Fund or the MTP has a right to vote, it must be brought to the attention of the Committee which has discretion to:

i) instruct the Manager to exercise the voting right in line with the principles described above, on the grounds that the relevant pecuniary interest is not material; or,

ii) instruct the Manager how to cast the Fund's or MTP's vote, having considered the principles described above; or,

iii) authorize the Fund's and MTP's custodian/trustee to exercise the voting right in line with the principles described above.

6.6 Securities Lending

The Portfolios may engage in securities lending activities to generate incremental income, subject to approval from the Committee, P&F and compliance with appropriate laws and regulations.

Such loans must be secured by Canadian government bonds, treasury bills, provincial bonds of any highly rated Canadian province and/or letters of credit, discount notes, and banker’s acceptances of major Canadian chartered banks. The amount of collateral taken for securities lending should reflect best practices in local markets and marked to market on a daily basis.

The terms and conditions of any securities lending program, including the maximum exposure in aggregate and by counterparty, will be set out in a contract with the Custodian. The Custodian shall, at all times, ensure that the Administration has a current list of those institutions that are approved to borrow the Portfolios' investments. If the Portfolio's assets are invested in a pooled fund, security lending will be governed by the terms and conditions set out in the pooled fund contract.

6.7 Derivatives Usage

Derivatives may be used by the University or the Managers managing the Portfolios for hedging, risk management and portfolio rebalancing purposes, but not for leveraging the Portfolios. Derivative products include options, futures, forwards and swaps.

6.8 Valuation of Infrequently Traded Instruments

The valuation of infrequently traded investments shall be determined by the trustee or Custodian of the underlying fund. In the case of private investments, including but not limited to real estate, infrastructure, private equity and commercial mortgages, the valuation shall be based on independent opinions of qualified appraisers as required or should follow the best practices used for a particular asset class.
Section 7  Responsible Investing

7.1 Introduction

The Committee recognizes that Responsible Investing (“RI”) is a rapidly evolving approach to investing that understands sustainability as a fundamental concept in wisely allocating financial capital for the benefit of today and future generations. The Committee has a fiduciary obligation to invest funds for the benefit of the University in the interest of endowment funds/donors and RI is in keeping with that obligation.

The Committee has formed a Working Group on Responsible Investing (“WGRI”) to bring knowledge and expertise as needed to bear on the effective management of the Portfolios in its RI strategy.

7.2 Responsible Investing Strategy

As part of its mandate, the WGRI will define RI and carry out a process that will contribute to the Committee meeting its Portfolio objectives. The process will at all times be in keeping with the mission, aim, values and governance culture of the University.

The definition of RI, which is included in the WGRI Terms of Reference, will reference using Environmental, Social, Governance (“ESG”) factors as an integral part of the process.

The Committee recognizes the importance of being up to date on responsible investing issues and peer institutional best practice. It endeavors to look forward, be transparent and flexible in carrying out its long-term investment objectives.

7.3 Monitoring Managers

Given the relatively small size of the Portfolios and the fact that most investments are held in pooled vehicles, it is not practical at this time for the University to directly engage individual companies on ESG related issues. Instead, the University will monitor the Managers it hires to manage the Portfolios on how they integrate ESG factors into their portfolio building process.

The cornerstone of the process by which the University monitors its Managers is a required ESG due diligence questionnaire. The ESG questionnaire should cover the following areas:

- Commitment of resources both financial and personnel;
- Transparency of process, including individual company;
- Evolution and advancement of manager expertise in ESG consideration;
- Appropriate manager marketing to the public;
- Policies and practices around the managers’ shareholder engagement activities, as part of an overall responsible investing strategy. Managers are to assess companies’ management practices in contributing to the long-term health of each investee company.
7.4 Engaging Companies

Company engagement activities, such as dialogue with management, proxy voting or shareholder resolution filing are delegated to the Managers. Managers are expected to report to the University on a regular basis on their engagement work and provide a rationale for their decision to alter a portfolio position based on ESG factors.

7.5 Divestment

The University leaves the decision to exclude a security to the Managers hired to manage a portion of the Portfolios, as they possess the necessary expertise and information to make the decision that is in the best interest of the Portfolios.

The University believes that, in most situations, engagement is a superior approach to divestment in effecting changes on ESG related issues. Engagement allows investors to retain their voice in terms of voting on shareholder resolutions and maintaining or escalating, as needed, a dialogue with portfolio company management.

Divestment will be considered for issues in which there is wide investor consensus.

7.6 Advocacy and Collaboration

The University endeavours to remain up to date on sustainability investing issues and the impact of ESG factors on its Fund. In order to maintain its knowledge of the field of sustainability investing and to contribute to its development, the University will liaise with other institutional investors and industry associations to discuss key issues.

7.7 Disclosure

The University will make available to the University community, upon request, the most recent list of publicly traded investments of the Portfolios, subject to blackout periods imposed by the underlying managers. Publicly traded investments are defined fixed income securities for which there is a reasonably liquid market and equities of companies listed on a stock exchange. Requests need to comply with the Disclosure of Information on UWO Investments Policy 2.14 of the Board.
Section 8  Governance

Responsibilities are divided among P&F, the Committee, and Administration as noted below. Additional stakeholders involved with the Portfolios include Managers, a custodian, investment consultant and a performance measurement consultant.

8.1 Property and Finance Committee

The Property & Finance Committee is a standing committee of the Board of Governors constituted for the review and approval of policy, and decision-making in respect of the property and financial resources of the University. As it relates to the Portfolios and the Investment Committee, P&F:

i) makes recommendations to the Board on investment policies and governance as recommended by the Investment Committee;

ii) appoints members of the Investment Committee; and

iii) reports investment activities to the Board.

8.2 Investment Committee

The Committee is a sub-committee of P&F. The overall objective of the Committee is to bring expert advice and knowledge to bear on the effective management of the Portfolios consistent with the approved fund objectives. Within this general mandate, the Committee:

i) establishes and regularly reviews investment policy, objectives and strategy;

ii) appoints Managers and retains a fund measurement service and other investment consultants as appropriate; and

iii) regularly reviews the Portfolios and the performance of the Managers and takes action as may be deemed appropriate.

8.3 Administration

i) ensures compliance with legal and University requirements;

ii) rebalances the Portfolios by transferring funds among managers and asset classes appropriate according to policies approved by the Committee and reports such activity to the Committee;

iii) manages University cash flows in accordance with the objectives and policies outlined in Section 6 of this document. Reports to the Committee about the University’s cash flows and short-term investing activities on a periodic basis;
iv) executes investment decisions made by the Committee;

v) reports to the Committee on the performance of individual managers and of the Portfolios. Keeps the Committee informed of all other issues and developments relative to the management of the University Portfolios;

vi) works closely with and directs the Consultant, the Custodian and the Managers as appropriate;

vii) reports to the Committee on other University activities that have an impact on the investment portfolio;

viii) periodically meets with each member of the Committee to discuss any concerns, additional information requirements and suggestions for improvement;

ix) maintains an awareness of progressive investment management policies and practices at other Canadian and US universities;

x) reports to the Committee and to the P&F on the ratio of investments to obligations for the non-endowed portion of the portfolio; and

xi) makes recommendations to the Committee concerning terminating Managers and hiring new Managers.

8.4 Managers

i) manage a specific investment mandate according to a set of investment guidelines and maintain compliance to those guidelines;

ii) aim to achieve a performance objective;

iii) report to the University on performance by providing attribution analysis, but also on changes at the firm in terms of organizational structure, personnel and investment process; and

iv) vote proxies on behalf of the University according to proxy voting guidelines.

8.5 Custodian

i) holds assets owned directly by the University and provides monthly valuation of those assets;

ii) executes instructions provided by authorized representatives of Administration; and

iii) coordinates securities lending, if any.
8.6 Investment Consultant

i) assists the Committee in the development of governance structures, policies and procedures;

ii) assists the Committee in identifying the objectives and risks to be managed and in implementing the appropriate asset mix;

iii) provides research on emerging investment strategies;

iv) maintains research on Managers employed by the University;

v) assists with manager searches by giving the University access to its database of Managers, narrowing the universe, providing performance analysis, preparing questionnaires and attending finalist meetings;

vi) provides quarterly opinions on the Fund’s and MTP’s performance;

vii) informs the Committee on successful, seasoned, and state-of-the-art investment management technologies where relevant and appropriate; and

viii) attends Committee meetings, at the invitation of the Investment Committee Chair.

8.7 Performance Measurement Consultant

i) provides performance measurement services and analytical services through research reports, data and/or database(s) to be delivered by electronic means or hard copy format;

ii) provides total fund, individual Manager and asset class return on a monthly basis; and

iii) provides quarterly performance reports that include capital market commentary, market indexes, asset class summary by class and Manager, returns over selective time periods by class and Manager, returns attribution analysis, and comparative analysis measurement for active Managers.
I. PREAMBLE

Western has been investing in its future by allocating one-time resources in support of various strategic initiatives for a number of years. Such investments are essential for Western’s aspirational goals of achieving global excellence.

With the ever-increasing pace of change facing the universities, it will also be necessary for Western to be strategic as well as entrepreneurial, and to seek and seize new major initiatives which have the potential of having transformational impact on the institution. Without limiting the scope of such transformational opportunities, the following are illustrative examples which could fall into such categories:

- Securing a major national or international research facility of significant scope,
- Establishing strategic and deeper collaborative academic and research partnerships with international partner; and funding of research initiatives,
- Strategic acquisition of properties.

Through prudent fiscal management of its non-endowed funds, Western has a unique opportunity to establish a Major Strategic Opportunities Fund in support of new transformative opportunities. The Fund will NOT be used to support the general operations of the university including the routine strategic initiatives supported through the operating budget.

Although the Fund will not be endowed, it will be managed similar to an endowment so that the fund continues to support major strategic opportunities in perpetuity. Like an endowment, efforts will be made to maintain the purchasing power of the Fund over the long-term. Efforts will be made to gradually grow the Fund so that it can respond to future opportunities requiring larger investments. Allocations from the Fund will be subject to an annual limit and a minimum reserve requirement. Major investments that exceed the annual spending limit will be funded through multi-year allocations. Only under rare and exceptional circumstances will allocations be allowed that take the Fund below the minimum capital reserve on temporary basis. Such “temporary encroachment” on
II. PURPOSE AND SCOPE

The purpose of this policy is to document the principles and guidelines for the establishment, use and ongoing funding of a Major Strategic Opportunities Fund (the "Fund"). The Fund will be established with a portion of the cumulative net returns from the investment of non-endowed funds in the University's various investment pools, invested in accordance with the Statement of Investment Objectives, Policies and Governance (MAPP 2.26). The Fund will be for "the strategic use and long-term benefit of the University".

In 1984, the Board of Governors established an investment policy, which called for the core portion of non-endowed funds to be invested in the same manner as the endowed funds. Non-endowed funds include specific purpose donations, ancillary revenues (such as the Residences and Hospitality Services), government grants, capital revenues, tuition fees and research grants and contracts. Although particular fund sources are expended over time, at a macro level they are replaced with new funds through ongoing activities. As a result, Western has a significant base or "core portion" of non-endowed funds that can be invested. This allows Western to earn returns on the non-endowed funds that exceed the returns that would have been earned by investing all non-endowed funds in short term money market instruments over time.

This policy is expected to demonstrate prudent long-term management of the Fund and provide a framework for supporting the strategic objectives of the University. The authority and responsibilities for decision-making for allocations from the Fund rests with the Board of Governors.

IV. POLICY

1.00 The Fund will be invested as outlined in the University’s Statement of Investment Objectives, Policies & Governance (MAPP 2.26).

2.00 The cumulative balance of the Fund will be segregated within Internally Restricted Net Assets (IRNA) to support the strategic objectives of the university as identified in the University’s Strategic Plan, as may be amended from time to time.

3.00 The Fund will receive its pro-rata share of the annual returns/losses from the investment of non-endowed funds in the University’s Operating & Endowment Portfolio. If available, the amount of any additional contribution to the Fund will be determined by the Board of Governors (based on a recommendation from the President) on an annual basis, on or before April 30th.

4.00 The Fund will be subject to a minimum reserve requirement of $100 million and annual allocations from the Fund will be limited to a minimum of $10 million and a maximum of $50 million.

5.00 All allocations from the Fund will require approval of the Board of Governors. Requests must be recommended by/and have the prior approval of the President, the Vice-President (Academic) and the Vice-President (Operations & Finance) before proceeding to the Board of Governors.

6.00 Where applicable, the allocation and spending of the Fund will be done in accordance with the approval process applicable to the intended allocation and use of the Fund, such as the capital project approval process (MAPP Policy 2.15).

7.00 Allocations from the Fund will not be made to fund general operations of the University.
8.00 A summary report on allocations, contributions, reserve level and remaining Fund balance will be completed on an annual basis as at April 30.

9.00 The Major Strategic Opportunities Fund Policy will be reviewed at least every five years. Any changes to this policy will require approval of the Board of Governors.
New Scholarships and Awards

Dr. Argyrios Margaritis Memorial Scholarship (Engineering)
Awarded annually to an undergraduate student graduating from the Department of Chemical & Biochemical Engineering at Western, with a minimum 80% average, who has applied for a graduate Chemical & Biochemical engineering program at Western. An online application must be completed through the Engineering Undergraduate Services website (http://www.eng.uwo.ca/undergraduate) and submitted by April 30th. The recipient will be selected by the Undergraduate Scholarship and Awards committee in the Faculty of Engineering. This scholarship was made possible by the family, friends and colleagues of Dr. Argyrios Margaritis, (PhD. P.Eng., FCIC, Order Hon. PEO, FEC, and FCAE).

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

Dr. Argyrios “Gerry” Margaritis was born and raised in Greece. As a teenager, he immigrated to Canada to pursue his dreams. He attended the University of Waterloo and in 1966 received his Bachelor of Science degree in Chemical Engineering. He received his Master of Science in Chemical Engineering in 1968 and his PhD in Biochemical Engineering in 1975, both from the University of California at Berkeley. He began his career as a Chemical and Biochemical Engineer at The University of Western Ontario, where he spent over forty years immersed in what he loved the most – teaching and research. He had a wide range of interests and areas of focus in his research, including biopolymer nanoparticles for drug delivery, biomedical engineering, bioenvironmental engineering, biofuels (ethanol, butanol and hydrogen gas), and fermentation. As a Professor, Argyrios was respected by his students as a caring mentor and a dedicated researcher. Dr. Margaritis died in 2019.

Shaun Finnie LLB ’89 Bursary (Law)
Awarded annually to a full-time undergraduate student in any year of the Faculty of Law, based on demonstrated financial need. Online financial assistance applications are available through the Office of the Registrar's website and must be completed by October 31st. The Office of the Registrar will select the recipient. This bursary is made possible by a generous gift from Shaun (LLB ’89) and Selme Finnie.

Value: 1 at $5,000
Effective Date: 2019-2020 to 2023-2024 academic years (with review of award value in final year)

Geofrey Marshall Cross Country Award (Any Undergraduate or Graduate Program, Athletic Award - Cross Country)
Awarded 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 significant contribution as a member of the Cross Country Team, with preference given to someone who is also on the Track and Field Team. 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%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipient based on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established with a generous gift from Mr. Geofrey Marshall (BA ’94).

Value: 1 at $2,000
Effective Date: 2019-2020 to 2023-2024 academic years inclusive

Professor Antonio M. Marti Scholarship (Modern Languages and Literatures)
Awarded annually to a Faculty of Arts and Humanities undergraduate student completing fourth year in any Modern Languages and Literatures program, based on academic performance (minimum 80% average). The scholarship committee in the Department of Modern Languages and Literatures will select the recipient. This scholarship was established with a generous gift from the Estate of Mrs. Hanna Marti (MLS ’79, MA ’69 Spanish), in honour of her husband, Professor Antonio M. Marti.
Hanna was born in Europe and met Antonio, while studying in Spain. They immigrated to Ontario, where she studied at Western University and began working in the School of Library and Information Science as a specialist in rare books. Antonio taught in the Department of Modern Languages and Literature at Western for over three decades, published widely, and served in a variety of senior administrative positions, including Assistant Vice President Academic and Chair of the Department of Modern Languages. Hanna will be remembered as an exceptionally talented linguist who was totally at home in Finnish, Swedish, Spanish and English. Hanna Martí died in 2018, predeceased by Antonio in 2007.

Dr. Douglas Drummond Award in Medicine (Schulich School of Medicine & Dentistry)
Awarded to a full-time undergraduate student entering first year of the Doctor of Medicine (MD) program at the Schulich School of Medicine & Dentistry, based on demonstrated financial need. Online financial assistance applications are available through Student Center and must be completed by September 30th. Preference will be given to a student from a rural area. The Office of the Registrar will select the recipient. This award was established with a generous gift from Dr. Douglas C. Drummond (MD ’75, BA ’71).

Value: 1 at $2,000
Effective Date: 2019-2020 to 2023-2024 academic years inclusive

George W. VanOstrand Music Award (Music)
Awarded annually to a full-time undergraduate student in any year of a Bachelor of Music or Bachelor of Musical Arts program in the Don Wright Faculty of Music who demonstrates strong musical performance ability on a brass, percussion or woodwind instrument and has achieved a minimum 70% average in the prior year. Preference will be given to a woodwind student. The Scholarship/Awards Committee in the Faculty of Music will select the recipient each fall. This award was established with a generous gift from Ms. Jan Devereux, in memory of her husband Dr. George VanOstrand.

Value: 1 at $1,000
Effective Date: 2019-2020 academic year

Dr. George VanOstrand received his Doctor of Musical Arts degree from Eastman School of Music in Rochester, N.Y. After coming to Canada, he taught saxophone performance and music education at Western University for over twenty-eight years (from 1969-1997). He was a loving husband, father and grandfather with varied interests in wood-fired pottery, tennis and golf. Dr. VanOstrand died in 2018 at the age of 86.

Maxena Hollingsworth Award in Music (Music)
Awarded annually to a full-time student entering first year of any undergraduate program in the Don Wright Faculty of Music, 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 Scholarship and Awards committee in the Don Wright Faculty of Music will select the recipient after the Registrar’s Office assesses financial need. This award was established with a generous gift from the Estate of George Donald Hollingsworth in honour of his wife, Maxena Jean Hollingsworth.

Value: 1 at $2,000
Effective Date: 2019-2020 academic year

Having met as high school sweethearts, ‘Jean’ and ‘Don’ were married for 66 years. Jean was a graduate of Alma College in St. Thomas. Together, they ran Don Hollingsworth Men’s Wear in Watford for many years. Jean was a gifted musician and singer. Don served as Captain of the Watford Fire Department and President of the Watford Rotary Club. Don passed away in 2018 at the age of 90 and was predeceased by Jean in 2014 at the age of 87.

Dr. Elmer Butt Medical Award (Schulich School of Medicine & Dentistry)
Awarded annually to full-time undergraduate students in any year of the Doctor of Medicine (MD) program
at 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 completed by September 30th. The Office of the Registrar will select the recipients. This award was established with a generous gift from the Estate of Dr. Elmer Butt (MD ’43).

Value: 3 at $6,500
Effective Date: 2019-2020 academic year

Dr. Butt worked as a Diagnostic Radiologist in Windsor, Ontario. In 1971, he started the Windsor Association of Riding for the Handicapped, after observing horses being used for therapy with physically challenged children in England. This Association was a first in Canada. In 1995, the name was officially changed to the Windsor-Essex Riding Association (WETRA). Over the years, thousands of children and adults with cerebral palsy, spina bifida, head injuries, post stroke and learning disabilities have enjoyed the physical and psychological benefits of equine assisted therapies. Dr. Butt died in 2001 at the age of 83.

Dr. Saulius Kizis Medical Bursary (Schulich School of Medicine & Dentistry)
Awarded annually to a full-time undergraduate student in any year of the Doctor of Medicine (MD) program at the Schulich School of Medicine & Dentistry, 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 with a generous gift from the Estate of Dr. Saulius Kizis (MD ’71).

Value: 1 at $1,600
Effective Date: 2019-2020 academic year

Dr. Saulius Kizis worked in Family Medicine in Windsor, Ontario for many years, serving many generations of the same family. He was known to make house calls and signed his emails with “Hugs and Kizis”. He was loved by his family and patients. Dr. Kizis died in 2018 at the age of 72.

Dr. Eleanor Deinum Medical Award (Schulich School of Medicine & Dentistry)
Awarded annually to full-time undergraduate students in any year of the Doctor of Medicine (MD) program at 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 completed by September 30th. The Office of the Registrar will select the recipients. This award was established with a generous gift from the Estate of Dr. Eleanor Jeanne Deinum (MD ’55).

Value: 5 at $6,600
Effective Date: 2019-2020 academic year

After graduating from Medicine in 1955, Dr. Eleanor Jeanne Deinum, known as “Jeanne” interned at Victoria Hospital in London. She completed her psychiatric training at the University of Toronto and was the first woman in Canada to earn her Fellowship in Psychiatry from the Royal College of Physicians and Surgeons of Canada. She joined the staff at the London Psychiatric Hospital in 1956 and served as Medical Director from 1978 to 1983. She was also a Clinical Associate Professor in the Department of Psychiatry at Western. Dr. Deinum enjoyed theatre and opera and travelled extensively. She died in 2017 at the age of 84.
Professor Donald H. Thain MBA 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. 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 by Ralph M. Barford (LLD ’87) through The Ralph M. Barford Foundation.

Value: 1 at $40,000
Effective Date: May 2019

Dr. Andrew N. Hrymak International Scholarship in Engineering (Engineering)
Awarded annually to an international full-time undergraduate student in Year 2 of any program in the Faculty of Engineering, based on academic achievement (on Dean's Honor List in Year 1) and volunteer and leadership ability, as demonstrated by participation in extracurricular activities or community involvement. An online application must be submitted through the Engineering Undergraduate Services website (http://www.eng.uwo.ca/undergraduate) by September 30th and must include a one-page statement outlining the applicant's involvement in extracurricular activities, or the community. The recipient will be selected by the Scholarship and Awards Committee in the Faculty of Engineering. This scholarship was made possible by a generous gift from Tim Kwan (BESc '73), and his wife Jane, in honour of Dr. Andrew N. Hrymak’s leadership as Dean of the Faculty of Engineering from 2009 to 2018.

Value: 1 at $2,500
Effective Date: 2019-2020 to 2028-2029 academic years inclusive

Maureen Ryan Bursary in Geography (Geography)
Awarded annually to an undergraduate student registered in Year 2, 3 or 4 in Geography in the Faculty of Social Science, 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 through a generous estate gift from Maureen E. Ryan.

Value: 1 at $1,000
Effective Date: 2019-2020 academic year

Maureen received her Master’s of Library Science degree from the University of Toronto and began a life-long professional career at D.B. Weldon Library, Western University. She participated in dancing, Tai Chi, language and literacy tutoring, and historical acting. She was a great supporter of London’s Jane Austen Society of North America. Maureen died in 2018 at the age of 68.

Dean’s Graduate Music Scholarship (Music)
Awarded annually to graduate students entering any of the Master level degree programs in the Don Wright Faculty of Music, based on merit (academic and/or performance). A committee within the Graduate program of 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. This scholarship was established with a generous gift from Dr. Betty Anne Younker, Dean in the Don Wright Faculty of Music.

Value: 2 at $1,000
Effective Date: May 2019 to April 2020

Mario Paura Award in Law (Law)
Awarded annually to a full-time student entering Year 1 in the Faculty of Law, based on academic achievement and demonstrated financial need. Online financial assistance applications must be submitted through Student Center by May 31. Preference will be given to a student who has displayed an interest or background in real estate related matters. The recipient will be selected by the scholarship and awards committee in the Faculty of Law after the Office of the Registrar assesses the financial need. This award is made possible by a generous gift from Mr. Mario Paura (LLB ’92) in appreciation of the support and education he received at Western.
Value: 1 at $1,500  
Effective Date: 2019-2020 to 2023-2024 academic years inclusive  
**Dr. W. Gregory Chernoff Impactful Presentation Award** (Schulich School of Medicine & Dentistry, Otolaryngology)  
Awarded annually to the Resident in the Department of Otolaryngology (Head and Neck Surgery) who is deemed to have made the most impactful presentation (ie. most skillful at presenting their research) at the Annual Department of Otolaryngology - Head and Neck Surgery’s Resident Research Day. The Resident Research Day adjudicators will select the recipient. The recipient cannot be a recipient of the Peter Cheski Innovative Research Award or the C.A. Thompson Scientific Achievement Award. This award was established with a generous gift from Dr. W. Gregory Chernoff.

Value: 1 at $1,000  
Effective Date: 2019-2020 academic year  
**John M. & Anne Geddes Bursary in History** (History)  
Awarded annually to a full-time undergraduate student in Year 2, 3 or 4 in an Honors Specialization, Major or Minor in History, 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 with a generous gift from the Estate of Mrs. Anne Geddes and her husband Mr. John M. Geddes.

Value: 1 at $2,700  
Effective Date: 2019-2020 to 2022-2023 academic years inclusive (with value to be reviewed in final year 2022-2023)  
**Triumph Tool Ltd. Football Scholarship** (Any Undergraduate or Graduate Program, Football)  
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 significant contribution as a member of the Men's Football Team. 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%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipient. This committee will base its decision on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This scholarship was established by Mr. John E. Duffy (MBA '02, BSc '85).

Value: 1 at $2,000  
Effective Date: 2019-2020 to 2023-2024 academic years inclusive  
**Dr. John Patrick Duffy Memorial Award in Mathematics** (School of Mathematical & Statistical Sciences)  
Awarded annually to a full-time undergraduate student in any year of an Honours Specialization offered by the School of Mathematical & Statistical Sciences (SMSS), or a double Major in an Honours degree that includes a SMSS major, with a minimum 70% average and who is involved in volunteer mentoring programs (which could include, but are not limited to, academic or mental-health related mentoring or coaching) in school or in the community. A one-page statement outlining this involvement must be submitted to the Dean’s Office in Science by September 30th. The scholarship and awards committee in the Faculty of Science will select the recipient. This award was established by a generous gift from friends and colleagues in honour of Dr. John Patrick Duffy (BESc ’61).

Value: 1 at $1,000  
Effective Date: 2019-2020 academic year  
**Dr. John Patrick Duffy grew up in a rural community. He and his sister, Maureen, were exceptional students who helped their classmates. Both attended Western University however, Maureen was killed in a traffic accident in 1960. John received his Bachelor of Engineering Science degree from Western in 1961. He worked as a chemical engineer and in 1988, patented a manufacturing process for butyl rubber while working at Polysar Rubber Corp. in Sarnia. Throughout his life, John continued to help young**
people — the children of coworkers, friends, neighbours -- further their education. He died in 2013 at the age of 74.

Dr. James J. Talman Scholarship in Local History (History)
Awarded annually to a full-time undergraduate student in Year 3 or 4, who is enrolled in a Major or Honours Specialization in History, based on academic achievement (minimum 80% average), and the submission of either a course assignment or a one-page statement relating to the history of London and Southwestern Ontario. The course assignment could be an essay, pamphlet, poster, or a digital assignment. The one-page statement could be a description of an internship or extra-curricular experience relating to historical works about London and Southwestern Ontario. Submissions can also be accepted that use a local history methodology in reference to a geographically specific area anywhere in Canada. Students are asked to make their submissions to the Departmental Office in History by September 30th. Students may submit work from the previous academic year. A committee designated by the Chair in History will select the recipient. This scholarship was established by a generous gift from Mrs. Ragnhild Talman and members of the Talman family in memory of Dr. James J. Talman (BA ’25, MA ’27, PhD ’30, Doctor of Laws ’72).

Value: 1 at $1,300
Effective Date: 2019-2020 academic year

Dr. James J. Talman graduated in History from Huron College, Western University in 1925. He completed his Doctorate in History at the University of Toronto in 1930. He began his career as the Toronto Provincial Archivist and Acting Legislative Librarian. He served Western University for almost 50 years, 23 of them as Chief Librarian. Dr. Talman retired as Chief Librarian in 1970 and from teaching at Western in 1987. He received Honorary Doctorate degrees from the University of Waterloo in 1960 and Western University in 1972. He also served as the President of the Ontario Historical Society. In 1969, Dr. Talman received the Cruikshank Medal for his major contributions to the study of Ontario history and in 1970 he was honoured as an Officer of the Order of the British Empire. Dr. Talman died in 1993 at the age of 89.

Judy Alaszkiewicz Women's Volleyball Award (Any Undergraduate or Graduate Program, Women's Volleyball)
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 significant contribution as a member of the Women's Volleyball Team. 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%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipient. This committee will base its decision on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Ms Therese Quigley (MA ’84 University of Alberta, BEd ’77, BA ’75), Mrs. Fran (Wigston) Eberhard (MA ’79, BA ’57) and Dr. Ellen Singleton.

Value: 1 at $1,000
Effective Date: 2019-2020 academic year (with value to be reviewed in 2020-2021)

CCPartners Award in Labour Law (Law)
Awarded annually to a student in Year 2 or 3 in the Faculty of Law who achieves the highest academic standing in the Labour Law course. The recipient will be selected by the Scholarship and Awards Committee in the Faculty of Law. This award was established with a generous gift from Crawford Chondon & Partners LLP.

Value: 1 at $1,500
Effective Date: 2019-2020 to 2023-2024 academic years inclusive
Harte Law Award (Law)
Awarded annually to a full-time student in Year 3 in the Faculty of Law, based on academic achievement and demonstrated financial need. Preference will be given to a student who has demonstrated academic promise and aptitude for health law. Online financial assistance applications are available through Student Center and must be submitted by September 30. The Scholarship and Awards Committee in the Faculty of Law will select the recipient once the Office of the Registrar has determined financial need. This award was established by a generous gift from Paul Harte (BA’88, LLB/MBA ’92) at Harte Law PC.

Value: 1 at $1,000
Effective Date: 2019-2020 academic year

Law Class of 1993 Bursary (Law)
Awarded annually to a full-time undergraduate student in any year in the Faculty of Law, 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 is made possible by a generous gift from the Alumni members of the Law Class of 1993, in honour of their 25th reunion year.

Value: 1 at $3,000
Effective Date: 2019-2020 to 2023-2024 academic years inclusive

Dr. Charles and Daisy Bell Medical Award (Schulich School of Medicine & Dentistry)
Awarded annually to full-time undergraduate students in any year of the Doctor of Medicine (MD) program at 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 completed by September 30th. The Office of the Registrar will select the recipients. This award was established with a generous gift from the Estate of Joseph F. Buchan and his wife, Ruth E. Buchan in honour of Ruth’s parents, Dr. Charles (MD 1911) and Daisy Bell.

Value: 3 at $5,300
Effective Date: 2019-2020 academic year


Jon and Roberta Hall Continuing Bursary (Any Undergraduate Program)
Awarded to two full-time students (one male and one female) entering first year, in any first-entry program, who have demonstrated financial need. Preference will be given to a student graduating from a London or Middlesex County high school. Online financial assistance applications are available through Student Center and must be submitted by October 31st. The Office of the Registrar will select the recipients. These bursaries will continue into Year 2, 3 and 4 as long as the student continues to demonstrate financial need each year. Only two students can hold these bursaries at any one time. If a student fails to retain the bursary for any reason, then a replacement student in the same year will be selected. This bursary was established through a generous gift from Jon and Roberta Hall, long-time friends and supporters of Western.

Value: 2 at $3,100 continuing for up to 4 years
Effective Date: 2019-2020 academic year

Jon Hall, a successful entrepreneur in London, Ontario, dreamed of attending university, but never had the opportunity. Jon and Roberta’s belief in the transformational power of education will ensure generations of students with financial need will be successful in fulfilling their dreams of attaining a university education. Jon died in 2017 at the age of 92.

Indigenous Student Travel Award (Any Undergraduate Program, except Ivey)
Awarded annually to Indigenous undergraduate students (First Nations, Métis or Inuit ancestry) participating in a formal outbound exchange program to one of the following partner institutions: Monash University, Australia or University of Otago, New Zealand. This award is designed to encourage students to participate in exchange programs by offering financial assistance for the costs related to their exchange program. Students will be considered for the award upon acceptance into their exchange program by Western International and the partner institution. The recipients and award values will be determined by Western International. Students registered at Ivey Business School or affiliate university colleges are not eligible.

Value: Number and value will vary based on the funds available and the cost of the exchange program
Effective Date: 2019-2020 academic year
Lucas Family Women in Science Distinguished Scholar

Donor and Funding:
The Lucas Family’s gift of $225,000 will be expended over nine years (non-endowed) to support the creation of this academic position in the Faculty of Science.

Effective Date:
July 1, 2019

Purpose:
In keeping with Policy 2.22 – Funding of Academic Chairs, Professorships and Designated Faculty Fellowships [link] the Faculty of Science will appoint a holder based on policies related to Faculty Fellowships.

Additionally, appointments to the position will be:
- Open to any full time faculty member in the Faculty of Science
- A selection committee in the Faculty of Science will be responsible for choosing the Scholar from a pool of applicants.
- The applicants would produce a CV and a 2-5 page proposal of what they want to accomplish during their 3-year term.
- Funding will provide $25,000 a year for three years allowing three people to hold the position over a nine-year period.
- The Scholar would retain their faculty responsibilities with a percentage of their service time allocated to the Scholar position.

Criteria:
This Distinguished Scholar position will develop and oversee initiatives in the Faculty of Science to recognize, encourage and promote women in science. The incumbent will provide thought leadership to develop and execute a plan to increase women in science in underrepresented disciplines and work across campus with other faculties/clubs related to women in science, STEM etc. This Scholar will also examine current issues facing women faculty members and graduate students and develop initiatives to address the issues so identified.

The gift shall be held and administered by the University and will be used for the exclusive purpose outlined above.

Expenses may include but are not limited to activities and events to further the promotion, recruitment, retention and recognition of women in science as well as teaching or administrative release for the holder of the position. In the event that funds are put towards teaching release, funds might be utilized to support, for instance by hiring a limited duties faculty member, obtaining alternative teaching resources to cover some teaching duties of the Lucas Distinguished Scholar. In the event that funds are put toward administrative release, some funds might be released to appropriate projects in the incumbent’s home department.

The administration of the spending of resources will be the responsibility of the Dean of the Faculty of Science.

Reporting:
The University, through the Faculty of Science will report to the Donor regarding the activities of the holder of the Lucas Family Women in Science Distinguished Scholar.

Background:
David Lucas is the past president and owner of Seresco Technologies Inc. David’s company was sold in 2018 to a Specified Air Solutions for an undisclosed amount of money. Specified Air Solutions is a market
leading manufacturer of commercial and industrial HVAC equipment. The company is a subsidiary to Madison Industries, a Chicago based holding company.

In addition to his MBA'88 from Ivey, David has a BESc'81 from Queen's University.

**Reputational Risk:**
None.
FOR INFORMATION

Ancillary Financial Report

Western University

Preliminary Financial Results for 2018-19
Student Fee-Funded Units, Ancillaries, Academic Support Units and Associated Companies

Schedule 1 compares the 2018-19 preliminary financial results for Student Fee-Funded Units, Ancillaries, Academic Support Units, and Associated Companies to the projected results included with the 2019-20 budget submission. This schedule also reports the preliminary closing reserve balances as at April 30, 2019. The numerical references noted beside the comments refer to the corresponding line numbers on schedule 1. Detailed revenue and expense statements for these operations will be included in the supplementary data distributed with the final 2018-19 audited financial statement package.

Brief highlight notes are outlined below:

Student Fee Funded Units

2. SRS - Campus Recreation: 2018-19 financial results - $76,600 surplus
   The surplus for Campus Recreation exceeded the projected year-end position primarily due to higher activity fee revenue.

7. Indigenous Services: 2018-19 financial results – $95,100 surplus
   The surplus reported by this unit was higher than projected due to higher activity fee revenue and a position that remained vacant to the end of the fiscal year.

11. Student Health Services: 2018-19 financial results – $43,200 surplus
   Student Health Services ended the year with a $43,200 surplus (vs. a $46,700 deficit) primarily due to higher activity fee revenue and higher medical billing revenue.

Ancillary Units

17. Housing: 2018-19 financial results - $11,335,400 surplus
   The surplus for Housing exceeded the projected forecast primarily due to higher room revenue, an increased contribution from Conference Services, lower major maintenance expenses and lower utility expenses.

18. Parking Services: 2018-19 financial results - $813,600 surplus
   The surplus for Parking Services was higher than projected primarily due to increased permit sales in all categories. Visitor parking revenue and parking violations revenue was also higher than projected.
Academic Support Units

22. Animal Care & Veterinary Services: 2018-19 financial results - $182,200 surplus
   The surplus for this unit was higher than projected due to increased per diem care revenue and lower equipment purchases.

   The deficit for this unit is primarily due to one-time retroactive salary costs resulting from a new collective agreement and one major project that went over budget. The reserve level for this unit is above the target and is sufficient to cover the shortfall.

27. Continuing Studies at Western: 2018-19 financial results - $269,700 surplus
   The surplus reported by this unit was higher than anticipated due to increased participation in professional development courses and lower salaries resulting from staff turnover.

Associated Companies

30. Western Research Park (incl. Windermere Manor, ADEISS, & AMP): 2018-19 financial results - $798,800 deficit
   The deficit for the combined operations of the Research Park was higher than anticipated primarily due to an unfavourable market value adjustment on a debt arrangement.

31. Ivey Business School Foundation: 2018-19 financial results - $1,933,000 surplus
   The surplus for the Ivey Business School Foundation (IBSF) was higher than anticipated primarily due to lower management fees, lower salaries resulting from open positions, reduced utility costs, and lower repairs and maintenance expenses. Lower expenses were partially offset by reduced revenue from conference services.

32. Ivey Business School Asia Limited: 2018-19 financial results - $1,485,000 surplus
   The surplus reported by the Ivey Business School Asia Limited (IBSAL) is primarily attributed to the forgiveness of a $2,250,000 intercompany loan between IBSF and IBSAL.
### Table 1

**Western University**

**Student Fee-Funded Units, Ancillary Units, Academic Support Units, and Associated Companies**

**2018-19 Preliminary Results Summary ($ 000)**

<table>
<thead>
<tr>
<th>2018-19 Projected</th>
<th>2018-19 Preliminary Actuals</th>
<th>% Change</th>
<th>Reserve Balances at April 30, 2019 (Prelim)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revenues</td>
<td>Expenses</td>
<td>Rev-Exp</td>
<td>Revenues</td>
</tr>
<tr>
<td>1</td>
<td><strong>A - Student Fee-Funded Units</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>SRS: Campus Recreation</td>
<td>5,769.0</td>
<td>5,720.3</td>
</tr>
<tr>
<td>3</td>
<td>SRS: Intercollegiate Athletics</td>
<td>6,812.4</td>
<td>6,821.0</td>
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<tr>
<td>4</td>
<td>SRS: Thompson Recreation &amp; Athletic Centre</td>
<td>1,204.2</td>
<td>1,217.1</td>
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<tr>
<td>5</td>
<td>Financial Aid Office</td>
<td>1,157.6</td>
<td>1,158.4</td>
</tr>
<tr>
<td>6</td>
<td>International Student Services</td>
<td>475.5</td>
<td>473.9</td>
</tr>
<tr>
<td>7</td>
<td>Indigenous Services</td>
<td>829.7</td>
<td>812.9</td>
</tr>
<tr>
<td>8</td>
<td>Services for Students with Disabilities</td>
<td>475.1</td>
<td>468.7</td>
</tr>
<tr>
<td>9</td>
<td>Student Development Centre</td>
<td>2,684.1</td>
<td>2,666.9</td>
</tr>
<tr>
<td>10</td>
<td>Student Success Centre</td>
<td>1,663.9</td>
<td>1,657.9</td>
</tr>
<tr>
<td>11</td>
<td>Student Health Services</td>
<td>4,485.4</td>
<td>4,532.1</td>
</tr>
<tr>
<td>12</td>
<td>Off-Campus Housing &amp; Housing Mediation Svcs</td>
<td>455.8</td>
<td>466.5</td>
</tr>
<tr>
<td>13</td>
<td>Western Foot Patrol</td>
<td>189.9</td>
<td>189.8</td>
</tr>
<tr>
<td>14</td>
<td><strong>Sub-Total</strong></td>
<td><strong>26,202.6</strong></td>
<td><strong>26,185.5</strong></td>
</tr>
<tr>
<td>15</td>
<td><strong>B - Ancillary Units</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Family Practice Clinic and Workplace Health Svcs</td>
<td>511.1</td>
<td>504.4</td>
</tr>
<tr>
<td>17</td>
<td>Housing Services</td>
<td>79,364.5</td>
<td>72,616.0</td>
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<td>18</td>
<td>Parking Services</td>
<td>5,858.1</td>
<td>5,835.1</td>
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<td>19</td>
<td>Retail Services</td>
<td>32,569.8</td>
<td>32,529.7</td>
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<tr>
<td>20</td>
<td><strong>Sub-Total</strong></td>
<td><strong>118,303.5</strong></td>
<td><strong>111,485.2</strong></td>
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<tr>
<td>21</td>
<td><strong>C - Academic Support Units</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>Animal Care &amp; Veterinary Services</td>
<td>4,721.8</td>
<td>4,658.1</td>
</tr>
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<td>23</td>
<td>Boundary Layer Wind Tunnel</td>
<td>2,249.3</td>
<td>2,239.5</td>
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<td>24</td>
<td>University Machine Services</td>
<td>1,883.2</td>
<td>1,959.9</td>
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<td>25</td>
<td>Fraunhofer Project Centre</td>
<td>1,240.8</td>
<td>1,200.2</td>
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<tr>
<td>26</td>
<td>Surface Science Western</td>
<td>1,752.1</td>
<td>1,750.7</td>
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<tr>
<td>27</td>
<td>Continuing Studies at Western</td>
<td>2,567.6</td>
<td>2,420.4</td>
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<tr>
<td>28</td>
<td><strong>Sub-Total</strong></td>
<td><strong>14,423.6</strong></td>
<td><strong>14,228.8</strong></td>
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<tr>
<td>29</td>
<td><strong>D - Associated Companies</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>30</td>
<td>Western Research Parks (incl. Windermere Manor, ADEISS &amp; AMP)</td>
<td>8,370.6</td>
<td>8,823.3</td>
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<tr>
<td>31</td>
<td>Ivey Business School Foundation</td>
<td>31,585.0</td>
<td>29,893.0</td>
</tr>
<tr>
<td>32</td>
<td>Ivey Business School Asia Limited</td>
<td>3,772.0</td>
<td>2,287.0</td>
</tr>
<tr>
<td>33</td>
<td><strong>Sub-Total</strong></td>
<td><strong>43,727.6</strong></td>
<td><strong>41,003.3</strong></td>
</tr>
<tr>
<td>34</td>
<td><strong>Grand Total</strong></td>
<td><strong>202,657.5</strong></td>
<td><strong>192,902.8</strong></td>
</tr>
</tbody>
</table>
FOR INFORMATION

Quarterly Ratio Report on Non Endowed Funds

The attached report shows the non-endowed fund quarterly activity from 1999/2000 to the end of the fourth quarter of 2018/19 (April 30). The balance in the Undistributed Investment Returns Account at April 30, 2019 was $319.9 million. At April 30, 2019 the 12-quarter moving average of non-endowed investments to the obligations of the portfolio was 2.0 (column 10), well above the target ratio of 1.08.

- Net returns (column 1) amounted to $34.6 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 1.14%. In the case of Robarts, in accordance with the operating agreement, the long term portion of their fund balance earned the rate of return generated by the Operating & Endowment portfolio.
- The allocation to the operating budget (column 3) for fiscal 2019 is zero as approved by the Board.
- Other Allocations (column 4) for fiscal 2019 totaled $4.4 million. The amount consists of the annual cost-to-carry related to the debenture issues of $3.3 million and the year end Mark-to-Market adjustment of the RBC Interest Rate SWAP agreement of $1.1 million.
- The non-endowed investments increased $27.2 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, 2019 amounted to $604.0 million (column 7).
- The obligations of the portfolio amounted to $284.1 million at April 30, 2019 (column 8).
- The ratio of investments to obligations stood at 2.13 (column 9) at April 30, 2019.
<table>
<thead>
<tr>
<th>Quarter</th>
<th>Net Returns (1)</th>
<th>To Accounts (2)</th>
<th>Other (3)</th>
<th>Change in amount Owed (4)</th>
<th>Net Change (5)</th>
<th>Total Investments (6)</th>
<th>Total Obligations (7)</th>
<th>Ratio of Investments to obligations (8)</th>
<th>Ratio of investments to obligations Average for 12 Quarters (9)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1999/2000</td>
<td>2.4</td>
<td>0.6</td>
<td>1.5</td>
<td>4.0</td>
<td>4.0</td>
<td>88.0</td>
<td>74.3</td>
<td>1.18</td>
<td>1.23</td>
</tr>
<tr>
<td>2000/2001</td>
<td>0.9</td>
<td>0.8</td>
<td>2.1</td>
<td>0.2</td>
<td>5.9</td>
<td>3.7</td>
<td>113.7</td>
<td>101.0</td>
<td>1.13</td>
</tr>
<tr>
<td>2001/2002</td>
<td>0.8</td>
<td>0.7</td>
<td>1.5</td>
<td>0.0</td>
<td>5.9</td>
<td>4.6</td>
<td>127.0</td>
<td>125.5</td>
<td>1.01</td>
</tr>
<tr>
<td>2002/2003</td>
<td>(2.6)</td>
<td>(0.3)</td>
<td>(0.3)</td>
<td>0.0</td>
<td>0.4</td>
<td>(2.7)</td>
<td>120.6</td>
<td>132.3</td>
<td>0.91</td>
</tr>
<tr>
<td>2003/2004</td>
<td>6.3</td>
<td>(0.5)</td>
<td>0.0</td>
<td>1.3</td>
<td>7.1</td>
<td>140.7</td>
<td>135.5</td>
<td>1.04</td>
<td>0.99</td>
</tr>
<tr>
<td>2004/2005</td>
<td>2.9</td>
<td>(0.4)</td>
<td>0.0</td>
<td>3.6</td>
<td>6.2</td>
<td>157.7</td>
<td>141.1</td>
<td>1.12</td>
<td>1.03</td>
</tr>
<tr>
<td>2005/2006</td>
<td>7.0</td>
<td>(0.7)</td>
<td>0.0</td>
<td>2.9</td>
<td>9.3</td>
<td>199.4</td>
<td>160.4</td>
<td>1.24</td>
<td>1.13</td>
</tr>
<tr>
<td>2006/2007</td>
<td>7.6</td>
<td>(1.2)</td>
<td>(1.3)</td>
<td>0.0</td>
<td>6.2</td>
<td>114.6</td>
<td>179.1</td>
<td>1.32</td>
<td>1.22</td>
</tr>
<tr>
<td>2007/2008</td>
<td>0.4</td>
<td>(1.0)</td>
<td>(1.4)</td>
<td>0.3</td>
<td>2.7</td>
<td>0.2</td>
<td>258.7</td>
<td>197.7</td>
<td>1.31</td>
</tr>
<tr>
<td>2008/2009</td>
<td>(12.2)</td>
<td>0.3</td>
<td>0.0</td>
<td>(2.5)</td>
<td>(14.6)</td>
<td>213.3</td>
<td>197.7</td>
<td>1.08</td>
<td>1.24</td>
</tr>
<tr>
<td>2009/2010</td>
<td>10.5</td>
<td>(0.7)</td>
<td>0.0</td>
<td>(3.6)</td>
<td>5.7</td>
<td>219.1</td>
<td>181.2</td>
<td>1.21</td>
<td>1.20</td>
</tr>
<tr>
<td>2010/2011</td>
<td>6.9</td>
<td>(0.5)</td>
<td>0.0</td>
<td>(1.0)</td>
<td>5.1</td>
<td>234.5</td>
<td>174.5</td>
<td>1.34</td>
<td>1.22</td>
</tr>
<tr>
<td>2011/2012</td>
<td>1.2</td>
<td>(0.2)</td>
<td>0.0</td>
<td>9.9</td>
<td>10.6</td>
<td>260.9</td>
<td>194.4</td>
<td>1.34</td>
<td>1.30</td>
</tr>
<tr>
<td>2012/2013</td>
<td>10.7</td>
<td>(0.8)</td>
<td>0.0</td>
<td>3.7</td>
<td>12.7</td>
<td>315.1</td>
<td>223.7</td>
<td>1.41</td>
<td>1.37</td>
</tr>
<tr>
<td>2013/2014</td>
<td>Q1 10.6</td>
<td>(0.2)</td>
<td>0.0</td>
<td>7.9</td>
<td>18.3</td>
<td>353.8</td>
<td>233.9</td>
<td>1.51</td>
<td>1.39</td>
</tr>
<tr>
<td>2014/2015</td>
<td>Q2 19.2</td>
<td>(0.2)</td>
<td>0.0</td>
<td>1.6</td>
<td>20.6</td>
<td>374.4</td>
<td>235.5</td>
<td>1.59</td>
<td>1.40</td>
</tr>
<tr>
<td>2015/2016</td>
<td>Q3 17.7</td>
<td>(0.3)</td>
<td>0.0</td>
<td>(4.3)</td>
<td>13.1</td>
<td>387.5</td>
<td>231.2</td>
<td>1.68</td>
<td>1.42</td>
</tr>
<tr>
<td>2016/2017</td>
<td>Q4 14.1</td>
<td>(3.4)</td>
<td>0.0</td>
<td>(6.4)</td>
<td>29.9</td>
<td>421.7</td>
<td>261.1</td>
<td>1.62</td>
<td>1.45</td>
</tr>
<tr>
<td>2017/2018</td>
<td>Q1 12.7</td>
<td>(0.1)</td>
<td>0.0</td>
<td>1.9</td>
<td>14.9</td>
<td>436.6</td>
<td>263.0</td>
<td>1.66</td>
<td>1.47</td>
</tr>
<tr>
<td>2018/2019</td>
<td>Q2 6.8</td>
<td>(0.2)</td>
<td>0.0</td>
<td>(3.7)</td>
<td>2.9</td>
<td>439.5</td>
<td>259.3</td>
<td>1.69</td>
<td>1.50</td>
</tr>
<tr>
<td>Q3 22.8</td>
<td>(0.3)</td>
<td>0.0</td>
<td>0.0</td>
<td>(14.5)</td>
<td>8.0</td>
<td>447.5</td>
<td>244.8</td>
<td>1.83</td>
<td>1.54</td>
</tr>
<tr>
<td>Q4 14.0</td>
<td>(2.8)</td>
<td>0.0</td>
<td>(3.5)</td>
<td>5.2</td>
<td>12.9</td>
<td>460.4</td>
<td>250.0</td>
<td>1.84</td>
<td>1.59</td>
</tr>
<tr>
<td>July 2018 Q1 25.9</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>14.9</td>
<td>40.8</td>
<td>557.7</td>
<td>320.6</td>
<td>1.74</td>
<td>1.73</td>
</tr>
<tr>
<td>October 2018 Q2 9.9</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>(1.8)</td>
<td>8.1</td>
<td>565.8</td>
<td>318.8</td>
<td>1.77</td>
<td>1.75</td>
</tr>
<tr>
<td>January 2019 Q3 22.3</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>(15.1)</td>
<td>7.2</td>
<td>573.0</td>
<td>303.7</td>
<td>1.89</td>
<td>1.76</td>
</tr>
<tr>
<td>April 2019 Q4 27.5</td>
<td>(3.3)</td>
<td>0.0</td>
<td>(0.2)</td>
<td>(17.3)</td>
<td>6.7</td>
<td>579.7</td>
<td>286.4</td>
<td>2.02</td>
<td>1.80</td>
</tr>
</tbody>
</table>

General notes:

[A] For 1995/96 through to 2012/13 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) The April 2019 amount is related to a year end mark-to-market value adjusted on the RBC SWAP interest agreement (1.1) as well as the cost to carry related to unused debenture proceeds (3.3).

(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.
APPENDIX II, Annex 12

FOR INFORMATION

Quarterly Report - 2018-19 Operating Budget Update as at April 30, 2019

The attached table provides the (preliminary unaudited) year-end update on University’s 2018-19 Operating Budget – and compares the updated figures to the budget as approved by the Board of Governors in April 2019. Major changes are as follows:

**Revenues** (lines 7 to 13)

a. Undergraduate tuition revenue (line 7) is higher by $0.6 million – primarily due to lower undergraduate attrition in the January 2019 term.

b. Application Fee Revenue (line 8) is higher by $0.6 million – due to a conservative estimate at budget time, as a result of delays in information from the Ontario Universities Application Centre.

c. Research Overhead Revenue (line 9) is higher by about $1.0 million because of the specific contracts (and associated overheads) were not firm at the time of the budget.

d. The Royalties & Licences increase (line 10) is higher by $3.2 million largely due to a $2 million inflow associated with a specific agreement (in the Robarts Research Institute) which was expected to end at December 31, 2018 – but the agreement continued past that time.

e. The net result is that total operating revenue is $6.9 million higher than the original budget (line 13).

**Expenditures** (lines 14 to 17)

f. The Royalties & Licences revenue deriving from programs in the Robarts Research Institute flows directly back to Robarts (line 14).

g. Net Employee Benefit Costs (line 15) are lower by $2.7 million due to a combination of lower-than-budgeted costs across many lines ($1.8 million) and higher recoveries from unit budgets ($0.9 million).

h. The net result is that total operating expenditures are at the same level as the original budget.

**Operating Reserve** (line 6)

i. As a result of the above changes in revenue and expenditures, the Operating Reserve is $94.5 million – which is $7.1 million higher than shown in the April 2019 budget.
Western University
2018-19 Operating Budget Update
as at April 30, 2019
($000)

### <a> Summary

<table>
<thead>
<tr>
<th></th>
<th>As presented to the Board</th>
<th>Actual</th>
<th>Increase/Decrease</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Revenues &lt;b&gt;</td>
<td>795,899</td>
<td>802,789</td>
</tr>
<tr>
<td>2</td>
<td>Expenditures &lt;c&gt;</td>
<td>789,934</td>
<td>789,750</td>
</tr>
<tr>
<td>3</td>
<td>Surplus / (Deficit)</td>
<td>5,965</td>
<td>13,039</td>
</tr>
<tr>
<td>4</td>
<td>Operating Reserve -- Beginning of Year</td>
<td>81,477</td>
<td>81,477</td>
</tr>
<tr>
<td>5</td>
<td>Surplus / (Deficit)</td>
<td>5,965</td>
<td>13,039</td>
</tr>
<tr>
<td>6</td>
<td>Operating Reserve -- End of Year</td>
<td>87,442</td>
<td>94,516</td>
</tr>
</tbody>
</table>

### <b> Revenue Changes

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
<th>Budget</th>
<th>Actual</th>
<th>Increase/Decrease</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>Tuition Revenue: Undergraduate</td>
<td></td>
<td>560</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Other Revenues: Application Fees</td>
<td></td>
<td>628</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Other Revenues: Research Overheads</td>
<td></td>
<td>1,020</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Other Revenues: Royalties &amp; Licences</td>
<td></td>
<td>3,231</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Other Revenues: Miscellaneous Revenues</td>
<td></td>
<td>930</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>All Other</td>
<td></td>
<td>521</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Total Revenue Changes</td>
<td></td>
<td>6,890</td>
<td></td>
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### <c> Expense Changes

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
<th>Budget</th>
<th>Actual</th>
<th>Increase/Decrease</th>
</tr>
</thead>
<tbody>
<tr>
<td>14</td>
<td>Medicine &amp; Dentistry: Robarts, Royalties &amp; Licences</td>
<td></td>
<td>2,033</td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Net Employee Benefits Costs</td>
<td></td>
<td>(2,734)</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>All Other</td>
<td></td>
<td>517</td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Total Expenditure Changes</td>
<td></td>
<td>(184)</td>
<td></td>
</tr>
</tbody>
</table>

&lt;\text{d}\gt The 2018-19 projected budget was presented to the Board in April 2019.
REPORT OF THE GOVERNANCE & BY-LAWS COMMITTEE

<table>
<thead>
<tr>
<th>Contents</th>
<th>Consent Agenda</th>
</tr>
</thead>
<tbody>
<tr>
<td>Statement on Equity, Diversity and Inclusion</td>
<td>No</td>
</tr>
<tr>
<td>Revisions to By-Law No. 1 and the Principles of Engagement for Members of the Board of Governors, and approval of the new Process for Dealing with a Breach of the Principles of Engagement for Members of the Board of Governors</td>
<td>No</td>
</tr>
</tbody>
</table>

FOR APPROVAL

1. **Statement on Equity, Diversity and Inclusion**

**Recommended:** That the Board of Governors approve the Statement on Equity, Diversity, and Inclusion, as a statement of principle of the Board, as shown in Annex 1.

**Background:**

The Governance & By-Laws Committee held discussions in support of a Board of Governors Statement on Equity, Diversity and Inclusion at their September 18, 2018, January 15, 2019, March 12, 2019 and June 4, 2019 meetings. The purpose of the document is to provide a statement of principle of the Board of Governors.

2. **Revisions to By-Law No. 1 and the Principles of Engagement for Members of the Board of Governors, and approval of the new Process for Dealing with a Breach of the Principles of Engagement for Members of the Board of Governors**

**Recommended:** That the Board of Governors approve the amendments to By-Law No. 1, as shown in Annex 2, and

That the Board of Governors approve the amendments to the Principles of Engagement for Members of the Board of Governors, as shown in Annex 3, and

That the Board of Governors approve the Process for Dealing with a Breach of the Principles of Engagement for Members of the Board of Governors, as shown in Annex 4.

**Background:**

The Governance & By-Laws Committee was asked to consider what the process should be in the case where a Governor has breached the “Principles of Engagement for Members of the Board of Governors”. The Principles establish a framework of commitment, by which all Board members agree to undertake their responsibilities and conduct their actions as members of the Board.

Attached as Annex 2 are proposed amendments to By-Law No. 1, setting out that the Board has the authority to sanction and or terminate membership of a Governor in the event that a Governor has violated the UWO Act, By-Laws, written policies of the University, and/or the Principles of Engagement for Members of the Board of Governors. The proposed amendments to By-Law No. 1 were provided to the Board of Governors at the April 25, 2019 meeting, as amendments to by-laws require at least 30 days’ notice (section Q1, By-Law No. 1).
Attached as Annex 3 are proposed amendments to the Principles of Engagement for Members of the Board of Governors to add a section addressing the sanction/termination of a Governor.

Attached as Annex 4 is the proposed new Process for Dealing with a Breach of the Principles of Engagement for Members of the Board of Governors.
Statement on Equity, Diversity and Inclusion

At Western, we strive to create an equitable and inclusive community, rich with diversity, protecting the human rights of all individuals, and demonstrating mutual respect for the dignity and worth of every person.

We believe that reflecting the diversity of the Western community is uniquely valuable to the University, as it contributes to the diversification of ideas and perspectives and enriches every element of the University community and the activities of the Board of Governors.

Western’s Board of Governors recognizes that to perform at its best it comprises members with a wide variety of experiences, views and backgrounds which, to the extent practicable, reflect the gender, ethnic, cultural and other personal characteristics and diversity of the Western community.

The Board recognizes that equity-seeking groups include but are not limited to: women, members of racialized groups (visible minorities), Indigenous peoples, persons with disabilities, and LGBTQ2S+ individuals.

The Board commits to embrace and reflect the values of equity, diversity and inclusion in its deliberations, decisions and appointments.
being a by-law to regulate generally the affairs and the exercise of the powers of The Board of Governors (hereinafter referred to as the Board) as set forth in The University of Western Ontario Act 1982 (hereinafter referred to as the Act) and the calling and conduct of its meetings.

BE IT ENACTED AND IT IS HEREBY ENACTED as a by-law of The Board of Governors of The University of Western Ontario as follows:

A. **CORPORATE SEAL**

   1. The Corporate Seal of the Board shall be in the form impressed in the margin hereof and it shall be in the custody of the Secretary of the Board or such other person as the Board may from time to time designate.

B. **ELECTION OF BOARD MEMBERS**

   1. The election and appointment of members of the Board shall be governed by the provisions of the Act in respect to number, eligibility for election and term of office.

   2. The Secretary of the Board shall be the Chief Returning Officer.

   3. Elections shall be conducted in accordance with procedures determined by Special Resolution of the Board.\(^1\)

C. **MEMBERSHIP ON THE BOARD**

   1. The Secretary shall maintain a roll showing the names and addresses of each member which may be used for service of any notice. Each member shall maintain current information with the Secretary.

   2. Except for the *ex officio* members, the Secretary shall maintain records of the service of members appointed to the Board and shall notify the appointing authority of the expiration of a member's term of office at least one month in advance of the expiration date.

   3. The membership year of a member of the Board, other than an *ex officio* member, shall be twelve months from the date of appointment as follows

      (a) For members elected by the Senate, Faculty-at-Large, Students, and Administrative Staff, the membership term shall begin on July 1, except where the member is appointed to fill a vacancy under the provisions of

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\(^1\) Election Procedures - See Special Resolution No. 9
Special Resolution No. 9, but in all cases the membership term shall end on June 30;

(b) For members appointed by the Lt. Governor-in-Council, Council of the City of London, Alumni Association, and Board of Governors, the membership term shall begin on the date the appointment becomes effective and shall end 48 months later.

4. Pursuant to section 12.(3) of the UWO Act (1982), where within any membership year a member of the Board, other than an ex officio member, who has not been granted leave of absence attends less than 50 per cent of the regular meetings of the Board, the Board may by resolution declare such membership vacant.

(a) The Chair of the Board may grant a leave of absence to a member, but, with the exception of an ex officio member, a member who expects or finds an inability to fulfill responsibilities as a member of the Board for six consecutive months or more should resign membership on the Board.

(b) The Chair of the Board shall contact any member who does not meet the requirements of section 12.(3) of the UWO Act and termination of Board membership may be recommended to the Board.

(c) Section 12.(4) of the UWO Act (1982) requires that the Board, by resolution, declare a membership vacant if the member fails to attend less than 25 percent of the regular meetings of the Board in a membership year.

5. Pursuant to Section 17 of the University of Western Ontario Act (1982, as revised in 1988), no member of the Board of Governors whose salary is paid under a collective agreement or Memorandum of Agreement between the University and a union or employee association may serve as a member of any team negotiating matters related to the remuneration or benefits, terms of employment, rights or privileges available to employees in a class or group of employees of the University.

6. At the discretion of the Chair of the Board, a member of the Board or a member of its committees may be reimbursed for expenses incurred in attending meetings or in the performance of duties as a member of the Board or a Board committee member, at rates applicable to officers of the University.

7. Pursuant to Section 12(5) of the UWO Act (1982) (as updated from time to time), the Board has the authority to terminate membership of a Governor (save for ex officio members and the Vice-Presidents). The Board may elect to sanction or terminate membership of a Governor in the event a Governor has violated any provision of the UWO Act (1982), By-laws, written policies of the University, and/or the Principles of Engagement.

D. OFFICERS OF THE BOARD

1. The Board shall elect, from those members eligible under the Act, a Chair and a Vice-Chair who shall each hold office for a term of 24 months, commencing on the first day of January in the year following. The Chair and the Vice-Chair may be re-elected for successive terms.
2. In the event of a vacancy in the office of Chair or Vice-Chair for any reason, the Board shall elect a replacement from those members eligible under the Act, who shall hold office until the next election under article D.1. hereof; provided, however, that if the time remaining in the term of office falling vacant is six months or less, the Board in its discretion may allow the office to remain vacant until the next regular election.

3. The Chair shall preside at all meetings of the Board and shall carry out such other duties as the Board may from time to time prescribe. In the case of absence or illness of the Chair, or there being a vacancy in that office, the Vice-Chair shall act and shall have all the powers of the Chair.

4. In the absence or illness of both the Chair and the Vice-Chair, or there being vacancies in these offices, the powers and duties of the Chair shall be exercised by an Acting Chair who shall be determined by order of precedence as follows, subject to the provisions of Section 14.(2) of the Act:

   The Chair of the Property & Finance Committee
   The Vice-Chair of the Property & Finance Committee
   Other members of the Senior Policy and Operations Committee in order of seniority of Board membership

5. The Secretary of the Board shall be appointed by the Board and shall hold office at the pleasure of the Board.

6. Unless otherwise determined by the Board, in the absence of the Secretary, an Associate Secretary of the Board designated by the Secretary to so act shall perform the duties of the Secretary of the Board.

7. The Secretary shall attend all meetings of the Board and shall:

   (a) enter or cause to be entered in books for that purpose, minutes of all proceedings;
   (b) provide copies of such minutes to all Board members as soon as possible;
   (c) give, or cause to be given, all notices required to be given to members of the Board as well as agenda and related documents as may be necessary for a meeting;
   (d) be responsible for arrangements for meetings;
   (e) be the custodian of the minute books, papers, records, documents, and other instruments of the Board;
   (f) be responsible for the dissemination of decisions or instructions by the Board to all parties concerned unless otherwise ordered by the Board; and
   (g) perform such other duties as may from time to time be prescribed by the Board or required by law.

E. MEETINGS

1. (a) Regular Meetings

   (i) There will normally be at least five regular meetings of the Board each year, unless otherwise determined by the Board. The Chair may cancel a regular meeting if after consultation with the President he/she is satisfied that the holding of a regular meeting is not warranted because of insufficient agenda.
   (ii) Members may attend up to two regular meetings in a calendar year by teleconferencing or other electronic means.
(iii) The annual calendar of regular meetings will be provided to members no later than November 1 of the preceding year.

(iv) The agenda for the meeting shall be prepared by the Secretary in consultation with the Chair and President as required. The Secretary shall be notified of all matters for inclusion in the agenda for regular meetings of the Board not less than seven days before the day of the meeting at which they are to be presented, and only those matters of which the Secretary has been so notified shall be included in the agenda.

(v) Normally, an agenda and documents for a regular meeting will be provided to members at least five days prior to the meeting. With the permission of the Chair, items may be added to the agenda, or additional documentation provided after the five-day deadline.

(vi) Notices of meetings and agenda materials are normally distributed by electronic means.

(vii) The accidental failure to give notice of a regular meeting to any member of the Board or any accidental irregularity in connection with the giving of notice shall not invalidate the proceedings at such meeting.

(viii) In the event that a meeting is adjourned to reconvene at a stated time and place, no further notice is necessary unless the meeting so adjourned decides otherwise by resolution.

(b) Special Meetings

(i) Special meetings may be held as agreed by the Board, or as called by the Chair, or as called by the Secretary on direction in writing by seven members of the Board.

(ii) Board members may attend special meetings through teleconferencing or other electronic means.

(iii) The agenda for a special meeting shall be prepared by the Secretary in consultation with the Chair and President as required. No business may be conducted at a special meeting other than those matters for which it was called.

(iv) Notice of special meetings, together with the agenda, shall normally be made available to each member not less than two days before the meeting is to take place. In urgent circumstances, and with the approval of the Chair, a special meeting may be called and materials provided within a shorter time frame.

(v) Notices of special meetings and agenda materials are normally distributed by electronic means.

(vi) The accidental failure to give notice of a special meeting to any member of the Board or any accidental irregularity in connection with the giving of notice shall not invalidate the proceedings at such meeting.

(vii) In the event that a special meeting is adjourned to reconvene at a stated time and place, no further notice is necessary unless the meeting so adjourned decides otherwise by resolution.

2. Meetings of the Board will be held in the Board Room, Stevenson Hall unless notice of a different location is given.

3. (a) Normally, regular meetings of the Board are divided into Open and Closed sessions. Subject to limitations of space, members of the public may attend the Open session of any Board meeting. Notice of the date, time, and location of the public session of regular meetings shall be sufficiently given if published in the Western News or posted on the university’s web page at least two weeks in advance. Notice of special meetings open to the public may be given by other means and for a shorter period of time at the discretion of the Chair.
(b) The Board meets in closed session to consider confidential business, such as matters concerning personnel, finance, acquisition or disposal of property, and other confidential matters of the University, the disclosure of which might be prejudicial to an individual or to the best interests of the University. Attendance at closed session meetings is limited to members, Secretariat staff, and those invited to attend by the Board to assist with its deliberations.

4. Items of business shall normally be presented to the Board by the following only:

   The Chair of the Board
   The Chairs of Committees of the Board
   The President (or a vice-president at the request of the President)
   The Senate (through the President and Vice-Chancellor as its Chair)

but a member of the Board may present an item which has been submitted to and approved by the Chair of the Board for inclusion in the agenda of the meeting prior to its approval. Except for the reports of Committees, items of business furnished to the Secretary for inclusion on the agenda, pursuant to this article, shall be summarized in appropriate form with relevant supporting documents to be attached as necessary.

5. The business of a meeting shall be confined to the agenda as approved by the Board at the beginning of the open and closed sessions and no new matter shall be dealt with unless a majority of members present approve the introduction of such new matter.

6. (a) Each member shall have one vote except the Chair who may vote only when the vote is by ballot or to break or create a tie, but if the Chair creates a tie the Chair cannot break it. Unless otherwise stated in this by-law, the Board’s meeting procedures, or the Board’s approved parliamentary authority, motions require a simple majority of those present and voting to pass. Voting may be by show of hands, by such other means as the Board may determine, or by assumed consent when no dissent is voiced.

   (b) A resolution signed by all members of the Board shall have the same force and effect as if passed at a regularly constituted meeting of the Board.

   (c) A resolution approved by electronic mail ballot permitted by the Chair of the Board and passed by a majority of the Board members shall have the same force and effect as if passed at a regularly constituted meeting of the Board.

7. All dissenting votes at the level of the Board of Governors which relate to issues that may incur personal liability as a result of statutory regulation shall be recorded in the Minutes if requested by the dissenting member at the time the vote is taken. Members absent from a meeting may submit to the Secretary of the Board notice of dissent not more than 7 days after receipt of the Board Minutes. Notices of dissent so submitted will be retained on file by the Secretary of the Board, but shall not affect the outcome of the vote nor be recorded in the Minutes.

8. Members of the Board shall observe strictly the confidential nature of business dealt with in closed session and it shall be their responsibility to ensure that such information is not divulged to unauthorized persons. At the commencement of a closed session the Chair shall remind members of their obligations in respect to confidentiality, by reading or directing their attention to the following caution:

   Members are reminded that discussions entered into and the decisions made during the closed session of this meeting are carried out in confidence and
are not to be repeated or discussed outside the Board Room. Any material provided for the session will be retained in confidence afterwards, or may be returned to the Secretary at the end of the meeting.

Decisions reached during the closed session which are to be announced after the meeting will be made public by official announcement or press release only and such publication does not free members of the obligation to hold in confidence the discussions which took place in the meeting or the material involved.

The continued presence of a member in the room shall indicate acceptance of these conditions.

9. Should a member declare an intention of noncompliance with the conditions of confidentiality and refuse to leave the room when requested to do so, the Chair shall, subject to a resolution of the Board supported by a majority vote:

(a) inform the offending member that, pending assurance to the effect that henceforth the member shall abide by the rules of the Board in respect to the confidentiality of information, the member shall be barred from attendance at any meeting of the Board or its Committees at which business of a confidential nature will be dealt with and shall not be sent any notices or material in respect to them; or

(b) adjourn the meeting, after having informed members that it will be reconvened at a time and place of which the offending member will not be notified.

10. (a) Permission to address the Board is normally restricted to those members of the administration or other invited guests presenting items of business for the Board's consideration. In special circumstances, and with advanced notice, the Chair may grant speaking privileges to others.

(b) Spectators (including representatives of the news media) attending the Open session of a meeting are not permitted to address a meeting, communicate with individual members during the meeting, or disturb the conduct of a meeting in any way. Spectators must remain in their assigned seats while in the meeting room.

(c) Space permitting, members of the press may video record a meeting provided that they have made arrangements in advance with the University Secretary and the Associate Vice-President (Public Relations & Community Affairs). Placement of cameras within the meeting room will be at the direction of the University Secretary.

(d) Recording is not permitted, except with the permission of the Chair.

(e) Space permitting, and with the approval of the Chair, placards or signs may be brought into the meeting room provided that they are of a size that will not obstruct doorway, or the view of others in the room, and are made of materials that could not be used to harm individuals or damage property. Placards or signs that have been permitted in the meeting room or been brought in without permission must be removed if so ordered by the Chair at any point in the meeting.
11. Spectators may obtain copies of the agenda and the non-confidential portion of the supporting material from the University Secretariat’s website.

12. The Official Minute Book shall be open to the inspection of any member of the Board at any time during regular office hours in the office of the Secretary of the Board, but such inspection shall not be permitted by other persons.

(a) The Secretary shall be responsible for safeguarding the confidentiality of the Minutes of closed sessions of the Board meetings but shall have discretion to furnish extracts therefrom to authorized officers of the University or in satisfaction of a reasonable request.

(b) The Minutes of the open sessions of the Board’s meetings shall be published electronically by the Secretary.

13. The conduct of meetings shall follow the Rules of Procedure at Meetings approved by the Board, and for matters not covered in the Rules of Procedure, the Board’s approved parliamentary authority.

F. QUORUM

1. A quorum of the Board consists of ten members, of whom at least five shall be members appointed or elected under clauses (b), (c), (d), and (h) of Section 9.(1) of the Act.

G. COMMITTEES

1. The Board shall maintain as Standing Committees of the Board, *inter alia*:

   The Audit Committee
   The Governance and By-Laws Committee
   The Fund Raising & Donor Relations Committee
   The Property & Finance Committee
   The Senior Policy and Operations Committee

   and the composition, duties and responsibilities of such Committees shall be as determined from time to time by resolution of the Board.

2. The Board may from time to time by resolution establish and appoint such other standing or ad hoc committees as it sees fit and determine the composition, duties and responsibilities of any committees so established.

3. Committees of the Board are established primarily to make recommendations to the Board and they may not commit the Board in any matter unless authority to do so has been specifically delegated by the Board. Unless otherwise authorized by the Board, committees of the Board shall report only to the Board.

4. Standing Committees may recommend the establishment of subcommittees as necessary, the composition, duties and responsibilities of which shall be submitted to the Board for approval.

5. The membership of the Board’s committees and subcommittees, and the appointment of their Chairs and Vice-Chairs, shall be determined by the Board annually at the January meeting on the recommendation of the Senior Policy & Operations Committee. A list of the Committees and their membership as approved shall be published and distributed to members following the January meeting.
(a) The Senior Policy & Operations Committee may fill vacancies in the membership of committees and subcommittees as necessary in the succeeding 12 months and will advise the Board of such appointments.

(b) Membership on committees and subcommittees of the Board shall expire when the member ceases to be a member of the Board. Continuing membership on committees and organizations external to the Board (where a member was appointed by the Board), will be at the pleasure of the Board and in accordance with the membership regulations of the external organization.

6. The schedules of the regular Committee meetings will be posted on the University Secretariat’s website.

7. Where the Secretary of the Board is a member or resource person on a standing committee of the Board, the Secretary may designate another person to act on his/her behalf on such committee or subcommittee.

8. A majority of the voting members of each committee shall constitute a quorum at any meeting.

9. (a) Regular Meetings

(i) The agenda for the meeting shall be prepared by the Secretary in consultation with the Chair, the President and the appropriate vice-presidents as required. The Secretary shall be notified of all matters for inclusion in the agenda not less than seven days before the day of the meeting at which they are to be presented.

(ii) Notice of regular meetings together with the agenda, shall be made available to each member not less than five days before the meeting is to take place. With the permission of the Chair of the Committee, items may be added to an agenda and additional documentation distributed within a shorter time frame.

(iii) Notice to members may be given by mail, telephone, facsimile, electronic mail or voice mail.

(iv) Attendance at committee meetings by teleconferencing or other electronic means is permitted.

(v) The accidental failure to give notice of a meeting to any member of the committee or any accidental irregularity in connection with the giving of notice shall not invalidate the proceedings at such meeting.

(vi) In the event that a meeting is adjourned to reconvene at a stated time and place, no further notice is necessary unless the meeting so adjourned decides otherwise by resolution.

(b) Special Meetings

(i) The agenda for the meeting shall be prepared by the Secretary in consultation with the Chair, the President and the appropriate vice-presidents as required. The Secretary shall be notified of all matters for inclusion in the agenda not less than four days before the day of the meeting at which they are to be presented.

(ii) Notice of special meetings together with the agenda, shall be made available to each member not less than two days before the meeting is to take place. With the permission of the Chair of the Committee, items may be added to an agenda and additional documentation distributed within a shorter time frame.

(iii) Notice to members may be given by mail, telephone, facsimile, electronic mail or voice mail.

(iv) Attendance at committee meetings by teleconferencing or other electronic means is permitted.
(v) The accidental failure to give notice of a meeting to any member of the committee or any accidental irregularity in connection with the giving of notice shall not invalidate the proceedings at such meeting.

(vi) In the event that a meeting is adjourned to reconvene at a stated time and place, no further notice is necessary unless the meeting so adjourned decides otherwise by resolution.

10. The general conduct of meetings shall follow the rules and procedures as set forth in the Rules of Procedure at meetings, and for matters not dealt with in the Rules of Procedure, the Board’s approved parliamentary authority.

11. Unless provided otherwise in the Rules of Procedure or the Board’s approved parliamentary authority, all questions at a meeting shall be decided by a majority of the votes of the members present and voting. Each voting member of the committee present at a meeting, including the Chair, shall be entitled to one vote and any motion on which there is equality of votes shall be deemed to have been defeated. A resolution approved by electronic means permitted by the Chair of the committee and passed by a majority of the voting committee members shall have the same force and effect as if passed at a regularly constituted meeting. A report of decisions taken electronically between meetings shall be provided for information at the next available meeting.

12. The Secretary shall keep a record of the proceedings of every meeting and the minutes of every such meeting shall be submitted at the next meeting of the committee for adoption.

13. All Board standing committees meet in closed session or in camera. Committee discussions, minutes, agenda materials and related documents are confidential. Committee members, members of the Board and others who are given access to such materials are responsible for their safe custody, unless the materials are explicitly released to the public by the committee concerned or by the Board.

14. Members of the Board who are not members of the Audit Committee, the Governance & By-Laws Committee, the Fund Raising & Donor Relations Committee, and the Property & Finance Committee may attend meetings of those committees as observers, provided that:

(a) They observe the confidentiality of the proceedings to the same degree required of committee members, and

(b) A committee may choose, at any time, to move in camera and require those who are not members of the committee or needed resource personnel to leave.

The Senior Policy & Operations Committee always meets in camera and only members of the committee, named resource personnel or others invited by the committee chair may attend its meetings and have access to its materials.

H. **CHIEF EXECUTIVE OFFICER**

1. The President, as the Chief Executive Officer, shall have the authority and responsibility for administering the affairs of the University in accordance with policies laid down by the Board.
2. Subject to article I.2(b) the President is empowered to delegate presidential authority during the period of any temporary absence to any other officer of the University provided that, in the absence of such delegation of authority, the senior vice-president present, other than an Acting Vice-President, shall be the Acting President according to seniority as follows:

The Provost & Vice-President (Academic)
The Vice-President (Operations & Finance)
The Vice-President (Research)
The Vice-President (External)

The President shall inform the Chair, Vice-Chair and University Secretary of any such absence and delegation.

3. The Board may, in the absence of the President, and shall in the event of a vacancy in the office of the President, appoint an Acting President upon such terms and conditions as the Board may prescribe.

I. DELEGATION OF AUTHORITY

1. The Senior Policy & Operations Committee is authorized to approve appointments, excluding the appointment of the President or a Vice-President, on the recommendation of the President in circumstances where the selection process has been completed but a regular meeting of the Board is not scheduled to be held within a reasonable time.

2. The Board may delegate authority
   (a) to standing committees and other committees created by it by resolution or as set forth in terms of reference or policies approved by the Board. Authority delegated to a committee shall not be further delegated to a subcommittee except as authorized by the Board.
   (b) to the President and other persons by resolution. Further delegation of authority by persons named in such resolutions to other persons, shall be as defined and described in administrative policies and procedures approved by the President and authorized by the Board.

3. During the months of the year when no regular meetings of the Property & Finance Committee are scheduled, the functions of that Committee may be performed by any three of its members from time to time present at a meeting, of whom at least one shall be

   The Chair or the Vice-Chair of the Committee, or failing such,
   The Chair of the Board or the Vice-Chair of the Board

When such meetings are called, all members of the Committee shall be notified and invited to attend. Business transacted at such meetings shall be reported to the Property & Finance Committee at its next regular meeting.
EXECUTION OF INSTRUMENTS

1. Unless otherwise provided by the Board, and except as herein provided, documents obligating the University which require the Corporate Seal to be affixed thereto shall be signed by two persons, one of whom shall be the Secretary of the Board, and the other of whom shall be:

   (a) Respecting documents which, by reason of subject matter or amount, exceed authority to sign delegated elsewhere by the Board,

   The Chair or the Vice-Chair of the Board or in their absence,
   The Chair of the Property & Finance Committee or the Vice-Chair of the Property & Finance Committee

   (b) Respecting documents which are within delegated authority to sign or which, in the opinion of the Secretary of the Board, may be reasonably considered to be of lesser importance or value, one of
   The President & Vice-Chancellor
   The Vice-President (Operations & Finance)
   The Provost & Vice-President (Academic)
   The Vice-President (Research)
   The Vice-President (External)

2. The Corporate Seal may be affixed to:

   (a) diplomas and certificates approved by Senate or awarded at Convocation; such documents may be signed by the Registrar, together with the President and the Dean of the Faculty or School concerned or such other officers as may be specified by Senate from time to time.

   (b) transcripts of official academic records, which must be signed by the Registrar.

3. The Seal of the Office of the Registrar may be affixed to academic documents of lesser importance. Such documents shall be signed by the Registrar or by such other persons as designated by the Registrar or by other persons consistent with the purpose of the document in question.

4. The Board may at any time determine the manner in which, and the person or persons by whom, any particular deed, transfer, assignment, contract or obligation, or any class thereof may or shall be signed.

BANKING

1. The banking affairs of the University shall be transacted with such banks, or other corporations carrying on a banking business, as the Board may from time to time designate by resolution, and all such banking affairs shall be transacted on behalf of the Board by such persons as the Board may designate by resolution and to the extent therein provided.

INVESTMENTS

1. The Board may designate by resolution authority to manage the investments owned or held in the name of the University and to purchase, transfer, exchange, sell or otherwise dispose of securities in accordance with policy approved by the Board.
M. CHANNELS OF COMMUNICATION
1. The Board shall not accept recommendations, proposals, or submissions from, or
deal directly with, any individual or component of the University or any campus
organization other than as referred to in article E.4 hereof.

N. FISCAL YEAR
1. The fiscal year of the Board shall be a twelve-month period commencing on the first
day of May and ending on the thirtieth day of April in the next succeeding year.

O. USE OF UNIVERSITY NAME AND ARMS
1. No persons shall assume or use the name or the coat-of-arms of The University of
Western Ontario, or any design in imitation of the same, or any trademark,
copyrighted material or brand of the university without the authority of the Board.

P. PARLIAMENTARY AUTHORITY
1. The American Institute of Parliamentarians Standard Code of Parliamentary
Procedure (latest edition) shall govern the Board of Governors and its committees
and subcommittees in all parliamentary situations not provided for in the Act, the by-
laws of the Board, Special Resolutions, or Rules of Procedure at Meetings

Q. AMENDMENT
1. Notice of any motion to enact, amend or repeal any By-Law of the Board shall be
given by mail, facsimile, or electronic mail at least 30 days prior to the meeting of the
Board at which the motion is to be presented.

2. A motion to enact, amend or repeal any By-Law of the Board shall not carry unless it
receives the affirmative vote of at least 15 members of the Board.

3. Notwithstanding 1. and 2. above, the Board may, by special resolution, delegate
authority to a committee of the Board to approve non-substantive amendments to the
By-Laws.

(a) Non-substantive amendments require the affirmative vote of majority of those
present at a duly constituted meeting of the Board or of a committee to which
the Board delegates authority to approve such amendments.

(b) Amendments made by a committee on delegated authority of the Board will
be reported to the Board at its next regular meeting.
The following describes the individual roles and responsibilities of members of the Board of Governors ("Governors").

**ROLE**

Governors are each responsible for advancing and upholding the mission of the University. Governors must act in accordance with their fiduciary duty to the University, including with the diligence, integrity, independence and good faith of a reasonable individual to promote the best interests of the University, and in fulfillment of the role of the Board and of Governors as set out in the University of Western Ontario Act, 1982 [as amended in 1988] and the By-Laws of the Board of Governors.

In addition to the responsibilities set out in the Act and the Board By-Laws, the following describes the duties and responsibilities of an individual Governor.

**DUTIES AND RESPONSIBILITIES**

Governors must:

- Carry out their functions with diligence, integrity, independence, good faith and the prudence of a reasonable individual.
- Act in the best interests of the University as a whole. Each Governor has a responsibility only to the University. Each Governor must function as a member of the Board and not as a spokesperson for a constituency. While it is expected that Governors will bring to the Board a variety of perspectives, a Governor's responsibility is to the University and not to any private interest, community tie, or particular university sector.
- Appreciate the roles of universities in society, the particular mission of Western University, and the bicameral nature of the University's governance system.
- Understand that the Board's role is one of oversight with a focus on strategic matters and policy making rather than management or administration.
- Recognize that authority resides only with the Board as a whole and not in its individual members.
- Strengthen and support the President while being an active, energetic, and probing Governor exercising critical judgment on policy matters.
- Defend the autonomy and the independence of the University.
- Foster openness and trust.
- Support the fullest range of respectful and constructive discourse.
- Uphold the values of the Board in relation to equity, diversity, and inclusion.
- Hold the University accountable, while acting as ambassadors for it.
More specifically, Governors are responsible for the following:

**Oversight**
- Make good governance of the University a first priority;
- Accept responsibility and accountability for delivery of the University’s vision/mission and strategic plan;
- Monitor the University’s performance in meeting the objectives in the strategic plan;
- Maintain the financial health of the University; and
- Oversee the effective management of the University’s physical assets.

**Outreach**
- Attend University events including convocations, Board retreats, and campus events;
- Take an active role as a University contributor and ambassador; and
- Keep appropriately informed about major aspects and activities of the University.

**Bicameral Governance**
- Understand the respective roles of the Board and the Senate and Western’s bicameral governance system and administration;
- Maintain a clear separation between the strategic and policy role of the Board and day-to-day operational responsibilities of administration; and
- Respect the internal administrative authority of administration.

**Board Development and Evaluation**
- Support an orientation program for new members;
- Participate in ongoing educational sessions for all Governors; and
- Regularly help assess the Board’s performance and the performance of its standing committees; as well as the individual’s own effectiveness as a Governor.

**Preparation**
Governors should make every effort to understand the University, including the University of Western Ontario Act and the Board’s responsibilities and procedures, as well as to familiarize themselves with trends in governance and in post-secondary education. They should prepare thoroughly for each meeting.

**Attendance and Participation**
Governors are expected to adequately prepare and attend Board and assigned Committee meetings regularly. Governors are expected to participate actively, constructively, and vigilantly in meetings of the Board and of the Committees to which they are assigned, and take an informed position on matters. Governors are expected to speak their mind at Board meetings, but to support policies and programs once established.

**Exercise of Due Diligence**
Governors must act with integrity, independence and the good faith of a reasonable individual to promote the best interests of the University, bringing due care, diligence and competence to that task.

**Key Principles of Ethical Conduct**
Governors must demonstrate a commitment to the highest ethical standards. Consistent with the University’s values, including academic freedom, collegiality and civil discourse, the following principles are intended to complement other applicable statutes, policies, guidelines and other materials within the University to guide considerations and conduct. They are not intended to be static, encompassing rules.
MEMBERS OF THE BOARD OF GOVERNORS

Respect for Others
Every member of the University should be able to work, live, teach and learn in an environment free from discrimination and harassment. Inappropriate language or behavior which may impair these conditions is not to be tolerated. Respect for the rights and dignity of others regardless of differences must be maintained; demeaning actions or behavior along sexual, racial, physical, socioeconomic or political lines has no place in our University.

Conflict of Interest
Occasionally, situations may arise when a Governor’s interests may actually or appear to conflict with their role and responsibility to the University. All members are responsible for maintaining the transparency on which the University prides itself within the immediate and broader communities.

A conflict can arise when one’s position on the Board can reasonably be seen to unfairly advance one’s own personal benefit involving:
- Business or financial interests;
- Employment;
- Family; or
- Personal relations.

Any actual, potential, or appearance of a conflict must be disclosed, considered, and appropriately managed or eliminated.

Confidentiality
In their highly trusted advisory and governing capacities, Governors will be exposed to different types of sensitive information requiring considered use and confidentiality. This may concern faculty, staff, administration or students; it may, for example, be specific to University affairs or financial business, or it may be proprietary to the University. Governors must ensure that they fully understand their obligations and maintain this information in confidence indefinitely or until such time that the Chair of the Board has authorized appropriate disclosure.

Communication
Governors must recognize that the only spokesperson to the media for Board matters is the Chair of the Board of Governors or the Chair’s express delegate. The only spokesperson for the senior administration to the media on Board matters is the President or the President’s express delegate. Governors should direct any requests from media to the University Secretary.

Governors are expected to communicate promptly and clearly to the Chair of the Board, University Secretary and the President any significant concern or complaint and to let them deal with it. They should refer any request for information, beyond what is publicly available, to the Board Chair or University Secretary.

SKILLS AND KNOWLEDGE
Governors should have the following skills and knowledge:
- Familiarity with budgets and budgeting and the importance of ensuring the financial health of the institution;
- Ability to quickly and objectively assess and analyze information in order to reach decisions;
- Understanding of the communities in which the University operates;
- Appreciation of requirements for working as a team;
- Understanding the broad context and perspective for Board decision making;
- Understanding of how large organizations function, preferably in a unionized setting;
- Understanding the need for longer term strategic planning to ensure the continued renewal and assessment of the role and mission of an organization;
• Understanding the University in the context of the full range of educational opportunities provincially, nationally and internationally;
• Understanding the need for the University to operate within the perspective of a global economic and learning environment;
• Ability to assess the quality of service being delivered by the University;
• Ability to deal with conflicting goals and competing interests in a public setting; and
• Bring a diverse skill set to the policy and operational responsibilities of the Board’s committees.

SANCTION/TERMINATION OF A GOVERNOR

Failure to comply with the terms of these Principles of Engagement is a breach of a Governor’s fiduciary duties and obligations to the University, and the Governor may be subject to sanction by the Board, up to and including termination from the Board pursuant to a resolution of the Board, as the circumstances may require. In the event a breach is alleged, a review will be undertaken in accordance with a Board approved process.
1. Pursuant to Section 12(5) of the University of Western Ontario Act (1982, as revised in 1988) (the “UWO Act”) the Board has the authority to terminate membership of a Governor (save for ex officio members and the Vice-Presidents).

   12.(1) The membership of a member of the Board is vacated when such member resigns or ceases to be eligible for appointment or election to the Board.

   (5) Membership on the Board, other than for ex officio members and the Vice-Presidents, may be terminated by resolution of the Board carried by two-thirds of the total voting membership at a meeting of the Board, not less than thirty days after written notice containing reasons for this proposed action is delivered to the last known place of residence of the member.

2. While there are no specified grounds, a breach of a Governor’s fiduciary duties to the University may be a basis for the Board considering sanctions, including terminating Governor membership.

3. Key elements from the UWO Act and natural justice would be that (a) the Governor is given written notice of the reasons for the proposed action, and (b) the Governor has sufficient and reasonable opportunity to provide a submission to the Board before a decision is taken.

4. The following process may be used where a breach (as described in section C.7 of Bylaw No 1) is alleged:

   i. A review will be undertaken by the Governance & Bylaws Committee, as the Committee has been delegated authority by the Board to review the matter and to consider what consequences might be appropriate. The Governance & Bylaws Committee will make a recommendation to the Board on formal action, if any, to be taken.

   ii. In the event that the Committee recommends that the Governor should be sanctioned/terminated by the Board, the Chair, or such other member of the Board as may be designated by the Board, shall provide no less than thirty (30) days’ notice of the pending sanction and shall provide reasons for the proposed sanction/termination to the Governor.

   iii. The Governor may make written submissions to the Chair, or such other member of the Board as may be designated by the Board, in response to the notice received, with the submission to be provided within the 30 days’ notice period.

   iv. In the event that no written submissions are received by the Chair, or such other member of the Board as may be designated by the Board, the Board will proceed to review the submission of the Committee at a meeting of the Board.

   v. If written submissions are received from the Governor in accordance with this section, the Board will consider such submissions, together with the report of the Committee, in arriving at a final decision and shall notify the Governor following its determination.

5. Any decision to sanction, including terminating membership, shall be made by a resolution of the Board carried by two-thirds of the total voting membership at a meeting of the Board. The Board’s deliberations may be conducted in person or electronically. The Board’s decision shall be final and binding on the Governor, without any further right of appeal.
REPORT OF THE SENIOR POLICY & OPERATIONS COMMITTEE

FOR INFORMATION

1. **Membership of the University Discipline Appeal Committee (UDAC)**

UDAC hears appeals of students against decisions taken on non-academic disciplinary matters under the Code of Student Conduct. On behalf of the Board, the Senior Policy & Operations Committee approved the appointment of the following individuals to UDAC for the terms noted:

*Dr. Mark Workentin, Chair - July 1, 2019 – June 30, 2020

**Faculty - July 1, 2019 – June 30, 2021:**
* Dr. Angie Mandich (Health Sciences)
Dr. Chris Sherrin (Law)

**Undergraduate Students - July 1, 2019 – June 30, 2020:**
*Lina Ghattas (Science)
*Yazan Hassan (Engineering)
*Areesa Kanji (Social Science)
*Ainsley Leguard (Brescia UC)
*Parker Thomlinson (Science)

**Graduate Students – July 1, 2019 – June 30, 2020**
*Jordan Broberg (Schulich)
VACANT
VACANT

*Reappointments*
REPORT OF THE AUDIT COMMITTEE

<table>
<thead>
<tr>
<th>Contents</th>
<th>Consent Agenda</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018 Annual Report: Campus Community Policy Service</td>
<td>Yes</td>
</tr>
</tbody>
</table>

FOR INFORMATION

1. **2018 Annual Report: Campus Community Police Service**

The 2018 Campus Community Police Service Annual Report is provided in Annex 1.
OVERVIEW

Each day members of the Campus Community Police Service (CCPS) provide a community based focused approach for a safer campus through a collaborative partnership with the Western community. CCPS has adopted a 3-year strategic plan to ensure services are delivered efficiently and effectively. These goals and objectives remain relevant and with further refinement, new activities have been identified that build upon our recent successes. The size and complexity of the Western campus require the efficient deployment of resources based on a decision-making process founded on statistically sound analytics to guide our organization. Community safety today requires a more systematic, targeted and responsive approach allowing us to maximize our resources utilizing Data, Community Engagement and Crime Prevention.

Our goals and objectives maintained over the three years of the plan, are to develop and preventative safety and security strategies to protect people, their property and university assets. The plan is based on preventing crime and improving safety on campus through partnerships and problem-solving.

The review and interpretation of data have already led to the lowering of false alarms, a decrease in criminal incidents and an increase of focused patrol hours in priority areas. By utilizing predictive data analysis we can identify patterns and trends allowing CCPS to better forecast deployment of our resources to prevent criminal activity. One trend identified is the increase of incidents/complaints with a social media or cyber component. Investigations are time-consuming as officers try to secure electronic messages to evaluate criminal/dangerous intent or what is merely an ill-advised communication. A review of our data builds a mechanism for specific daily officer patrol plans enabling us to deploy high officer visibility in order to deter crime. Officers maintain a 24-hour patrol of campus every day. CCPS has a strong emphasis on client service ensuring a safe, secure physical environment and safeguarding the movement of faculty, staff, students and visitors on campus. Over the past year, members have conducted numerous group safety presentations, residence building liaison visits, security awareness and crime prevention sessions. These sessions encourage all community members to share in the responsibility for safety and security of others.

Members of the Campus Community Police are designated as Special Constables, as authorized by the London Police Services Board, in relation to Western University and its affiliated university colleges. London Police continue to support CCPS with administrative/investigative support, officer back-up and training opportunities.

MENTAL HEALTH

The amount of time dedicated to the response for Mental Health occurrences increased by 103% in 2018 with a total of 337 hours of service provided in comparison to 166 hours in 2017 (Table 1). The Mobile Crisis Team has continued to provide service to the Western community assisting community members with mental health services.

<table>
<thead>
<tr>
<th>Year</th>
<th>Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td>54</td>
</tr>
<tr>
<td>2013</td>
<td>29</td>
</tr>
<tr>
<td>2014</td>
<td>74</td>
</tr>
<tr>
<td>2015</td>
<td>146</td>
</tr>
<tr>
<td>2016</td>
<td>178</td>
</tr>
<tr>
<td>2017</td>
<td>166</td>
</tr>
<tr>
<td>2018</td>
<td>337</td>
</tr>
</tbody>
</table>

Table 1 – Mental Health Occurrence Officer Hours
There were a total of 103 mental health occurrences which required a Campus Police response and 46 of these incidents resulted in students being transported to the hospital for medical care. Each apprehension requires two officer’s to be engaged 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.

With the large increase in the resources required to assist persons with mental health issues, the CCPS will strategize with our partners to improve services, increase community awareness, and provide educational opportunities for our officers.

INVESTIGATIONS

In 2018, 3,291 occurrence reports were created which is an increase of 232 in comparison to 2017. This surge in occurrences is the result of additional daily summary incidents to campus leaders as well as an additional 320 false alarm response occurrences. Overall there was a reduction in the majority of CCPS occurrences including Criminal Code (15.6%), Campus Police Assistance (14.7%), Lost and Found Property (12.3%) and Suspicious/Unauthorized Activities (4.1%).

An occurrence type which has displayed a pattern of escalation involves suspicious persons and the use of the Trespass to Property Act of Ontario (Table 2). Suspicious Person incidents have increased by 31.3% since 2016. CCPS officers will continue to increase proactive patrols in identified risk areas in order to focus on this growing concern.

Table 2 – Suspicious Persons occurrences (2016 to 2018)

Table 3 Lists the CCPS’ five most frequent call responses for 2018 which includes intrusion alarm responses, assisting community members into buildings and offices, found property processing, suspicious persons/vehicles activities and assisting Parking & Visitor Services.

Table 3 – Five most frequent call responses

Intrusion alarm responses have been the most common CCPS response with 1,171 incidents. These responses have been part of a larger Alarm Reduction Project which has resulted in a 78% reduction in false alarms in comparison to 2016 (please see Card Access and Alarm Signals, page 8). There was a total of 1,245 assistance activities involving after-hours access to buildings/rooms, weekend and overnight parking gate management, and vehicle tows on behalf of Parking & Visitor Services. Found Property continues to be one of the most common CCPS responses with 589 incidents.

Table 4 – Five most frequent criminal occurrences

Criminal occurrences have been reduced gradually since 2016 (see Table 5 on page 3). Reported criminal occurrences to CCPS include property offences (theft, mischief, break and enter, fraud) and persons’ offences (assault, criminal harassment, threats, sexual assault).

Theft continues to be Western’s most common criminal occurrence. However, there was a 12% reduction from 2017 when 231 thefts were reported. The majority of these thefts involved bicycles (90) followed by electronic devices (28) and laptop computers (13).

The reduction in the overall crime rate corresponds with the implementation of CCPS’s Strategic Plan. The increased CCPS visibility in residence buildings, libraries, the Western Student Recreation Center, the University Community Centre, high volume pedestrian walkways and identified critical locations across campus should lead to continued crime reductions in 2019.
**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. CCPS Supervisors respond to disclosures of Sexual Violence with oversight provided by the Investigative Staff Sergeant. This member has the prerequisite knowledge, skills, and abilities to investigate sexual violence and other serious criminal offences. This position ensures the proper response is provided and liaises with victim/survivor, Western staff and London Police Service. This allows the victim/survivor to be fully informed about all available resources and supports. Throughout the year CCPS members join residence staff to deliver education programs relating to, dating/domestic violence, informed consent and sexual violence. The Investigative Staff Sergeant is a member of the Sexual Violence Review Team to assist in a collaborative response to Sexual Violence. In order to better serve the Western community, our Investigative Staff Sergeant has attended training events, including the Ontario Police College Domestic Violation Investigators Course and Jackson Katz’s “The Role of Educators and Parents in Addressing Violence Against Women and Girls” seminar.

**Traffic Monitoring/Speed Watch Program**

Several roadways provide vehicle access to Western University and CCPS provides daily traffic patrols to ensure that motor vehicles are operated safely and drivers are in compliance with the Highway Traffic Act of Ontario.

CCPS operated four-speed measuring signs, each located strategically on the Western campus, and two additional signs will be deployed in 2019. These signs provide “traffic calming” and alerting drivers regarding the speed they are travelling at and encouraging voluntary compliance with the posted speed limits. The speed measuring signs are also utilized to measure vehicle traffic volumes and identify patterns which is beneficial in the planning process.

The speed measuring signs were utilized to compare traffic data related to the University Drive closure with a comparison of two similar time periods, January 15th to February 11th, 2018, when the bridge was open, and January 14th to February 10th, 2019 during the closure. Huron Drive (northbound and southbound) and Western Road (northbound) traffic data was analyzed and revealed that the pre-closure data documented a daily average of 29,125 vehicles and the closure data recorded a 15,345 vehicle average per day.

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**Table 5 – Criminal Occurrences (2014 to 2018)**

<table>
<thead>
<tr>
<th>Year</th>
<th>Total Criminal Occurrences</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014</td>
<td>465</td>
</tr>
<tr>
<td>2015</td>
<td>402</td>
</tr>
<tr>
<td>2016</td>
<td>464</td>
</tr>
<tr>
<td>2017</td>
<td>302</td>
</tr>
<tr>
<td>2018</td>
<td>353</td>
</tr>
</tbody>
</table>

**Table 6 – Proactive Focused Patrol Hours**

Table 6 identifies Proactive Focused Patrol hours completed by CCPS members during 2018, which include vehicle patrol, general foot patrol, building patrol and bicycle patrol. The CCPS averaged 19.5 hours of patrol over each 24-hour cycle, 365 days of the year.

![Chart showing patrol hours per day](chart.png)

**Table 6 – 2018 - 19.5 average patrol hours per day**
CCPS members also conduct traffic calming and provide enforcement as required. The CCPS invested 201 hours in traffic functions during 2018. The CCPS enforces 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. As of February of 2019, our 210 Foot Patrol volunteers performed 500 safe escorts across campus. In addition to providing safe walks for the Western community, Foot Patrol continues to conduct nightly proactive patrols of campus, reporting suspicious or criminal activity, weekly emergency blue phone audits and monthly campus lighting audits. These added patrols are vital to CCPS overarching goal to reduce crime and build a safe community. As the main Lost & Found for community members, Foot Patrol has fielded 608 inquiries from September 2018 to January 2019, and will easily surpass the 642 inquiries from last school year.

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 was enhanced in 2018 to allow for a more collaborative relationship between CCPS members and our residences communities. The feedback from officers, residence staff and students has been encouraging and confirmed that we are on the right track with these interactions. We have been approached by our affiliate universities wanting to take advantage of the RLO experience next year. The visits provide a proactive communication channel with CCPS Special Constables attending various events within Western’s residences actively participating in safety and security training programs. CCPS members participated in 176 RLO events this past year and will strive to enhance these interactions in 2019. These casual interactions are in a relaxed atmosphere while officers engage in various residence life activities. There are more exciting improvements to come in 2019 as we build on this year’s success.

Safe Campus Initiatives

Campus Safety Awareness Training

In 2018, 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. Fourteen presentations were completed in 2018. Having strong ties with our campus community is a long term trust-building effort with collaborative solutions often found to emerging issues.
Women’s Self Defence Clinic
(Rape Aggression Defense Program: R.A.D.)

Through the Crime Prevention office, CCPS’ two certified instructors hosted three Rape Aggression Defence (R.A.D.) clinics in 2018 that included 28 participants. The R.A.D. System, which is provided free of charge to students, staff and faculty at Western, presents women with basic information on personal safety, awareness, prevention, risk reduction, and avoidance. RAD also teaches practical defensive techniques that require no special skills. There is presently a waiting list of approximately 70 community members and, with this positive interest, the R.A.D. team increased the maximum number of participants per session from 12 to 18 to accommodate demand.

Community Prevention Through Environmental Design
(CPTED)

The Crime Prevention Through Environmental Design office had another successful year in 2018. Several important projects took place in an effort to minimize a variety of risks to the University. Each review is followed by a CPTED report and includes recommendations that will improve the overall safety of the campus community members and assist in protecting Western’s property. The majority of these safety audits focused on areas identified as high risk and/or hazardous or locations that benefited from additional video surveillance. The Master High-Risk list that was created in 2017 continues to develop and grow with a total of 138 high-risk areas now identified. CPTED reviews have commenced for these locations and will continue into 2019. The Communications Centre has also ensured that Standard Response Protocols are in place for these key areas.

The CPTED Coordinator will continue to meet with community members and increase individual awareness of their surroundings and assist in developing an environment that promotes personal safety and the security of physical property.

2018 CPTED Review Summary

<table>
<thead>
<tr>
<th></th>
<th>2016</th>
<th>2017</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>CPTED Reviews</td>
<td>32</td>
<td>66</td>
<td>59</td>
</tr>
<tr>
<td>Locations Visited</td>
<td>53</td>
<td>142</td>
<td>75</td>
</tr>
</tbody>
</table>

Due to the emphasis on identifying and properly securing Western’s complex high-risk locations, there was a reduction in total areas visited during 2019. The CPTED reviews commenced in 2018 were consistent with 2017 and a substantial increase from the annual reviews completed in previous years.

During 2018 the number of camera views increased by 7.4% from 850 to 913. Critical security cameras were mounted in the Biosafety Level 3 laboratory in the Dental Sciences Building, the Anatomy laboratory in the Medical Sciences Building, and the Amit Chakma Engineering Building.
**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 and 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. In 2018 FSEM continued to maintain strong collaborative working relationships with Western colleagues and external partners.

**Fire Alarm Annual Testing Contract**

As a result of a Request For Quotation bidding process in 2018, FSEM contracted with a new fire alarm testing vendor which was secured for the next 3 years with two additional 1-year options for Western at significant cost savings as compared to our previous arrangement. The process began in the hopes of identifying an additional fire alarm testing vendor to generate competition and allow for needed redundancy in Western’s program. The vendor, Richardson Fire, a Cambridge based fire alarm testing company, provided pricing which is 10% off the current market price.

**Reduction in Scheduled Fire Drills**

In collaboration with CCPS, FEM developed a program in 2018 in which specified data was collected during each fire alarm occurrence and could be substituted for a scheduled fire drill at the same location on a future date. This initiative meets all of the requirements of the Ontario fire code and will reduce the overall number of disturbances at campus facilities throughout the year. Data collected in 2018 will prevent 10 fire drills from FSEM and will directly contribute to the creation of the type of environment necessary for the best learning experience and ongoing extensive research programs.

**Avantis Work Order Management System**

FSEM commenced the implementation of the Avantis work order tracking system for all recurring activities on campus. When performing each task staff charge their time and any materials used to the work order which then saves the information for future use. The data gathered enables FSEM to run reports for cost comparisons, job completion, and labour resource/scheduling information. This information is also valuable for comparing the difference between estimated versus actual hours per task. Another benefit realized by using Avantis includes the integration happening between FSEM and Facilities Management through the use of the shared system. This has allowed for the streamlining of many processes, such as the recovery of funds for billable hours or material related to all projects on campus. FSEM will continue to build on the tasks being tracked by further refining existing profiles and creating new profiles for tasks that were not previously identified.

**2018 by the Numbers**

Although the overall number of false fire alarm occurrences were higher than previous years, the number of actual fire occurrences remained low for the second straight year. One of FSEM’s objectives is to lower false alarms incidents.

Fire Safety was responsible for the testing and inspection of 94 Fire Alarm Systems, 28,580 Fire Alarm Devices, 63 Sprinkler Systems, 5 Pre-acting Suppression Systems, 21 Kitchen Suppression Systems, and 4,741 Fire Extinguishers.

<table>
<thead>
<tr>
<th>False Fire Alarms</th>
<th>2016</th>
<th>2017</th>
<th>2018</th>
</tr>
</thead>
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<tr>
<td>Total Actual Fire Occurrences</td>
<td>14</td>
<td>5</td>
<td>6</td>
</tr>
<tr>
<td>Total False Fire Alarms</td>
<td>118</td>
<td>142</td>
<td>145</td>
</tr>
</tbody>
</table>

Two key areas of focus in 2019 will be contractor related fire alarms (18) and unknown causes (27). The remaining 100 false alarm occurrences are due to human error or malicious intent.

Fire Safety will be working closely with Facilities Management to ensure that contractors follow proper procedures and policies on all Western project sites. Beginning in 2019, fines can be issued to contractors who cause fire alarms as per written specifications for all new projects issued through Facilities, Development & Engineering and contracts issued through Procurement Services.

Members will also be coordinating with our colleagues within Housing Services to discuss reduction strategies specifically around vamping which we attribute the large increase in this “unknown cause” category over the last two years. Additionally, we will also provide targeted awareness and educational training programs for students.
ON GOING PROJECTS

Underwriters Laboratories of Canada (ULC Fire Monitoring)

In 2003, (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, is to ensure all equipment manufactured and tested to the approved ULC safety standards.

Western has been operating a proprietary monitoring station model, and although this system is adequate, it does not meet ULC Standards. As per the request by the London Fire Department, the entire campus has been moving to full ULC compliance, including equipment used in all buildings, the alarm receiving equipment, as well as the building which houses the monitoring area.

A phased approach commenced in 2018 and Western’s ULC Fire Alarm Monitoring working group began converting fire alarm monitoring services to Damar Security 3rd party monitoring vendor. Western now has 38 of its 92 monitored facilities ULC certified and are being monitored off-site, which works out to be just over 41% towards completion. The anticipated substantial completion date for this project will be near the end of 2020.

Fire Safety & Emergency Management are pleased with the transition to this new 3rd party model which has been smooth and, most importantly, exceeds the requirements of the ULC standard and London Fire Department expectations.

CCPS Quality Assurance

The CCPS works closely with London Police Service (LPS) to ensure our standard operating procedures align with their internal policies and Ministry standards. Over the past year, internal directives continue to be updated and reviewed by the Operations Inspector to ensure that the CCPS adheres to current policing, university regulations and methods. This provides a solid framework of best practices corresponding with provincial legislation and the delivery of Campus Police operations to our clients.

The Comprehensive Police Service Act (COPS-Bill 68)

In Ontario, the Ministry of Community Safety and Correctional Services have been working with other ministries and stakeholders to plan for 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) by the former Liberal government. Upon the Conservative government taking power they immediately halted the implementation of Bill 175. In February of 2019, the Attorney General announced the government is “overhauling” Bill 175 and introducing new legislation (Bill 68). Bill 68 has already passed 1st Reading and with the Conservative majority, it is anticipated it will pass the spring of 2019.

The changes that directly affect CCPS include;

- Prohibiting the use of the term “police” by any Special Constable or Special Constable employer (Western);
- Oversight by the Inspector General of Policing (monitor/inspect operations); and
- Having minimum hiring standards regulating standards of dress and equipment 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. Once the legislation is in force the Ministry will advise how quickly this transition will take place. It is hoped organizations, such as Western, will be granted a reasonable amount of time to complete the “Police” branding adjustments.
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 aids in improving personal safety, creating a record of entry, reducing the risk of property damage and preventing theft. Western’s system is central to maintaining a safe campus and CCPS will continue to monitor its effectiveness.

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. This project revealed several non-critical spaces were alarmed when in fact card access activity of personnel gaining entry would suffice. An Alarm Reduction Project has been commenced and the CCPS began the process of reviewing:
- protocol to ensure the safety of all persons
- the security of research material
- the protection of physical assets

This ongoing project involves meetings with the Crime Prevention officer, CCPS Operations Manager, and consultation with various stakeholders. These reviews clarify shortcomings regarding the on/off schedule of alarm systems, defective hardware, locking systems and insufficient access control procedures.

As a result, various systems were adjusted to more appropriate schedules. Repairs have been completed, and stakeholders have received education with their colleagues. As a result of these efforts, there has been 78% reduction in false signals since the project commenced in 2017.

This project remains ongoing and, based on the results currently being achieved, a further 75% reduction is expected during 2019.

Emergency Mass Notification (EMN)
‘AlertWesternU’

The Everbridge EMN system was purchased by Western and over the past several months the tactical implementation has been completed. Western students, faculty, and staff have all been subscribed to the service using their Western email address. Tests of AlertWesternU in October and January were conducted with the confirmation of delivery to all persons subscribed. The users will be encouraged, through a comprehensive communication strategy, to further update their subscription to customize their preferred communication methods e.g. text. This mass notification system is fully operational allowing for the pushing of important safety messages during emergencies and critical incidents. In the event of a campus-wide emergency, executive leadership is provided by the Emergency Operations Control Group (EOCG).
CCPS Service Awards / Life Saving

On the evening of October 19th, 2018 CCPS received a 911 call requesting assistance at Thompson Arena to assist with a male person who was in cardiac arrest during a hockey rental. CCPS officers Sergeant Thomas and Special Constable’s Vandenberg and Fairful were first on the scene and quickly established the male had no vital signs. They immediately utilized the Automated External Defibrillators (AED), delivered one shock and then began CPR. The Student Emergency Response Team arrived minutes later and took over CPR as officers rushed to the front of the building to guide the Emergency Medical Service and London Fire Department to the victim. As the patient was removed from the bench area by EMS he regained spontaneous circulation and was conscious. The male underwent heart surgery the next day and survived this event. The swift and decisive action by the officers, and other first responders saved this person life. In recognition of their community service Sergeant Thomas, Special Constables Vandenberg and Fairful, and Communication Operator Natalee Ziemanis were recognized by Western Recreation Services and presented with the Director’s Citation for Lifesaving Measures.
## REPORT OF THE FUND RAISING AND DONOR RELATIONS COMMITTEE

<table>
<thead>
<tr>
<th>Contents</th>
<th>Consent Agenda</th>
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</thead>
<tbody>
<tr>
<td>Fund Raising Activity Quarterly Report to April 30, 2019</td>
<td>Yes</td>
</tr>
</tbody>
</table>

### FOR INFORMATION

1. **Fund Raising Activity Quarterly Report to April 30, 2019**

   The Fund Raising Initiatives Quarterly Report to April 30, 2019 is provided in Annex 1.
**PLEDGE DATA**

<table>
<thead>
<tr>
<th>Period</th>
<th>Target</th>
<th>Actual</th>
<th>Actual as a % of Target</th>
<th>Fiscal Year 2018 (000's)</th>
<th>Year End May to April</th>
<th>Fiscal Year 2017 (000's)</th>
<th>Year End May to April</th>
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</thead>
<tbody>
<tr>
<td>Pledges outstanding May 1</td>
<td>91,903</td>
<td>91,903</td>
<td>N/A</td>
<td>87,537</td>
<td>105,717</td>
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<tr>
<td>New Gifts &amp; Pledges (Gross)</td>
<td>65,000</td>
<td>76,123</td>
<td>120.19%</td>
<td>70,130</td>
<td>57,089</td>
<td></td>
<td></td>
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<tr>
<td>Pledges cancelled/amended on new/prior pledges</td>
<td>-2,011</td>
<td>-2,010</td>
<td>99.97%</td>
<td>-1,835</td>
<td>-3,224</td>
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<td></td>
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<tr>
<td>Net New Pledges/Gifts</td>
<td>62,989</td>
<td>76,113</td>
<td>120.84%</td>
<td>68,295</td>
<td>53,865</td>
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<td></td>
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<tr>
<td>Contributions received in payment of pledges/gifts:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Western University</td>
<td>50,924</td>
<td>64,974</td>
<td>127.59%</td>
<td>63,184</td>
<td>71,509</td>
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<tr>
<td>Richard Ivey School of Business (Asia) Limited</td>
<td>200</td>
<td>0</td>
<td>0.00%</td>
<td>745</td>
<td>536</td>
<td></td>
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<tr>
<td>Total contributions received</td>
<td>51,124</td>
<td>64,974</td>
<td>127.09%</td>
<td>63,929</td>
<td>72,045</td>
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<tr>
<td>Net Pledges Outstanding</td>
<td>103,768</td>
<td>103,042</td>
<td>99.30%</td>
<td>91,903</td>
<td>87,537</td>
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</tbody>
</table>

**COST PER DOLLAR RAISED**

<table>
<thead>
<tr>
<th>Period</th>
<th>Net Pledges/Gifts</th>
<th>Expenses</th>
<th>Cost per Dollar Raised</th>
<th>Advancement Fund Raising Units</th>
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</thead>
<tbody>
<tr>
<td>Net Pledges/Gifts</td>
<td>56,248</td>
<td>9,259</td>
<td>$0.16</td>
<td>Alumni Relations &amp; Development</td>
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<tr>
<td>Total Expenses/Cost Per Dollar Raised</td>
<td>77,806</td>
<td>10,359</td>
<td>$0.13</td>
<td>Richard Ivey School of Business</td>
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<tr>
<td>3-Year Average Cost Per Dollar Raised 3</td>
<td>68,279</td>
<td>9,820</td>
<td>$0.14</td>
<td></td>
</tr>
</tbody>
</table>

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. 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

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<td><em>Renewal of the Affiliation Agreement between The University of Western Ontario and Brescia University College, Huron University College</em></td>
<td>No</td>
</tr>
<tr>
<td>Approval of the Institute for Earth and Space Exploration</td>
<td>No</td>
</tr>
<tr>
<td>John M. Thompson Centre for Engineering Leadership and Innovation</td>
<td>No</td>
</tr>
<tr>
<td>Faculty of Arts and Humanities – Proposed Name Change: “Department of Modern Languages and Literatures” to “Department of Languages and Cultures”</td>
<td>No</td>
</tr>
<tr>
<td>Faculty of Social Science – Proposed Name Change: “First Nations Studies” Program to “Indigenous Studies” Program</td>
<td>No</td>
</tr>
<tr>
<td>Report on Promotion and/or Tenure – Faculty of 2018-2019 and LA 2008-2019</td>
<td>Yes</td>
</tr>
<tr>
<td>Report of the Academic Colleague</td>
<td>Yes</td>
</tr>
<tr>
<td>Academic Administrative Appointments</td>
<td>Yes</td>
</tr>
</tbody>
</table>

FOR APPROVAL

1. **Renewal of the Affiliation Agreement between The University of Western Ontario and Brescia University College, Huron University College, and King’s University College**

   **Recommended:** That the Board of Governors approve the Affiliation Agreement between The University of Western Ontario and Brescia University College, Huron University College, and King’s University College for a four-year term effective July 1, 2019, as shown in Annex 1.

   **Background:**
   The Affiliation Agreement between The University of Western Ontario and Brescia, Huron and King’s University Colleges set out in Annex 1 supersedes and replaces the current agreement dated June 10, 2013: https://www.uwo.ca/univsec/pdf/academic_policies/affiliation/affiliation_agreement.pdf

2. **Approval of the Institute for Earth and Space Exploration**

   **Recommended:** That the Board of Governors approve the establishment of the Institute for Earth and Space Exploration, effective July 1, 2019.

   **Background:**
   An Executive Summary of the application to establish the Institute for Earth and Space Exploration is provided in Annex 2.
3. **John M. Thompson Centre for Engineering Leadership and Innovation**

**Recommended:** That the Board of Governors approve that the Centre of Engineering Leadership and innovation within the Faculty of Engineering be named the John M. Thompson Centre for Engineering Leadership and Innovation.

**Background:**
See Annex 3.

4. **Faculty of Arts and Humanities – Proposed Name Change: “Department of Modern Languages and Literatures” to “Department of Languages and Cultures”**

**Recommended:** That the Board of Governors approve that the name of the Department of Modern Languages and Literatures within the Faculty of Arts and Humanities be changed to the Department of Languages and Cultures effective July 1, 2019, and

That the Constitution of the Faculty of Arts and Humanities be amended to reflect the name change from the Department of Modern Languages and Literatures to the Department of Languages and Cultures.

**Background:**
See Annex 4.

5. **Faculty of Social Science – Proposed Name Change: “First Nations Studies” Program to “Indigenous Studies” Program**

**Recommended:** That the Board of Governors approve that the “First Nations Studies” Program within the Faculty of Social Science be changed to the “Indigenous Studies” Program effective July 1, 2019.

**Background:**
The First Nations Studies Program recently underwent IQAP review. The Reviewers suggested changing the name of the Program to Indigenous Studies to reflect that the Program is not limited to the study of First Nations Peoples, but also other groups such as Metis and Inuit.

FOR INFORMATION


The annual report of the Working Group on Information Security (WGIS) 2018 is provided in Annex 5.


The report on Promotion and/or Tenure – Faculty of 2018-2019 and LA 2008-2019 is provided in Annex 6.

8. **Report of the Academic Colleague**

The Academic College report to Senate with respect to the COU Academic Colleagues meeting on April 3-4, 2019 is outlined in Annex 7.
9. **Academic Administrative Appointments**

Faculty Relations advised of the following academic administrative post(s) approved on behalf of the Board of Governors during the month of March 2019:

<table>
<thead>
<tr>
<th>Name</th>
<th>Department/School</th>
<th>Faculty</th>
<th>Admin Post</th>
<th>Effective Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Denise Connelly</td>
<td>Health Sciences</td>
<td></td>
<td>Associate Dean (Grad, Post Doc)</td>
<td>2019-07-01</td>
<td>2022-06-30</td>
</tr>
<tr>
<td>Carolyn McLeod</td>
<td>Philosophy</td>
<td>Arts and Humanities</td>
<td>Department Chair</td>
<td>2019-07-01</td>
<td>2022-06-30</td>
</tr>
<tr>
<td>Tracy Isaacs</td>
<td>Arts and Humanities</td>
<td></td>
<td>Associate Dean (Academic Affairs)</td>
<td>2020-09-01</td>
<td>2022-06-30</td>
</tr>
<tr>
<td>Candace Gibson</td>
<td>Schulich</td>
<td></td>
<td>Acting Vice Dean (Basic Medical Science)</td>
<td>2019-07-01</td>
<td>2019-12-31</td>
</tr>
<tr>
<td>Hesham El Naggar</td>
<td>Civil &amp; Environmental</td>
<td>Engineering</td>
<td>Department Chair</td>
<td>2019-07-01</td>
<td>2020-06-30</td>
</tr>
<tr>
<td>Jackie Sadi</td>
<td>Physical Therapy</td>
<td>Health Sciences</td>
<td>School Director</td>
<td>2019-07-01</td>
<td>2020-06-30</td>
</tr>
</tbody>
</table>
Affiliation Agreement

Between

The University of Western Ontario

and

Brescia University College, Huron University College, and King’s University College

July 1, 2019

PREAMBLE

The purpose of this Affiliation Agreement is to establish a framework for the continuation of the affiliation between the University of Western Ontario (the "University") and its three Affiliated University Colleges, Brescia University College, Huron University College and King's University College (collectively, the "Affiliated University Colleges"). Each of the Affiliated University Colleges creates a distinctive small university community, while contributing to the large, world-class university experience.

The parties to this Affiliation Agreement share the common mission of creating, preserving and transmitting knowledge and thereby contributing to the cultural, social and economic well-being of the people of Ontario, Canada and the world. The parties further remain committed to academic excellence and quality that is the Western brand, in the academic programs offered by the four institutions and in the students who are admitted to and complete those programs. The parties are equally committed to providing the best possible student experience.

This agreement takes into account the historic evolution of its four party institutions and the achievements to which affiliation has contributed since 1878 (Huron), 1919 (Brescia), and 1954 (King’s). It promotes both the autonomy as well as the complementary relationship of these four institutions and ensures the continuation of good relations among them. This agreement recognizes the optimal outcomes to be achieved for its four parties, both individually and collectively, through collaboration wherever possible, but particularly in respect of academic offerings and the recruitment of students.

The Affiliation Agreement respects the character of each institution, which remains independent and autonomous, each having exclusive jurisdiction over its own board governance and administration, including the hiring of personnel, finances and the general structure and regulations necessary to the proper functioning and outreach of each institution. This agreement concerns the offering of academic programs, the admission of students intent on working towards completion of the requirements for the University degree and the standards for such completion.

Most recently, the parties entered into an Affiliation Agreement dated June 10, 2013, which addressed various aspects of the relationship among these parties. The parties now wish to enter into this Affiliation Agreement which will supersede and replace the terms of the 2013 Agreement as of the date written above. In addition, the parties agree that the interpretation and application of this Affiliation Agreement is to be guided by the following principles:

a. that there be demonstrable mutuality of benefit arising from the affiliation that is recognized and celebrated in institutional strategic plans and in Western’s Strategic Mandate Agreement;
b. that recruitment of domestic and international students be collaborative rather than competitive;

c. that existing courses and programs offered by each of the parties be offered collaboratively rather than competitively, that new courses and programs offered by any of the parties be complementary rather than duplicative, and that all of the courses and programs offered by the parties reflect a commitment to academic quality and excellence;

d. that student admission standards reflect a commitment to academic excellence, quality, and student success;

e. that the parties’ affiliation be exclusive such that any other defined types of affiliations or arrangements with other institutions require written permission of Western’s Board of Governors;

f. that the parties’ actions protect the Western and Affiliated University Colleges brands; and

g. that the educational mission of the Affiliated University Colleges is primarily at the undergraduate level.

This agreement is subject to the following terms:

1. (a) The term “Affiliated University College” shall mean a university college which is affiliated with the University during the currency of this agreement, and shall include for the purposes of this agreement any college, school, or institution of higher learning which is affiliated with such university college with the specific permission of the Board of Governors of the University on the recommendation of the Senate and under terms which are not in conflict with the University of Western Ontario Act, 1982.

(b) The term "Senate" shall mean the Senate of the University as defined by the University Act.

2. This agreement has been entered into and shall be construed on the premises:

(a) that by its Act the University may confer degrees and award diplomas and certificates in any branch of learning, taught in the University or on its behalf in an Affiliated University College, upon persons who, having complied with the requirements, are admitted to such degrees, diplomas and certificates by the Senate including persons registered in an Affiliated University College;

(b) that, whereas the University confers the same academic degree on a student who graduates through an Affiliated University College as it does on a student who graduates through the University, the academic standards of teaching, course content, and examinations for degree programs and courses offered in an Affiliated University College must be at least equal to those of the University; and

(c) that the University shall have the right to set such academic standards, through such procedures as are approved from time to time by the Senate;

(d) that Western’s Institutional Quality Assurance Process (IQAP) established in compliance with the Quality Assurance Framework (QAF) of the Ontario Universities Council on Quality Assurance makes the Provost of the University responsible and accountable to the Quality
Council for the academic quality of all courses and programs offered by the University and the Affiliated University Colleges, and therefore that Western’s IQAP applies to the Affiliated University Colleges; and,

(e) that to reflect the commitment to academic quality and excellence in principle (c) of the Preamble to this Agreement, and to ensure the Provost can meet his or her obligations described in (d) above, the Principal and Academic Dean and/or Provost of each Affiliated University College shall meet with the Provost in the Fall of each year and as necessary to discuss the Affiliated University College’s plans and actions in response to the findings of program reviews undertaken under Western’s IQAP and other matters related to program aspirations and emerging initiatives.

Entrance and Registration Requirements

3. The Affiliated University College shall be bound to admission requirements as are from time to time established by Senate and shall be entitled to such exceptions and exemptions in matters of admission requirements as may be extended to any University Faculty or School. The proposed Senate-approved minimum admission requirements are shown in Appendix 1. Future admission requirements brought to Senate for approval will reflect commitment (d) of the Preamble and the parties’ mutual desire for convergence of entrance requirements, retention rates and degree completion rates at Western and the Affiliated University Colleges. If the Affiliated University College elects to admit Preliminary Year students, such students shall be admitted according to the requirements laid down from time to time by the Senate.

4. Determination of basis of admission, grade conversions and authentication of supporting documents must conform to best practices and processes used at the University. Students admitted to and subsequently registered at the University or an Affiliated University College must be recorded in the University registration system. The University Registrar’s decision on the validity of all admissions shall be final and binding in accordance with the policies on admissions prescribed from time to time by Senate.

5. (a) Students may register in each Affiliated University College only in those programs identified in "Guidelines Governing the Academic relationship Between the Constituent University and the Affiliated University Colleges", as it is approved and updated from time to time by the University Senate.

(b) Students may not register in the Affiliated University College for programs leading to the BSc degree or programs leading to degrees in Business Administration (3rd and 4th year), Communication Sciences & Disorders, Dentistry, Education, Engineering, Law, Medicine, Music, Nursing, Honours Kinesiology - excluding the modules/programs and concurrent programs identified in the document "Guidelines Governing the Academic relationship Between the Constituent University and the Affiliated University Colleges", which may be updated from time to time by the University

(c) A student who is not in good standing academically with the University or the Affiliated University College shall not be permitted to register in another Affiliated University College or in the University without the written consent of the University or the Affiliated
University College in which the student was registered.

(d) Subject to Clause (c), the transfer of a student from one Affiliated University College to another shall be solely a matter between the Affiliated University Colleges concerned, except that records of the transfer shall be forwarded promptly to the Registrar of the University by the Affiliated University College to which the transfer is made.

6. All students pursuing graduate degrees must be registered in the School of Graduate and Post-Doctoral Studies of the University and shall be subject to the rules and regulations of that School.

7. In the summer term, in addition to offering courses that are exclusive to students registered at any of the Affiliated University Colleges, the Affiliated University Colleges may also offer courses as outlined in Appendix 2.

Exceptions and Variations

8. All agreements of affiliation entered into after the date of this agreement between the University and any other college in Ontario shall be substantially in the form hereof, subject to the following specific addition to, substitution for, or modification of the provisions hereinbefore set out:

   (a) i. All students taking the theology program offered by Huron University College leading to the degree Master of Divinity (MDiv) or Master of Theological Studies (MTS) are required to register in Huron University College. All students taking Theology programs offered by St. Peter's Seminary leading to the degree Master of Divinity (MDiv) or Master of Theological Studies (MTS) are required to register in the Seminary.

   ii. Insofar as Theology programs are concerned, the standards of admission, the curriculum and the regulations for the programs leading to these degrees in Theology, and the qualifications of new faculty appointees for Theology, shall be in accordance with the standards of membership of the Association of Theological Schools. Curriculum changes shall initially be approved by a joint committee consisting of the full-time theological teaching faculties of Huron University College and St. Peter's Seminary, then forwarded for the information of the Registrar of the Constituent University. Policy issues or proposals for new or discontinued programs will be directed to the Senate Committee on Academic Policy and Awards (SCAPA).

   (b) The parties acknowledge that notwithstanding the degree nomenclature, the MDiv and MTS are second entry undergraduate degrees that are recognized by the Ministry of Training Colleges and Universities as undergraduate degrees and are funded as such. They are not graduate degrees as defined by the Degree Level Expectations listed in Western’s IQAP.

   (c) Students with a University degree may register in any Affiliated University College to take courses in any of the programs identified in the document "Guidelines Governing the Academic relationship Between the Constituent University and the Affiliated University Colleges", as it is approved and updated from time to time by the University Senate.

Programs, Courses and Subjects
Clauses 9, 10 and 11 shall apply to all programs, courses and subjects, including those offered in alternative delivery formats.

9. In accord with past practice, the following courses shall be offered only by the University:

(a) Courses in Natural Sciences (except Mathematics at all Affiliated University Colleges and Preliminary Year courses taught at Brescia University College)

(b) Courses in:
   - Business Administration (3rd and 4th year level only)
   - Communications Sciences & Disorders
   - Dentistry
   - Engineering
   - Health Sciences
   - Journalism
   - Kinesiology
   - Law
   - Library and Information Science
   - Media, Information and Technoculture
   - Medicine (including courses related to the Bachelor of Medical Sciences program)
   - Music
   - Nursing
   - Occupational Therapy
   - Physical Therapy

10. In accord with past practice, the following courses will only be offered at an Affiliated University College:

(a) Courses in Chinese and Japanese are taught at Huron University College, and junior courses in Japanese are taught at the Constituent University. The parties acknowledge that the expansion of teaching of such courses at the Constituent University would only be in response to student demand beyond the capacity of the University College’s courses, or via collaborations as described in Clause 11.

11. Notwithstanding the provisions of Clauses 9 and 10, the parties agree that academic units at the Constituent University and the Affiliated University Colleges may offer courses and/or programs collaboratively. Such collaboration must be sanctioned by the Academic Dean and Principal of the participating Affiliated University College, and by the Provost and the Dean of the participating academic unit within the Constituent University.

12. When an Affiliated University College proposes to establish a new program or to offer subjects or courses for University credit which it has not previously offered, it shall submit the proposal in
writing to the University in accordance with regulations approved from time to time by the Senate. Such courses or programs shall be consistent with principle c) listed in the Preamble to this agreement.

Examinations

13. In all courses offered by both a Faculty or School of the University and an Affiliated University College for degree credit, as well as those courses offered in the preliminary year by an Affiliated University College for degree credit, the procedure to be followed in setting and marking examinations, and the policies regarding term grades, shall be as established from time to time by the Senate.

Degrees

14. (a) The University shall confer degrees or award diplomas and certificates in all branches of learning taught in the University or in an Affiliated University College, including Theology, upon persons who, having complied with the requirements of the Senate, are admitted to such degrees, diplomas and certificates by the Senate.

(b) By this Agreement, an Affiliated University College suspends any right to confer in-course degrees, but an Affiliated University College having a Faculty of Theology shall retain the right to confer honorary degrees in Divinity in its own behalf.

Powers of Senate

15. The Senate of the University shall have power to:

(a) make regulations governing admission to all programs leading to degrees and/or diplomas/certificates;

(b) approve the offering by the Affiliated University College of all subjects, or courses taught in the University or on its behalf by the Affiliated University College subject to the conditions of Clause 12;

(c) establish regulations regarding the terms whereon new programs, subjects or courses may be established or offered in the Affiliated University College for University credit;

(d) authorize the development of diploma/certificate programs by the Affiliated University Colleges. Where the proposed diploma/certificate program includes non-degree credit courses, the Affiliated University College will consult with Western’s Centre for Continuing Studies.”

Library

16. (a) Primary users, including students, faculty and staff, at the Constituent University or at any Affiliated University College Library shall have library privileges at all Constituent University and Affiliated University College Libraries as per the rules and restrictions of each institution.

(b) It is recognized by both parties to this agreement that, ideally, full access should be available to all library resources at all Constituent University and Affiliated University College Libraries for the primary users at said institutions. Library License agreements for electronic resources
should reflect and help satisfy the above access privileges as determined by the purchasing institution and in consultation with other libraries as is appropriate.

Fees and Financial Arrangements

17. (a) Tuition fees charged by the Affiliated University College for programs with government-regular tuition and for international students shall be no lower than those charged by the University for the corresponding program or course.

(b) Students registered in the Affiliated University Colleges shall be subject to payment of compulsory ancillary fees paid by students registered in the University as established by the Board of Governors. Students at Affiliated University Colleges may opt-out of non-compulsory ancillary fees, which have been so designated by the Board of Governors.

(c) With the goal of having a standard process for students, during the summer tuition billing will occur in the same manner as fall/winter. Students from the University will be billed by the University regardless of where they take their courses. Students from each of the Affiliated University Colleges will be billed for their tuition by that University College regardless of where they take their courses. In addition, OSAP administration and financial aid support for summer courses will be administered by the student’s home institution. Revenues will be reconciled after the fact and be redistributed based on teaching.

(d) Tuition billing for all E-Learning courses will follow the same processes as any non-E-Learning courses for both full and part-time students. Net crossflow will be reconciled after the fact.

(e) The financial arrangements between the Affiliated University College and the University shall be as determined from time to time by the Board of Governors in consultation with the Affiliated University College and notice of any proposed change or changes shall be given by the Board to the Affiliated University College not less than eighteen months in advance of the effective date of such changes, except for changes in tuition fees and the student ancillary fees, where reasonable advance notice shall be given to the Affiliated University College.

(f) The agreement concerning financial arrangements is attached as Appendix 3.

Student Activities and Discipline

18. (a) Students registered in the Affiliated University College shall comply with all regulations governing student conduct established by the Senate in relation to Academic Standards and Scholastic Discipline.

(b) Students registered in the Affiliated University College shall be entitled to representation on the University Students' Council in accordance with its constitution, and all such students shall be subject to the rules and regulations of the University Students' Council and the Board of Governors while on University property.

(c) To ensure the continuation of the outstanding Western student experience, Student Affairs leadership from the Affiliated University Colleges and the AVP Student Experience commit to meet each academic term to review the complementarity of new and continuing services and initiatives.
(d) Students registered in the University while on the property of the Affiliated University College shall remain subject to the regulations of the University Students' Council and of the Board of Governors, and shall also be subject to the rules and regulations of the Affiliated University College.

(e) Students of the Constituent University and the Affiliated University Colleges will be subject to the Code of Student Conduct of their institution of registration even if they violate the Code while on the campus of an Affiliated University College or the Constituent University where they are not registered. Notwithstanding, the Constituent University or an Affiliated University College may issue a trespass order against a student registered on another campus; in such circumstances, the institution of registration would notify all campuses; however, the issue leading to the trespass order would be dealt with under the Code of Conduct of the institution of registration.

19. Students registered in the Affiliated University College, on payment of the prescribed student ancillary fee, shall be entitled to full privileges of the service supported by that fee.

20. Students representing the Affiliated University College in athletics, literary or other inter-faculty or intramural competition must be duly registered students of the Affiliated University College.

21. The Principal or designate of the Affiliated University College shall be responsible for the discipline of all students registered in the Affiliated University College, as prescribed by this agreement, and responsible for the residential discipline of students of other Affiliated University Colleges and Faculties of the Constituent University while living in residence at the Affiliated University College. Within one week of the Principal or designate implementing a sanction under the Code of Conduct, a report will be sent to the Associate Vice President (Student Experience) of the Constituent University. The report shall name the student and describe the offence and the discipline imposed. Under the Code of Conduct, within 24 hours of the Principal or designate imposing an interim measure on a student, a report shall be sent to the Associate Vice President (Student Experience) of the Constituent University identifying the student, the alleged conduct and the interim measure imposed. As required, by legislation or Constituent University reporting requirements, the Affiliated University College shall report to the Associate Vice-President’s (Student Experience) Office any Code of Conduct offences and resulting disciplinary action imposed.

General

22. The Affiliated University Colleges shall by April 15th of each year provide the University Registrar with a list of the courses to be taught in the Affiliated University College for University credit. The names of the instructors in each course will be supplied at the same time, or as soon as possible thereafter.

23. As the availability of teaching staff, laboratory and lecture room space or the uneven distribution of students among several options compel the Constituent University or the Affiliated University Colleges at times to impose on its own students enrolment quotas in certain courses and programs, the Constituent University or the Affiliated University Colleges shall have the right to limit the number of students who may be admitted to such courses and programs. Such quotas shall be determined in timely consultation between the Constituent University and the Affiliated
24. The Affiliated University College shall appoint the members of its own faculty in accord with the procedures and practices established through its governance structure, and in accord with the principles listed in the Preamble to this agreement.

25. The Affiliated University College shall be entitled to such representation on the Senate as the University Act from time to time in force shall prescribe.

26. The Principal of the Affiliated University College shall be an ex-officio member of any committee established by the Senate to deal specifically with Affiliated University Colleges. Where a Principal sits on a Senate Committee as an ex officio representative of the Affiliated University Colleges, the confidentiality of the Committee proceedings shall not preclude the Principal from consulting with the other Principals on matters that are before the Committee.

27. All arrangements for all University convocations shall be within the jurisdiction of the Senate, which has heretofore formulated the following policies and regulations governing the holding of such convocations and which shall be binding on the Affiliated University College until changed by the Senate:

(a) When convocations are held at the Affiliated University College, the arrangements concerning platform seating, the order of the academic procession, and all other details shall be subject to conference between the Affiliated University College and the Convocation Committee of the Senate.

(b) When a meeting of the Convocation Committee of the Senate is called to discuss proposed arrangements for a University convocation at the Affiliated University College, representatives of the Affiliated University College will be invited to submit their proposals for consideration by the Committee.

(c) When University convocations are held at the Affiliated University College, they shall be completely separate and distinct from any Affiliated University College ceremony, religious or otherwise, except for the conferment of honorary degrees in Divinity by the Affiliated University College which shall be specified in the program as degrees of the Affiliated University College.

(d) When practical considerations of the Affiliated University College require a ceremony on the same occasion as a University convocation at the Affiliated University College, such ceremony shall follow the University Convocation, the conclusion of which will be marked by the removal of the University Mace and the Recessional.

(e) Through their representative on the Honorary Degrees Committee of Senate the Affiliated University Colleges shall participate in the choice of honorary degree recipients at Convocations where the Western degree is conferred on Affiliated University College students. The parties agree that every effort will be made to ensure that the scheduling of honorary degree recipients into Convocations where the Western degree is being conferred on Affiliated University College students is undertaken with sensitivity to the compatibility of the recipient with the values and missions of the Affiliated University Colleges.

28. An academic partnership between an Affiliated University College and another institution
shall reflect principles (e) and (f) listed in the Preamble of this agreement.

a) Prior to an Affiliated University College entering into formal discussion of an academic partnership with another institution of higher learning, the Principal of the Affiliated University College shall consult with the University’s Provost.

b) An Affiliated University College shall not enter into an academic partnership with any other university, college, school, or institute of higher learning without the specific permission of the University Board of Governors acting on the recommendation of the Senate.

c) In the context of this clause, “academic partnership” means a formal, bilateral relationship with another post-secondary institution in which the partner institution delivers a significant portion of the degree requirements and where credit for this is transferred as a block for all students in the program. Academic Partnership also includes international dual degree program agreements, any formal bilateral relationship with another university, college, school, or institute of higher learning in areas pertaining to the granting of degrees.

d) For policy relating to articulation, admissions and/or transfer credit, please refer to the policy on Articulation Agreements with External Colleges.

e) Contingent on approval by Senate, an articulation agreement will be signed by the appropriate signing officer of the External College, the Affiliated University College in question and the University’s Vice-Provost (Academic Programs).

f) This clause does not apply to transfer credit assessed on an individual student basis.

29. The parties agree to hold discussions with the University’s Provost or designate about possible educational agreements and academic partnerships with other institutions that fall outside those defined in Clause 28. Refer to Administrative Policy 1.26 – Establishing International Academic Partnerships. Such agreements are understood to include admission agreements with language schools, student exchange agreements with other post-secondary institutions, teaching initiatives, faculty and staff exchanges, opportunities for study and work experiences, library and document exchange, or other exchanges in pedagogical, scientific or laboratory material. These discussions will occur before any such educational agreement is signed.

The University’s Provost or designate will share with the Affiliated University Colleges information about similar educational agreements and academic partnerships that may be of interest to all parties.

30. In the event of a disagreement over the interpretation of the language of this Agreement, the signatories or their successors will meet to agree on an interpretation.

31. (a) Either party may terminate this Agreement upon giving three academic years’ notice in writing in advance addressed to the President of the University or to the Principal of the Affiliated University College, as the case may be.

(b) On the recommendation of the Senate, this agreement may be terminated or amended in part or in whole at any time by mutual agreement upon the giving of consent in writing by both parties.
32. In the event that an Affiliated University College ceases to be a denominational institution or should its denominational status be threatened, it shall immediately notify the University. The affected Affiliated University College and the University shall then meet to discuss the implications of this change in status or potential change in status to the University and the Affiliated University College. If the University has reason to believe that such change in status is detrimental to the University, the University may elect to terminate this agreement with immediate effect as it pertains to the Affiliated University College. The parties agree to meet to discuss transition under this circumstance.

33. This agreement shall come into force and effect on the date hereinbefore stated and all earlier agreements, supplementary agreements and amendments to the same shall be null and void.

34. This agreement shall be reviewed on the 5th anniversary of the signing of date.

For the University of Western Ontario

____________________________
Dr. Andrew Hrymak
Provost and Vice-President (Academic),
The University of Western Ontario

____________________________
Kathleen Kwan
University Secretary

For the Affiliated University Colleges

____________________________
Dr. Susan Mumm
Principal, Brescia University College

____________________________
Dr. Barry Craig
Principal, Huron University College

____________________________
Dr. Sauro Camiletti
Interim Principal, King’s University College

Date

Appendix 1

Entrance Standards for First-Year Undergraduate Admissions Affiliated University Colleges
A.  Constituent University

Background/Context

At its November 2010 meeting, Senate approved SUEPP’s recommendation on Western’s enrolment strategy. The recommendations specific to undergraduate admissions included the following elements:

1. Western maintain the current (i.e. fall 2010) minimum entrance requirement for first-year admission at 83% mid-year grade (and 81% final grade). For selected limited-enrolment programs, based on annual reviews by the Provost and the Deans, the entrance requirements could be higher.

2. The approach of using the common entrance requirement be continued. The result of this approach is that student demand/choice drives program-specific enrolments.

3. We continue to monitor the gap in entrance requirements between Western and the Ontario average – with the objective of maintaining the current gap.

4. We continue to monitor the size of our overall first-year class -- in order to ensure that the undergraduate population does not reach a level that cannot be accommodated within our current physical infrastructure.

The Constituent University has followed these recommendations.

Western’s current Strategic Plan – Achieving Excellence on the World Stage (January 2014) – includes the following key metrics and targets associated with undergraduate enrolments:

a. Attract the brightest students as demonstrated through the highest entering grade average and the highest number of students with external awards among Canada’s leading research-intensive universities.

b. Achieve the highest student retention and graduation rates among Canada’s leading research-intensive universities.

The Constituent University’s enrolment planning is based on these priorities.

Current Status

- The minimum entrance requirement (final grade) for fall 2018 admissions was 83.5%. The requirements ranged from this minimum 83.5% for some programs to 85% in others.

Looking Forward

In the coming years, the above strategies and priorities will guide the Constituent University’s approach to first year admissions – and it is expected that the minimum entrance requirement will be no less than 83.5% final grade average.

B.  Affiliated University Colleges
As a follow up to the Constituent University’s enrolment planning priorities and strategy, the Affiliated University Colleges have committed to narrowing the gap in minimum entrance requirements between the Colleges and the Constituent University. For fall 2018, entrance requirements (final grades) at the Affiliated University Colleges were as follows:

- Brescia  78.0%
- Huron  78.0%
- King’s  78.0%

1. Going forward, by 2022-23, the Affiliated University Colleges will increase their minimum entrance requirements (final grades) to 80%, as follows:

   - 2019-20  78.5%
   - 2020-21  79.0%
   - 2021-22  79.5%
   - 2022-23  80.0%

2. Similar to the current arrangement, in situations where additional assessment is required (for students with exceptional/unusual circumstances), the Colleges may admit students with grades below the minimum requirement – but down to only 2.5% points below the minimum requirement for a particular year. The proportion of new admits in the entering class with final averages below the minimum requirement (e.g. below the 78.5% in 2019-20 – and down to 76.0%) shall not exceed 5%. The specific boundaries for each year are as follows:

<table>
<thead>
<tr>
<th>Minimum Requirement</th>
<th>Floor Requirement for up to 5% of new admits</th>
</tr>
</thead>
<tbody>
<tr>
<td>2019-20  78.5%</td>
<td>76.0%</td>
</tr>
<tr>
<td>2020-21  79.0%</td>
<td>76.5%</td>
</tr>
<tr>
<td>2021-22  79.5%</td>
<td>77.0%</td>
</tr>
<tr>
<td>2022-23  80.0%</td>
<td>77.5%</td>
</tr>
</tbody>
</table>

3. Agreed-upon Indigenous student admissions will be exempt from the above requirement criteria.

4. The Affiliated University Colleges will be bound by the minimum entrance requirements established by the Constituent University for limited-enrolment programs, where applicable, including BHSc and Kinesiology.

5. The assessment of qualifications for international applicants to the Affiliated University Colleges will be conducted using the Constituent University methodology and conversions. The Registrar at the Constituent University should be consulted at the beginning of each admissions cycle.

6. Applicant Referrals - We are committed to work together to build a referral process that is reflective of the spirit of this agreement and works towards supporting both main campus and affiliate recruitment goals. Representatives from the Affiliated University Colleges and the University will meet early in February each year to work out the appropriate process based on receipt of grades, calculation dates, quality of the current applicant pool, and past experience. The referral process will begin early in March each year with the applicants the University believes are unlikely to receive an offer. This process will be repeated after the May round of offers for other students who will not be receiving an offer from the University.
Appendix 2

Summer Course Offerings

1. Summer term is treated as a single term - i.e. intersession, summer day, summer evening, and distance/on-line are, for these purposes, a single term.

2. The Affiliated University Colleges can offer unique courses across all programs, and courses in programs which are exclusive to the Affiliated University Colleges as identified in the document "Guidelines Governing the Academic relationship Between the Constituent University and the Affiliated University Colleges", which may be updated from time to time by the University Senate.

3. For all other courses, the following process shall be followed:
   - The Constituent University shall inform the Affiliated University Colleges, by November 1st of each year, the planned course offerings for the following summer term.
   - The Affiliated University Colleges shall respond by the end of November with their list of planned summer course offerings - with no duplication of the Constituent University courses, unless clause #4 below is followed.
   - Changes shall be made by all institutions until mid-December - on a first-come first-serve basis - but with no duplication of offerings between the Constituent University and the Colleges, except under the terms of clause 4 below.

4. The Affiliated University Colleges may offer duplicate summer courses (i.e. courses offered by the Constituent University), but only students registered across the Affiliated University Colleges and students on Letter of Permission (LOP) from other universities shall be allowed to enroll in such duplicate courses. The Constituent University offering of such a duplicated course will then be restricted to students registered at the Constituent University and to students on LOP from other universities.

Constituent University courses offered as distance/on-line may duplicate Affiliated University College courses during the summer term. In such a case, both Constituent University students and Affiliated University College students would be eligible for registration in the distance/on-line courses.

5. If an Affiliated University College offers a course newly developed by that Affiliated University College (i.e. a course that has not been offered previously at either the Affiliated University College or the Constituent University and is not mutually anti-requisite to any existing course offered by the Constituent University) in a given summer term, that Affiliated University College has the first right to offer that course in subsequent summers. When that Affiliated University College does not offer that course during a summer term (i.e. the course is not identified in the College's list submitted by November 14th), rights to that course shall be available to the Constituent University (i.e. the University may include it in its November 1st list in subsequent years).
6. If an Affiliated University College offers an existing course (i.e. a course that has been offered previously in a fall/winter term at the Affiliated University College) never before offered during the summer term, that Affiliated University College has the first right to offer that course the following two summers. Other institutions shall have the right to offer the course, if it has not been identified in the Affiliated University College's list due on November 14th.
Appendix 3

Affiliation Fee Agreement

Between The University of Western Ontario and the Affiliated University Colleges

Background

As part of the previous Affiliation Agreement, Western and the Affiliated University Colleges agreed to a new model/arrangement to address the financial flow associated with Service Fees (i.e., fees to be paid by the Colleges for services provided by Western) and Cross-Teaching (i.e. the financial transfer associated with the “net” teaching of students by Western). The new model was the implementation of a simpler approach based on a single “Affiliation Fee” that would incorporate both the Service Fees and the Cross-Teaching Transfer.

The Affiliation Fee was based on a consideration of the following:
- The services – both at Western and the Affiliates – that should be included in the financial arrangement.
- The level of relevant services – both at Western and the Affiliates.
- Cross-Teaching levels (i.e., the flow of cross-teaching FCEs in both directions).
- Enrolment related revenues at the institutions, compared to the level of cross-teaching transfers.
- The impact of the University’s Science Breadth Requirement on Cross-Teaching levels.
- Overall enrolment-related revenues at the Affiliates.

The Parties affirm the principle as outlined in the Guidelines Governing the Academic Relationship Between the Constituent University and the Affiliated University Colleges – of maintaining a healthy and mutually beneficial cross-flow of students between Western and the Affiliates.

For the period of this Affiliation Agreement, the “Affiliation Fee” structure shall continue.

The Affiliation Fee

1. There shall be an Affiliation Fee paid by each Affiliate to Western calculated at a rate of 12% of the individual Affiliate’s undergraduate and graduate enrolment-related grants and tuition revenues.

   The enrolment-related grants included are as follows: the Core Operating Grant and the Differentiation Grant, netted against the Provincial Government’s International Student Recovery. In the future, if the Provincial Government changes the structure of enrolment-related grant envelopes, the Parties shall discuss the effect of the change on the Affiliation Fee Agreement.

   Since graduate enrolment-related grants and tuition revenue are included in the Affiliation Fee calculation, no Graduate Service Fee shall be levied.

   Tuition revenue shall be calculated as the sum of (i) actual summer tuition revenue collected by the Affiliates, (ii) actual graduate tuition revenue transferred to the Affiliates, and (iii) fall/winter undergraduate tuition revenue calculated based on November 1 and February 1 official enrolment counts discounted by 1.8% to account for student withdrawals. The 1.8% discounting factor shall be reviewed from time to time. Tuition revenues used in calculating the Affiliation Fee shall exclude the government required minimum tuition set-aside funds.

   The 12% Affiliation Fee Rate shall be in place for the duration of this Affiliation Agreement. As part
of the next renewal of the Affiliation Agreement, the rate shall be reviewed and adjusted if/as necessary to reflect the services and associated costs at that time.

2. A slip-year approach shall be used in calculating the Affiliation Fee Transfer (i.e., the Affiliation Fee for year X shall be based on the Affiliates’ enrolment-related grants and tuition in year X-1).

3. **Services.** Under this Affiliation Fee Agreement, currently-provided services shall continue without additional fees. Services currently provided by Western’s Units on a cost-recovery basis (e.g., services provided through Campus Police, Western Technology Services, Facilities Management, Communications & Public Affairs, Registrar’s Office, Student Success Centre, and Western International) shall continue under the cost-recovery model – with the necessary cost escalations. During the period of this Affiliation Agreement, if new services are introduced by either side, the Parties shall discuss the effect of the new services on the Affiliation Fee Agreement. Services provided by Western’s ancillary units are not covered by this Affiliation Fee Agreement.

4. **Cross-Teaching.** Under this Affiliation Fee Agreement, cross-teaching shall include only undergraduate course FCEs. The flow of cross-teaching FCEs from each **Affiliate to Western** shall be capped at the weighted average of the 2010-11 and 2011-12 undergraduate FCE cross-flow course registrant per Affiliate FTE student (note that the baseline years reflect the time period prior to the introduction of the Affiliation Fee). During the period of this Affiliation Agreement, for each FCE above this cap, the Affiliate shall pay Western the undergraduate domestic year 1 Arts tuition, calculated on the slip-year (i.e., for 2019-20, the FCEs and Arts tuition rate would be the 2018-19 figures).

    The flow of cross-teaching FCEs from **Western to each Affiliate** shall be capped at the average of the 2010-11 and 2011-12 undergraduate FCE flow. During the period of this Affiliation Agreement, for each FCE above this cap, Western shall pay the affected Affiliate the undergraduate domestic year 1 Arts tuition, calculated on the slip-year (i.e., for 2019-20, the FCEs and Arts tuition rate would be the 2018-19 figures).

    Cross-flow calculations shall continue to exclude courses offered in Spring/Summer.

    It is acknowledged that a cross-teaching adjustment to recognize the existing Science Breadth Requirement has been taken into consideration in the implementation of the Affiliation Fee. If, in the future, any Senate-mandated requirements force an increase in the cross-flow from the Affiliates to Western, the Parties shall discuss the effect of the change on the Affiliation Fee Agreement.

5. **This Affiliation Fee Agreement is part of this Affiliation Agreement (as an Appendix) and represents the entire basis of understanding amongst the Parties related to financial matters associated with services and cross teaching.**
Application for designation as a Research Institute

Institute for Earth and Space Exploration

for
Research, Innovation and Training in
Earth and Space Exploration

PREPARED BY THE DIRECTORS AND EXECUTIVE COUNCIL OF THE CENTRE FOR PLANETARY SCIENCE AND EXPLORATION ON
BEHALF OF FACULTY MEMBERS FROM ARTS AND HUMANITIES, EDUCATION, ENGINEERING, HEALTH SCIENCES, LAW,
SCHULICH MEDICINE AND DENTISTRY, SCIENCE, AND SOCIAL SCIENCE

"By aiming for the Moon, we allow our children to reach for the stars. Space represents limitless possibilities and endless discoveries. For every astronaut we send to space, there are thousands of Canadians who are part of the journey. Canada's space strategy will foster our next generation of astronauts, engineers and scientists and will ensure Canadians and Canadian businesses benefit from the growing opportunities in the space economy."

- The Honourable Navdeep Bains, Minister of Innovation, Science and Economic Development, Feb. 28th 2019 -

WESTERN UNIVERSITY, LONDON, CANADA
June 07, 2019
Rationale, Justification, and Scope: Understanding the Universe through the exploration of frontiers on Earth and in space is a major scientific endeavour that involves tackling some of the major outstanding scientific questions of our time. In parallel, developing the technology required for space exploration represents one of the most challenging engineering opportunities of our time and is an economic and innovation driver for advanced technologies.

The world of space exploration is rapidly evolving and, for the first time since the Apollo missions of the late 1960s and early 1970s, NASA has made a firm commitment to return humans to the surface of the Moon in the 2020s and on to Mars in the 2030s. Here in Canada, there have been several recent major announcements related to space; most notably, on February 28th 2019, the Prime Minister of Canada committed $2.4 billion in funding, focused on the Lunar Gateway initiative, the Lunar Exploration Analysis Program, and the Junior astronauts initiative. At the same time, there are increasing commonalities in the techniques and technologies being applied to the exploration of remote and/or extreme locations on Earth, such as Arctic Canada, and deep underground mines, and the exploration of Space. Space also provides a unique way to attract the brightest young minds to Science, Technology, Engineering, and Math (STEM) fields and engage them in research.

Western is currently home to several outstanding research groups active in different aspects of Earth and space exploration. Together, we have set out future directions for growth and expansion and identified new opportunities in interdisciplinary research and training that will further establish this group as an internationally recognized centre of excellence in Earth and space exploration. Our vision is to be Canada’s Leader in Earth and Space Exploration research, training and outreach. To sail this course, we first need to be recognized by Western as an interdisciplinary and inter-faculty structure with the necessary administrative support. We therefore propose to establish the Institute for Earth and Space Exploration. The mission of the Institute is to lead in interdisciplinary research and innovation in Earth and Space Exploration, and to strengthen and grow the Canadian Earth and Space exploration communities through inspiring and training the next generation of scientists, engineers, social scientists and entrepreneurs. The Institute will thus concentrate on:

- **Problem-based Interdisciplinary Research**: The close interdisciplinary collaboration between engineers, scientists, and social scientists from different fields will result in innovative techniques and technologies that will be used for both Earth and space research.
- **National and International Leadership**: The Institute will provide national and international leadership in the exploration of Earth and Space by leading the development of training initiatives, by enhancing research intensity, and by promoting national linkages through industry, government, space advocacy groups and all levels of academia.
- **Training and Education**: The Institute is driven by a strong and unwavering commitment to offer “research and training for 21st century explorers” at the undergraduate, graduate, postdoctoral and professional levels, including research skills, leadership, mentoring and teaching training.
- **Public Engagement and Outreach**: The Institute will share the excitement of Earth and space exploration with the Canadian public, and attract the brightest young minds to STEM fields.

The Institute will work toward the following long-term objectives:

1. **Launch Western into Space**: We will propose, develop, and fly Western-led space missions through a scaled program of high-altitude balloon flights, instrument development, and small satellite (Cubesat) projects.
2. **Bring Space Down to Earth:** We will develop technologies and techniques to explore remote, difficult to reach, and/or dangerous locations on Earth (e.g., the high Arctic, deep mines, inside nuclear reactors, etc.) based on engineering solutions developed for Space research.

The Institute will promote and support problem- and team-based research by developing the following key **Interdisciplinary Research Competencies:**

1) **Remote Science:** Investigating objects and places where people can’t go, from the centre of the Earth to distant galaxies; includes observational, theoretical and numerical studies.

2) **Contact Science:** Investigating samples *in situ* from the Earth and other objects in the Solar System (i.e., astromaterials), including the necessary laboratory work in support of such science.

3) **Autonomous Science:** Enabling remote and contact science to be conducted autonomously on Earth and in Space.

4) **Exploration Science:** The science of human exploration of the Solar System, including the science to enable humans to explore, and survive, as well as the science enabled by human exploration.

**Relationship to complementary initiatives:** *Planetary Science and Exploration* has been recognized by Western as one of ten Signature Research Areas. The research carried out by the Institute is not, however, restricted to this one signature research area with significant contributions to the *Imaging, Materials and Biomaterials,* and *Environmental Sustainability and Green Energy* areas. Through two successful Interdisciplinary Development Initiatives, CPSX has developed various programs, including the *Collaborative Specialization in Planetary Science and Exploration* – the country’s only graduate program in planetary science and exploration that attracts some of the best and brightest young minds to Western. Beyond Western, CPSX has established a leadership role nationally. Several national networking and collaborative initiatives are led by CPSX faculty, most notably the *Canadian Lunar Research Network* – a member of the NASA Solar System Exploration Research Virtual Institute.

**Western Faculties, Departments, and Schools directly involved in the Institute:** Historically, CPSX has been administered through the Faculty of Science, where its membership base originated in 2008. The proposed Institute will draw members from 8 Faculties and 19 departments and schools. Team members are at various stages of career and include several Chairs. This group has an outstanding record in research and in training that will be taken to the next level with the establishment of the Institute.

**Expected contributions to the University’s mission:** The establishment of this Institute will significantly strengthen the University’s strategic objective to maintain and enhance Western’s stature as a leading Canadian research-intensive University “through strategic investment in areas of established and emerging research strength.” Western’s Strategic Research Plan further outlines five core priorities: Going Global, Mobilizing Knowledge, Preparing Global-Ready Graduates, Partnerships with Impact, and Leadership Through Interdisciplinary Research. The Institute is poised to contribute in all areas.

**Operations and governance:** The proposed administrative structure of the Institute aligns fully with Western’s policy requirements. The Institute will have a Director, two Associate Directors, an Executive Council, Governing Board, as well as an external Advisory Committee.

**Financing and sustainability:** At start-up, base funding for the Institute will be provided by the Office of the Vice-President Research and by participating Faculties. Once established, the Institute will seek sustained funding from partner institutions (government and industry), fundraising, and external funding from provincial and federal agencies.

Once established, the **Institute for Earth and Space Exploration** will position Western and Canada as an *international* hub for Earth and Space exploration research, development and training.
FOR APPROVAL

John M. Thompson Centre for Engineering Leadership and Innovation

Background:
The Centre of Engineering Leadership and Innovation was approved by the Board of Governors on April 26, 2018, and the new academic unit became effective July 1, 2018.

The Center Director is also the current holder of the John M. Thompson Chair in Engineering Leadership and Innovation, which was established with a gift of $3 million from John M. Thompson in 2017 that generated matching funds of $1.5 million.

John M. Thompson has made a new commitment of $3 million in 2019 to establish the John M. Thompson Chair in Information Technology and Innovation, which is also being matched with $2.5 million from the University’s endowed chair matching fund that will generate a total new investment of $5.5 million.

John M. Thompson’s total investment in academic positions, student awards and programming for the Centre for Engineering Leadership and Innovation, along with matching funds, will have generated a total investment of $10 million for the following projects:

<table>
<thead>
<tr>
<th>Fund Description</th>
<th>Gift</th>
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<tr>
<td>John M. Thompson Chair in Engineering Leadership and Innovation</td>
<td>1,750,000</td>
<td>1,500,000</td>
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<tr>
<td>John M. Thompson Case Studies and Curriculum Development Fund</td>
<td>250,000</td>
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<td>John M. Thompson Fellowship in Engineering Leadership</td>
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<tr>
<td>John M. Thompson Chair in Information Technology and Innovation</td>
<td>2,750,000</td>
<td>2,500,000</td>
</tr>
<tr>
<td>John M. Thompson Innovation Fund</td>
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<td></td>
</tr>
<tr>
<td></td>
<td>6,000,000</td>
<td>4,000,000</td>
</tr>
</tbody>
</table>

In recognition of this total contribution the proposal is for the Centre for Engineering Leadership and Innovation to be named the John M. Thompson Centre for Engineering Leadership and Innovation. The effective date for the name change would be July 1, 2019.

John Thompson
Dr. John M. Thompson (BESc’66; Hon. LLD’94) served as Western’s 20th chancellor from 2008-12, in addition to serving on the President’s Council, chairing the Western Engineering’s advisory board and co-chairing Western’s Renaissance Campaign from 1989-94. His professional career has included leadership positions with IBM and TD Bank Financial Group.

John has been a leading innovator in the information technology sector in Canada with worldwide impact through his career, fostering the link between industry and academia in practice and research. His leadership has been shown through university governance appointments and his leadership and philanthropic support for the Hospital for Sick Children.

John has also provided advice and leadership to groups including the Canadian Business Council, Corporate Higher Education Forum and the Conference Board of Canada. His leadership and contributions to Canada were recognized with the Order of Canada in 2013.
FOR APPROVAL

Faculty of Arts and Humanities - Proposed Name Change: the Department of Modern Languages and Literatures to the Department of Languages and Cultures

Background:
The Department of Modern Languages and Literatures has a long-standing history within the University and the Faculty of Arts and Humanities. The Department currently offers a variety of program options in Languages (German, Italian and Spanish), as well as in Literature and Culture. Additionally, a wide range of other language courses are taught in the department including Hindi, Japanese, Arabic, and Portuguese.

Throughout the years the department has evolved, and continues to do so in order to meet the needs of its students, striving to provide them with a solid intellectual formation, new critical perspectives, and strong language skills in a rapidly changing and interconnected-world.

The aim of the Department of Modern Languages and Literatures is to create courses that offer students new cultural perspectives. After long consideration, the department concluded that the name Modern Languages and Literatures no longer reflects the curriculum and composition of its programs.

The newly proposed name for the department — “Languages and Cultures”— better reflects the scope of curriculum offered and is more inclusive of all languages and cultures. The name change will encourage the department to reinforce existing programs and an interdisciplinary teaching approach in areas as diverse as language, literature, art, film and music from around the world.

The following people were consulted when discussing the proposed name change:

Arts and Humanities Dean, Chairs, Directors
EPC Members
King’s University College
VP and Academic Dean, Sauro Camiletti - sauro.camiletti@kings.uwo.ca
Huron University College
Geoff Read, Dean Arts and Social Science, Huron University College - gread4@huron.uwo.ca Paul Nesbitt-Larking (Huron University College, Associate Dean, (Acting) Arts and Social Science) - pnesbitt@uwo.ca Marke Franke (Huron University College, Centre for Global Studies Director) - mfranke@huron.uwo.ca

Brescia University College
Principal, Susan Mumm - bucprincipal@uwo.ca
Vice Principal and Academic Dean, Lauretta Frederking - lfrederk@uwo.ca
Vice Principal Students, Marianne Simm - msimm@uwo.ca
School of Humanities Chair, James Doelman - jdoelman@uwo.ca

Weldon Library
Peggy Ellis (Weldon Library, Modern Languages, Linguistics, Theory and Criticism) pellis3@uwo.ca
Joan Finegan (Social Science, Associate Dean Academic) finegan@uwo.ca
Gail Wright (Social Science, Manager Student Affairs) wright@uwo.ca
Susan Knabe (FIMS, Associate Dean Undergraduate) sknabe@uwo.ca
Kathie Hess (FIMS, Senior Academic Counsellor) khess@uwo.ca
Kathy Hibbert, Associate Dean, Undergraduate and Pre-service Program, Faculty of Education khibbert@uwo.ca
The Working Group on Information Security (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 designed to manage security risk within our information systems and the technologies that safeguard them. Further, WGIS has provided valuable advice and access to distributed resources to Western Technology Services (WTS) on implementing cyber security initiatives within the organization.

Oversight over a number of information security related initiatives has been provided by WGIS, including coordination of activities during Cyber-Awareness month in October, technical risk assessments of Western’s Faculties/Departments/Support Units, raising awareness about Western’s Data Classification policy, and review of recommendations regarding cyber security incidents.
Executive Summary

Primarily led by WTS, with advice from WGIS, 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 have been implemented within the institution over the past number of years with several initiatives planned over the course of 2019/2020.

In 2018, Western introduced a function (Cyber Security and Business Services) within Western Technology Services (WTS) to better equip the institution with the leadership and tools it needs to advance efforts related to protecting the organization from a wide array of cyber threats.

In 2019, Cyber Security and Business Services and WGIS will collaborate in information security awareness campaigns, stakeholder engagement, technical and policy advisement, and ongoing resourcing of several sub-initiatives such as CyberSmart and technology risk analysis within Western.

The contents contained within this report include details related to the tasks and initiatives WTS and WGIS are engaged in, but a few items should be highlighted:

- **Information Security Awareness (ISA) Education platform:**
  
  In 2019, an ISA platform will be configured and implemented for various groups across the Western landscape to login and work through modules related to cyber security topics.

- **Multifactor Authentication (MFA) for Microsoft Office 365**
  
  In 2019, an MFA solution will be configured and implemented for the purpose of further securing Western’s cloud-based electronic messaging and document repository solution.
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Summary of Activities

Office of Cyber Security and Business Services

Recognizing the importance of the cyber security file and the emergent threat that exists within the organization, sector, nation, and globe, Western University has invested in the creation of a unit within Western Technology Services (WTS) called Cyber Security and Business Services. This unit is led by a Director and has (in part) been implemented to examine and remediate organizational practices, procedures, and risk exposures and to develop a comprehensive strategy and enhanced operational posture to better equip the institution against myriad threat vectors associated with cyber security.

The emergence of this function within WTS affects WGIS and its own mandate and will require analysis to better understand how these areas work together to achieve their respective goals.

1. Risk Assessment

WTS and WGIS have adopted a Risk Management Framework (RMF) from the National Institute of Standards and Technology (NIST) to identify cyber threats to Western’s information security environment. Through this adoption, several institutional needs have been identified:

- Need for a consistent approach to securing information shared within the University community;
- Requirement for formal information security programs, honouring both a central position as well as local, unit-level concerns (to build on existing unit-specific ad-hoc procedures that may be specific in orientation);
- Need for cyber awareness programs within Faculties and Support Units;
- Need for an overall institutional cyber-security framework and strategy;
- Need for an overall risk management-oriented approach to cyber-security.

During 2018, WTS and WGIS addressed a number of these information threats through activities that are described in this report and will continue to consult on information security risks with faculties, support units, and respective departments. Further, coordination of activities meant to highlight where risk exists within the environment will continue.

In 2018, following a NIST interview framework, the approach was continued for the following units*:

1. Faculty of Social Sciences
2. Faculty of Engineering
3. Faculty of Information and Media Studies
4. Housing and Ancillary Services

*This past year saw significant changes within WTS and on the security file which has temporarily affected the number of groups the group has met with in 2018.

These interviews have been critical in helping to shape the institution’s understanding of technological and cyber-related risks. They have also been helpful in identifying critical information systems that are deployed throughout the organization. In the final analysis, this process has been designed to produce an institutional inventory of critical information systems (and their associated risk factors) that exist across the campus.

In 2019, a revitalized plan to conduct interviews with the following units is in early stages of finalization:

1. Office of the Registrar
2. Student Experience
3. Brescia University College
4. Huron University College
5. King’s University College
6. Windermere Manor
7. Faculty Association
8. 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 Web, mass email, targeted information presentations, and updates to key groups across campus.

This new MAPP 1.13 Computing, Technology, and Information Resources policy achieved 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-oriented (rather than technology-oriented) cyber security strategy;
- Positions Western to be more agile with the implementation of detailed procedures (supplemental to this overarching Policy) that may arise due to new or emergent technologies.
While these updates have been integrated into Western’s MAPP framework, there are remaining updates related to password management, data governance, and overall information management that will need to work through the process over the course of 2019/2020.

3. Cyber Protection

A. Information Security Awareness (ISA)

Over the course of 2018, information security awareness was once again an important focus for both WTS and WGIS. Over the past year, WGIS’s subgroup, the CyberSmart Committee, worked closely with WTS and other partners on the following activities:

- Through the committee’s investigation into creating an online information security awareness training course it became clear that it would be most efficient and effective to engage an external vendor to provide mandatory, online training for staff, faculty, and students rather than develop a course in-house.
  - CyberSmart subgroup has made a formal recommendation to WTS/WGIS to pursue external vendors for this training. WTS initiated an RFP to engage an external vendor and the process resulted in the organization selecting Terranova Security to provide the technology and training material.

- On October 30, 2018, WTS, with support from the Office of the Registrar and the University Students’ Council (USC), ran a Halloween-themed cyber security 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. Each person who spun the wheel won either candy or another prize that had a cyber security message attached to it. This culminating activity, held during Cyber Awareness month, capped off a successful run of activities within the organization;

- As a new initiative, instead of only promoting cyber security during Cyber Awareness month (October), promotion of cyber awareness each month from October 2018 through May 2019 has been implemented. Using posters and social media messaging that can be shared on Facebook and Twitter, each month a different aspect of cyber security (e.g. the importance of backing up your files, turning on your firewall, not opening attachments from unknown senders) is being highlighted. See below for a sample of the communications.
YOUR ONLINE PAST CAN HAUNT YOU.

WHAT YOU SHARE ONLINE CAN BE IMMORTAL.

Keep in mind almost everything on the Internet is traceable.

Western

CYBERSMART.UWO.CA
Discover, Share, Protect

BACK UP YOUR FILES

PROTECT THEM FROM VIRUSES AND DAMAGE

CYBERSMART.UWO.CA
#protectu - Discover, Share, Protect
B. 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 – 9.2
Average Number of Machines Locked (for security reasons) / month – 10.3

C. Multi-Factor Authentication (MFA)

A Multifactor Authentication methodology utilizes a second required item to be provided when logging into a system. Usernames and passwords are the first factor and the second is typically a generated code that is provided to the user through myriad delivery options (text, mobile app, etc.). Example: when logging
into your email with a username and password, a secondary message is sent to a configured destination asking you to confirm that it is you.

The first Multifactor Authentication (MFA) initiative at Western started in 2017 with the procurement of a product called “DUO” and is being used for critical-access systems such as PeopleSoft for select users with administrative (or elevated) access to Human Resources (HR), Finance (FIN), and Higher Education (HE). The DUO solution was also implemented in select cases for access to Western’s VPN solution ROAMS (an application that provides secure access to our network from off campus) as well.

A project is currently underway to implement MFA into our email system (Office 365), designed to minimize spamming and PHISHing within our environment as well as provide deeper and required security for Western’s user accounts, distributed systems, and to further protect user privacy overall. The project is currently in Phase 1, which involves conducting impact analyses, configuration testing across multiple platforms and clients, and developing an implementation project plan. Phase 1 will conclude in May 2019 and an implementation project will begin preparation within the summer months.

Note: Multifactor Authentication (MFA) for email will affect all users who utilize the Microsoft Office 365 platform via Western’s implementation (myoffice.uwo.ca), whether the connection is over a web browser, email client, or mobile device. Further and more detailed communications are forthcoming with a goal of implementation over the course of 2019.

D. Ongoing “Phishing” Attack Mitigation Efforts

A series of activities to mitigate the effect of PHISHing on our community were undertaken in 2018:

- Continued use of a self-phishing process to test specific, unit-level responses to and awareness of various PHISHing attacks. With each mock PHISHing scenario executed, results overwhelmingly indicate that more work around cyber security awareness needs to be in place;

- Reducing the number of aged passwords process started in January 2017 to ensure passwords older than 5 years (at that time) were changed (impact was 8683 accounts). This process continues as WTS reaches out to users of the oldest passwords in the organization on a regular basis (approximately 100 users per week);

  o Password management will continue to be a topic of discussion with a recommendation from WTS and WGIS to move towards an annual institution-wide password expiry process. Work on this
policy is still required, but initial research indicates that an annual password change is required;

**E. 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. Throughout 2018, WTS has completed moving all remaining mailboxes from our legacy system to the Microsoft Office 365 environment.

A project has been initiated to determine the necessity to replace List Guardian, the organization’s mailing list management application. The move to a new system would both improve constituents’ user experience in managing distribution lists and WTS’s 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 9.2 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.

As can be appreciated, there is much work to do on reducing the annoyance associated with email spam messaging and in managing the risks associated with the ever-increasing PHISHing threat vector. MFA, better tools within Office 365, and cyber awareness projects are important aspects of building a robust cyber resilient culture, but WTS and WGIS will spend much of 2019 investigating other approaches to better manage our environment.

*It is also recommended that action be taken to further protect the Western directory from bot-scraping (automated processes that gather credentials and
emails from public online directories). From these lists, organizational structure can be inferred which can lead to targeted spear PHISHing campaigns. The recommended course of action is to place the Western directory behind a credential prompt, so that only employees and/or students can utilize. Most Faculties have online research profiles for their members and those apparatuses would serve as public means for interested parties to connect.

F. Financial Information Protection: Payment Card Industry (PCI) Compliance

Several WTS and WGIS members are actively involved with ensuring Western University is PCI compliant. The Western Bank Card Committee is ultimately responsible for this activity, but WTS and WGIS are differently imbricated with this process and need to be informed of emergent 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 2018, Western again achieved Level 1 compliance under version 3.2.1 of the Payment Card Industry Data Security Standards (PCI DSS). This was the third 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 2019, the Bank Card Committee will continue to ensure Western remains PCI compliant, review all payment-related processes associated with the Western ONE card, and review the Bank Card Policy.

G. Technology Risk Assessments

Over the course of the past year or more, a process has been introduced known as Technology Risk Assessment (TRA). This process is separate from the Risk Assessment section earlier in this document.

The purpose of Technology Risk Assessments (TRA) is to provide for the organization the due diligence required to ensure that software, hardware, and data-provisioning initiatives are adequately protected, and/or that the risks involved are understood and accepted by the required stakeholders within Western University.

While the approach is geared towards technological initiatives, there is great variability in the types of solutions that are within scope. Some projects might require a formal Request for Proposal (RFP) based on the costs involved and others might be cloud-based solutions that have no fees at all. Some solutions may require ecommerce transactions and others may not be geared as such.
And others may deal with Personally Identifiable Information (PII), while many may not. In each scenario, (significant) risk may exist and this process is meant to help our partners across the organization understand these components and to assist in mitigating and/or accepting the understood risks.

Western University has a legal obligation and an ethical responsibility to protect the information and processes related to our operational, academic, and research portfolios. One of the ways that we accomplish this goal is through a Technology Risk Assessment (TRA) for any initiative being brought forward at Western University that has some sort of technological (in a broad sense) dimension.

This process is geared towards Western and its partners, employees, researchers, and operations to understand the risks associated with technology-related solutions. The advent of web-based, cloud-oriented applications, along with traditional client/server applications, has grown tremendously and there has been an acute increase in how these technologies use data (Western's or others'), interact with other systems, and transmit information. Each process may be vulnerable and the Technology Risk Assessment is Western's due diligence in understanding the risks.

Primarily, the TRA process is comprised of 5 central functions at Western: Legal Counsel, Privacy Office, Financial Services (if commerce is involved), Procurement Services, and Western Technology Services (WTS).

The TRA Group is co-chaired by the Director of Procurement Services and the Director of Cyber Security and Business Services.

Other members include representation from Research Services and Western's Internal Audit Group.

4. Incident Response & Investigations

Western Technology Services (WTS) and relevant partners across the institution are finalizing an organizational cyber incident response framework (CIRF) that, once ratified, will be adopted throughout the operational landscape. A cohesive CIRF will enable Western to act quickly and with the appropriate resources to mitigate any potential issues these incidents may cause.

In 2018, Western was attacked on average 630,000 times per day as recorded and measured by the organizational firewall. The vast majority of these are repelled through infrastructure and monitoring mechanisms.
In terms of events that rise to the level of investigated incidents, Western experienced a similar number in 2018 (23) when compared to 2017 (24).

5. 2019 Plans

WGIS will focus on the following initiatives in 2019.

- Primary initiative going forward in 2019 is the implementation of a Cyber Security Strategy for Western.
  - An engagement of an external vendor (Quick Intelligence) to assist in the assessment of the current state of the organization is concluding and will inform the strategy;
  - The Cyber Security Strategy will be further informed by a landscape analysis of higher education institutions in Canada and around the globe, as well as best practices within industry. In addition, a broad engagement with various stakeholder groups around Western is underway with a plan to see these processes conclude by late Spring 2019;
  - The Cyber Security Strategy will include, among other items: a cyber incident response framework (CIRF), guidelines for cyber security considerations when travelling, information repository guidelines, and commentary on the ubiquitous use of cloud systems;
- As indicated earlier, a project to implement MFA for Microsoft Office 365 is underway;
- Risk Assessments and Data Classification discussions across the organization which will include setting of security priorities and providing advice on best way to protect the critical information housed in the units and identification of "Crown Jewel Assets";
- A review and refresh of the Working Group for Information Security (WGIS) role and mandate will conclude and will be documented accordingly;
- 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.
Appendix A – Current WGIS Members

Glen Tigert (Chair) University Registrar

Erika Basile Research Ethics
Rob Brennan Western Technology Services
James Ciesla Schulich School of Medicine & Dentistry
Colin Couchman Western Technology Services
Jim Dunkin Housing and Ancillary Services
Paul Eluchok General Counsel
Aleks Essex Faculty of Engineering
Sharon Farnell Internal Audit
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
Dan Redmond Campus Community Police Service
Chris Wedlake Robarts Research Institute
Julie Whitehead Faculty of Health Sciences
Ed Zuidema (Scribe) Western Technology Services
TO: Faculty Relations
FROM: Equity & Human Rights Services
DATE: May 17, 2019

SUBJECT: Reports on Promotion and/or Tenure – 2018-2019

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 2018/2019.

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.
<table>
<thead>
<tr>
<th>APPENDIX VII, Annex 6</th>
<th>Page 2</th>
</tr>
</thead>
</table>

### 2018-19 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

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<th>Visible Minorities</th>
<th>Persons with Disabilities</th>
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<td>Women</td>
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#### Probationary Assistant Professors considered for Promotion and Tenure

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<th>Process initiated by Dean in any year before the last year - Clause 15.3</th>
<th>Process initiated by Member by March 1 of 3rd year for consideration in the 4th year - Clause 15.4</th>
<th>Positive Committee recommendation - Clause 17</th>
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#### Probationary Associate Professor considered for Promotion or Granting of Tenure

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<th>Process initiated by the Dean in the last year of the appointment - Clause 15.2</th>
<th>Process initiated by Dean in any year before the last year - Clause 15.3</th>
<th>Positive Committee recommendation - Clause 17</th>
<th>Negative Committee recommendation - Clause 17</th>
<th>Positive Provost decision - Clause 18</th>
<th>Negative Provost decision - Clause 18.3</th>
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#### Tenured Associate Professors considered for Promotion

<table>
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<tr>
<th>Gender</th>
<th>Process initiated by Dean - Clause 15.5</th>
<th>Process initiated by Member no earlier than three years after promotion to Associate Professor - Clause 15.6</th>
<th>Positive Committee recommendation - Clause 17</th>
<th>Negative Committee recommendation - Clause 17</th>
<th>Positive Provost decision - Clause 18</th>
<th>Negative Provost decision - Clause 18.3</th>
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#### Limited-Term Assistant and Associate Professors Considered for Promotion

<table>
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<tr>
<th>Gender</th>
<th>Process initiated by Dean - Clause 15.6.1</th>
<th>Process initiated by Member - Clause 15.4.2</th>
<th>Process initiated by Member - Clause 15.6.1</th>
<th>Positive Committee recommendation - Clause 17</th>
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<th>Positive Provost decision - Clause 18</th>
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#### Total cases considered for Promotion and/or Tenure

*Total: 57 cases.*

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.
### Total cases considered Promotion or Continuing Appointment

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<thead>
<tr>
<th></th>
<th>Men</th>
<th>Women</th>
<th>Aboriginal Persons</th>
<th>Visible Minorities</th>
<th>Persons with Disabilities</th>
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<tbody>
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### Probationary Appointees and/or Members holding Continuing Appointments considered for Promotion

<table>
<thead>
<tr>
<th></th>
<th>Process initiated by Vice Provost and Chief Librarian or Dean within the first month of the last year of probationary period</th>
<th>Process initiated by the Vice Provost and Chief Librarian or Dean</th>
<th>Process initiated by Member</th>
<th>Positive Committee recommendation</th>
<th>Negative Committee recommendation</th>
<th>Positive Provost recommendation</th>
<th>Negative Provost recommendation</th>
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### Probationary Appointees considered for Continuing Appointment

<table>
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<th>Process initiated by Vice Provost and Chief Librarian or Dean within the first month of the last year of probationary period combined with Process initiated by Member</th>
<th>Process initiated by Vice Provost and Chief Librarian or Dean within the first month of the last year of probationary period</th>
<th>Process initiated by Vice Provost and Chief Librarian or Dean at any time prior to final six months of probationary period</th>
<th>Positive Committee recommendation</th>
<th>Negative Committee recommendation</th>
<th>Positive Provost recommendation</th>
<th>Negative Provost recommendation</th>
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### Total cases considered for Promotion and Continuing Appointment

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 2008-2019). The equity data for the total cases considered has not been suppressed.
Erika Chamberlain, the Academic College appointed to Senate submitted the following report to Senate with respect to the COU Academic Colleagues meeting on April 3-4, 2019 held in Kingston.

The following agenda items may be of particular interest to Senators:

**Sexual Violence Survey**

The government released data from the Student Voices on Sexual Violence survey in March. Universities and colleges were provided a summary of the results (including aggregate and institution-specific results to some questions) but have not received more detailed data (e.g. information about whether incidents happened on or off campus, perpetrator information, etc.). The information is currently with the Privacy Commissioner for a decision on whether it can be released.

The government also announced a number of immediate actions for post-secondary institutions, including:

- Requirement to report annually to Boards on measures related to the experiences of and supports for students who have experienced sexual violence;
- Increasing the Women's Campus Safety Grant to $6M (shared across all colleges and universities – 44 campuses in total);
- Requirement for universities to have a task force devoted to the issue, including student representatives;
- Requirement for all institutions to review their sexual violence policies by September 2019.

**Tuition Fee Framework and Ancillary Fee Guidelines**

Universities have now received guidance on what will be considered “compulsory” fees. These include: athletics and recreation, career services, student buildings, health and counselling, academic supports, student ID cards, student achievement and records, financial aid offices, campus safety programs, and transit passes if established prior to January 2019. All other fees will be subject to the Student Choice Initiative (opt-out).

**Campus Freedom of Expression**

The COU has asked HEQCO for consultation regarding the reporting that will be required in fall 2019.

**Program Approvals**

MTCU approvals for new academic programs have been delayed for a year or more. This means that programs that have received Quality Council approval are still awaiting the MTCU decision as to whether they will be funded.