

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, January 23, 2020
Room 4155, Stevenson Hall**

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

1. Adoption of Agenda – Open Session
2. Report of the President (Alan Shepard)
3. Unanimous Consent Agenda – **Appendix I**
Includes [Open Session Minutes of the Meeting of November 21, 2019](#)
4. Business Arising from the Minutes
5. Reports of Committees:
 - Property & Finance Committee – **Appendix II** (Keith Gibbons)
 - Senior Policy and Operations Committee – **Appendix III** (Rick Konrad)
 - Governance and By-Laws Committee – **Appendix IV** (Keith Gibbons)
 - Audit Committee – **Appendix V** (Susan Bennett)
 - Fund Raising and Donor Relations – **Appendix VI** (Carol Stephenson)
6. Items Referred by Senate – **Appendix VII** (Alan Shepard)
7. Questions from Members
8. Other Business
9. Adjournment to Confidential Session

SUMMARY OF AGENDA ITEMS – January 23, 2020 – OPEN SESSION

Adoption of Agenda	ACTION
Report of the President	INFORMATION
Unanimous Consent Agenda – Appendix I	ACTION
Minutes of the Meeting of November 21, 2019 – Open Session	ACTION

Report of the Property & Finance Committee – [Appendix II](#)

MAPP 1.XX – Pets and Therapy Animals on Campus Policy	ACTION
Scholarships, Awards, and Prizes	INFORMATION
Experiential Learning Innovation Scholars	INFORMATION
Leenders Purchasing Management Association of Canada Chair: Name Change	INFORMATION
Establishment of the Dancap Private Equity Chair in Human Organization and Discontinuation of the Dancap Private Equity Professorship in Marketing (Consumer Behavior)	INFORMATION
Report of the Investment Committee	INFORMATION
Key Financial Indicators as at April 30, 2019	INFORMATION
Ancillary Financial Report	INFORMATION
2019-20 Operating Budget Update as at October 31, 2019	INFORMATION
Annual Report on Trademark Licensees doing business with the Western Book Store	INFORMATION

Report of the Senior Policy and Operations Committee – [Appendix III](#)

Committee Appointment	INFORMATION
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Report of the Governance and By-Laws Committee – [Appendix IV](#)

2020 Board Work Plan	INFORMATION
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Report of the Audit Committee – [Appendix V](#)

MAPP Policy 2.5 Retention of Consultants: Audit, Accounting, and Tax Update	ACTION
Western Office of the Ombudsperson Annual Report 2018-2019	INFORMATION

Report of the Fund Raising and Donor Relations Committee – [Appendix VI](#)

Fund Raising Activity Quarterly Report to October 31, 2019	INFORMATION
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Items Referred by Senate – [Appendix VII](#)

Research Western Annual Report – 2019	INFORMATION
Report of the Academic Colleague	INFORMATION
Academic Administrative Appointments	INFORMATION

Questions from Members	
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REPORT OF THE PRESIDENT

To: Board of Governors
From: Alan Shepard
Date: January 13, 2020
Re: President's Report for January 23 Meeting

Dear Governors,

This report summarizes some noteworthy developments since my last report to the Board of November 14, 2019.

Mourning our students lost in flight PS752: Our campus community has rallied during the past week to grieve together and honour the memories of four Western graduate students who died in the Ukrainian International Airlines passenger plane shot down in Iran January 8.

Among the lives lost on flight PS752 were Western Engineering students **Ghazal Nourian, Milad Nahavandi** and **Sajedeh Saraeian**, and Chemistry student **Hadis Hayatdavoudi**.

According to Universities Canada at the time of writing this report, Western is among 22 Canadian universities that collectively lost 60 students, faculty or alumni in the crash.

Counselling support for Western community members grappling with the loss have been available at multiple venues on campus throughout the week, and will continue in the days ahead. About 250 students, faculty, staff and community members gathered on the afternoon of January 8 at Western's International & Graduate Affairs Building for a candlelight vigil to pay their respects and support one another in the immediate wake of the tragedy. **Mayor Ed Holder** and Society of Graduate Students president **Jina Kum** joined me in sharing formal remarks. During the gathering, attendees were invited to sign books of condolence, a slideshow of photos and music commemorated the deceased, and a poem read aloud—first in Farsi, then translated to English—called for peace.

Later in the week, Ontario's Minister of Colleges and Universities **Ross Romano** called me to express his condolences to the Iranian students at Western and our entire campus community. He also acknowledged the many Western staff members who have responded swiftly and tirelessly to the situation, bringing comfort and grace to bear. I echo the Minister's condolences and reaffirm my own deep gratitude for the great care and concern that all staff, leaders and students have expressed during these difficult days.

Remembering Richard M. Ivey, HBA'47, LLD'79: Western lost one of its greatest champions and Canada lost one of its leading philanthropists when Richard M. Ivey died December 28. He was 94. Through his voluntarism and philanthropy, Richard helped elevate the prominence of Western and its business school to international prominence. As a volunteer, he served as a member of the Board of Governors (1968-78), including three years as Chair. He served as Chancellor (1980-84), sat on what is now the Ivey Advisory Board (1966-91), and served as Director of the Robarts Research Institute prior to its merger with Western. He also helped establish Foundation Western, serving as a Director and Board Chair (1980-86).

The Ivey family's support for Western represents one of the most significant philanthropic relationships

between a family and a Canadian university. Both personally and through the Ivey Foundation, they have donated \$50 million to Western, including gifts to the business school, Schulich School of Medicine & Dentistry, Robarts Research Institute, Faculty of Arts & Humanities, and Western Libraries.

Building on his father's legacy, Richard believed passionately in the power of higher education and the impact of investing in excellence. Though the business school was a focal point, his contributions as a volunteer and a donor benefited students and researchers across our campus. He was a true gentleman whose presence and altruistic spirit was felt by many.

Remembering Reva Gerstein, LLD'72: Western lost another great champion when Reva Gerstein, the University's first woman Chancellor, died January 6. She was 102.

A highly regarded psychologist who worked throughout her career to change society's attitudes towards people with mental illness, Reva's insights and advice were sought by prime ministers, premiers, mayors and policy-makers in health, research, cultural institutions and corporations. Among her many ground-breaking achievements, Reva was appointed by Premier John Robarts as the first woman on the Committee on University Affairs, serving as its Chair (1972-75). During the war years, she taught psychology courses at the University of Toronto where she also worked directly with Sir Frederick Banting studying the effects of oxygen deprivation on mental abilities for the RCAF. She later served as the first child psychologist in the Ontario school system by the East York-Leaside Board of Health.

During her time as Chancellor (1992-1996), Reva also chaired the board of the Canadian Institute for Advanced Research. In 1997, she was named a Companion of the Order of Canada in recognition of the extraordinary impact she had made in the realms of mental health, related research and postsecondary education.

Anti-racism working group update: This working group has now been constituted and will begin meeting this month. Through a series of listening sessions and other consultation activities, the group will learn about the lived experiences of racialized persons on campus and recommend initiatives to counter racism. The group's work will culminate with a summary report of its findings in early spring.

I want to thank all working group members for volunteering their time to this important initiative, including co-leads **Erica Lawson** (Associate Professor & Undergraduate Chair, Women's Studies and Feminist Research), **Jina Kum** (PhD candidate & President, Society of Graduate Students), and **Lisa Highgate** (Behaviour Intervention & Conduct Case Management, Student Experience). Details on the working group's terms of reference, membership and activities will be communicated soon and publicized online.

Fall Preview a success: Approximately 15,000 guests came to Western November 17 as prospective students and their parents toured campus as they weigh their options for postsecondary study. Thanks to all staff, students and faculty who contributed to the success of this important day. Enrolment and interest in Western remain strong thanks in part to this semi-annual recruitment effort.

Federal Cabinet announced: Prime Minister **Justin Trudeau** announced his cabinet November 20, which includes two alumni—**Bill Morneau** (BA'86, Political Science) as Minister of Finance, and **Filomena Tassi** (LLB'86) as Minister of Labour—among several others with some affinity to Western. I've extended congratulations to all cabinet members on Western's behalf.

RBC supports data analytics and AI: I want to capture for the record that on the day of the Board's last meeting (November 21), alumnus, Board member and Group Head of Technology and Operations at RBC **Bruce Ross** (BESc'85) announced a \$3-million investment by the Royal Bank of Canada to support cross-disciplinary education in data analytics and artificial intelligence. Specifically, the donation will be used to develop two new courses in the Faculties of Science and Engineering exploring the social impact and ethical use of big data and AI on individuals, organizations and society; to establish two \$25,000 scholarships in Data Science and Software Engineering; and to create a Design Thinking Program open

to all Western students that includes a \$3,500 stipend for successful applicants plus internship opportunities at RBC.

Accolades: The following faculty, students, staff and alumni are among the many members of the Western community recognized with special honours in recent months:

- Former Western University president **Amit Chakma** named Vice-Chancellor of the University of Western Australia beginning in July 2020. Located in Perth, UWA has an enrolment of 25,000 and is known for graduates who include an Australian prime minister, several high court justices and two Nobel Prize laureates.
- **Cynthia Liao**, HBA'14, one of only four Canadians awarded the Schwarzman Scholarship which supports graduate studies that aim to build stronger relationships between China and countries around the world.
- UWOFA presented its annual scholarships to 38 outstanding students representing each of Western's 11 Faculties. Awarded annually since 1971, the Faculty Association scholarships are supported through UWOFA members' union dues.
- Western alumni recently named to the Order of Canada include:
 - **John Collins**, MD'60, of Hamilton, for transformative research in reproductive endocrinology and promoting evidence-based medicine in women's health care;
 - **Mohan Mathur**, DSc'11, former Dean of Western Engineering, for leadership in the field of electrical engineering in academia and industry, as well as for efforts to enhance and expand the profession in Canada;
 - **Mary Lee Myers**, MD'77, of London, for leadership and volunteerism as a board member of the Stratford Festival and the London Community Foundation;
 - **Larry Rosen**, LLB'82, MBA'82, of Toronto, for leading and expanding the family's high-end fashion company; and
 - **Gordon W. Walker**, BA'64, LLB'67, of Toronto, for service as a provincial parliamentarian and commitment to protecting transboundary waters between Canada and the United States through the International Joint Commission.
- **Patrick Hickey** (HBA'19) named among this year's cohort of Rhodes Scholars. As Western's 24th recipient of the prestigious post-graduate scholarship to study at Oxford, Patrick arrived at Western in 2015 as a Loran Scholar and distinguished himself as an undergraduate at Ivey in part for his award-winning extracurricular dedication to promoting mental health awareness. Currently, he is a Global Investment Banking Analyst with RBC Capital Markets in Toronto.
- Physical Therapy professor and Western Research Chair in Musculoskeletal Exercise **Michele Crites Battié** recognized with the 2019 Orthopaedic Research Society / Philadelphia Spine Research Society Lifetime Research Achievement Award.
- I was pleased to be in Ottawa November 23 to celebrate **Joy MacDermid** (Physical Therapy), **Ravi Menon** (Medical Biophysics) and **Ann Chambers** (Oncology, Medical Biophysics and Pathology) as Western's newest Fellows inducted to the Royal Society of Canada. The RSC's annual gala also recognized **Lauren Flynn** (Chemical & Biochemical Engineering) and **Janice Forsyth** (Sociology) as Western's newest entrants to the College of New Scholars, Artists and Scientists. The gala was made even more special for Western with the installation of **Jeremy McNeil** (Biology) as President of the RSC's Board of Directors and Council, and **Joanna Quinn** (Political Science) as President of the College of New Scholars, Artists and Scientists.
- On November 25 I was pleased to attend a reception recognizing the 424 Mustang student-athletes who maintained an 80% average while competing in varsity sport during the 2018-19

academic year. Western ranks among the country's top universities in terms of its total number of Academic All Canadians.

- The recent conversion of the parking lot in front of University College into pedestrian-friendly space has been recognized as the best public space and landscape in the biennial London Urban Design Awards. London architects Tillmann Ruth Robinson received the award, with acknowledgement to contributions from Arthur Lierman Landscape Architecture, Yuna Hur Lighting Design, and staff in Western's Facility Services.

Recognizing the success of our colleagues is an essential element of telling Western's bigger story to the world. Please join me in celebrating and sharing these stories.

Senior academic appointment: On January 6, we announced **Dr. John Yoo** as our next Dean of the Schulich School of Medicine & Dentistry, beginning May 1. Internationally renowned for the pioneering techniques he has developed in reconstructive head and neck surgery, Dr. Yoo currently serves Western in three capacities: as Interim Chair/Chief of the Department of Paediatrics, as Fellowship Director for the Department of Otolaryngology (Head & Neck Surgery), and as a Professor of Otolaryngology and Oncology. His clinical and academic interests include innovations in head and neck reconstruction, thyroid and parathyroid surgery, management of the paralyzed face, and head and neck oncology.

John also serves as Co-chair of Cancer Care Ontario Head and Neck Cancer Disease Site, he is the President-elect of the Canadian Association of Head and Neck Surgical Oncology, and he is an executive board member with both the Canadian Association of Otolaryngology and the Asia-Pacific Society of Thyroid Surgery. He has also served as Chair/Chief of the Department of Otolaryngology-Head and Neck Surgery (2006-2017), was the longest serving Chair of the Canadian Chairs of Otolaryngology, and has been Co-Chair of the London Health Sciences Centre's Facial Nerve Clinic since 2007.

We congratulate Dr. Yoo on his appointment and thank Dr. Davy Cheng for his excellent leadership as interim dean for the past 14 months while the selection process was underway.

Leadership review and selection: The work of selection committees for the next Deans of the Faculties of Education and Social Science, as well as the next Vice-President (Research) and the next Vice-Provost & Associate Vice-President (International) are all underway. The work of the committee for the Vice-Provost (Academic Planning, Policy & Faculty) also remains underway, while a committee to recruit Western's first-ever Vice-Provost & Associate Vice-President (Indigenous Initiatives) has been struck and will begin its work shortly.

UNANIMOUS CONSENT AGENDA

FOR APPROVAL

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

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

Minutes

1. Open Session Minutes of the November 21, 2019	ACTION
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Report of the Property & Finance Committee – Appendix II

2. Scholarships, Awards, and Prizes	INFORMATION
3. Experiential Learning Innovation Scholars	INFORMATION
4. Leenders Purchasing Management Association of Canada Chair: Name Change	INFORMATION
5. Establishment of the Dancap Private Equity Chair in Human Organization and Discontinuation of the Dancap Private Equity Professorship in Marketing (Consumer Behavior)	INFORMATION
6. Report of the Investment Committee	INFORMATION
7. Key Financial Indicators as at April 30, 2019	INFORMATION
8. Ancillary Financial Report	INFORMATION
9. 2019-20 Operating Budget Update as of October 31, 2019	INFORMATION
10. Annual Report on Trademark Licensees doing business with the Western Book Store	INFORMATION

Report of the Senior Policy and Operations Committee – Appendix III

11. Committee Appointment	INFORMATION
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Report of the Governance and By-Laws Committee – Appendix IV

12. 2020 Board Work Plan	INFORMATION
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Report of the Audit Committee – Appendix V

13. Western Office of the Ombudsperson Annual Report 2018-2019	INFORMATION
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Report of the Fund Raising and Donor Relations Committee – Appendix VI

14. Fund Raising Activity Quarterly Report to October 31, 2019	INFORMATION
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Items Referred by Senate – [Appendix VII](#)

15. Report of the Academic Colleague	INFORMATION
16. Academic Administrative Appointments	INFORMATION

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

NOVEMBER 21, 2019

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

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

S. Bennett	K. Richter
W. Boye	M. Robinson
C. Burghardt-Jesson	C. Rorabeck ☞
G. Dick ☞	B. Ross
K. Gibbons	A. Shepard
C. Karakatsanis	S. Shortreed
D. Keddy	C. Stephenson ☞
R. Konrad	P. Thomlinson
M. Lerner	S. Trosow
K. Mequanint	J. Toswell
G. Parraga	H. Usher

By Invitation: K. Cole, P. Eluchok, A. Hrymak, L. Logan, J. Massey, M. Mills, J. O'Brien, T. Rice, M. Ruddock, S. Prichard.

Regrets: K. Sullivan

Land Acknowledgement

D. Keddy read a Land Acknowledgement.

Chair's Remarks

The Chair thanked and noted his appreciation to B. Ross for the coordination of a \$3-million investment by RBC to establish the RBC Data Analytics and Artificial Intelligence Project at Western, an expansion of the University's ongoing cross-disciplinary work in data analytics and artificial intelligence.

The Chair also welcomed K. Richter, as the newest member of the Board of Governors, and congratulated M. Robinson on his successful dissertation defense.

BG.19-113

REPORT OF THE PRESIDENT

The President addressed the announcement of the RBC investment of \$3 million to establish the RBC Data Analytics and Artificial Intelligence Project, noting his appreciation for all of the hard work that took place to bring this exciting opportunity to the University.

Items discussed in the President's Report, included:

- Fall Preview
- Enrolment targets
- SMA3

- Strategic Planning preparation
- Weldon Library renovation process
- Climate change research opportunities
- The faculty inducted into the Royal Society of Canada

A. Hrymak, Provost & Vice-President (Academic) provided members with further information on the SMA3 agreement. He advised members that he was committed to providing a presentation at a town hall meeting, as well as to Senate and the Board of Governors, in January 2020.

BG.19-114 **UNANIMOUS CONSENT AGENDA** [Appendix I]

It was moved by K. Gibbons, seconded by D. Keddy,

That the 13 items listed in Appendix I, Unanimous Consent Agenda, except item 10, be approved or received for information.

CARRIED

BG.19-115 **Minutes of the Previous Meeting**

The open session minutes of the meeting of September 24, 2019 were approved as circulated.

BG.19-116 **Business Arising from the Minutes**

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

REPORT OF THE PROPERTY & FINANCE COMMITTEE [Appendix II]

Prior to considering the Report of the Property & Finance Committee, K. Gibbons noted that there were no additional details of the Committee's work to provide.

BG.19-117 **Information Items Reported by the Property & Finance Committee**

Appendix II, Report of the Property & Finance Committee, contained the following items that were received for information by unanimous consent:

- Scholarships, Awards, Prizes
- Diabetes Canada Chair in Diabetes Management: Name Change
- John F. Wood Chair in Innovation in Business Education: Name Change
- Report of the Investment Committee
- Semi-Annual Ratio Report on Non-Endowed Funds

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

Prior to considering the Report of the Senior Policy & Operations Committee, P. Jenkins indicated that the Committee was trying to progress the Lieutenant Governor in Council vacancy on the Board of Governors.

BG.19-118 **Revisions to MAPP 1.52 Policy on Sexual Violence**

It was moved by R. Konrad, seconded by S. Trosow,

That the Board of Governors approve the revisions to MAPP 1.52 – Policy on Sexual Violence, effective May 1, 2020, as shown in Appendix III, Annex 1.

CARRIED

A. Hrymak, Provost & Vice-President (Academic) provided information to the Board on the requirement by the government to review MAPP 1.52 – Policy on Sexual Violence. He advised that the changes to the policy came from data gathered via the Sexual Violence survey. He noted that the changes in the policy involved communication and awareness of the policy, as well as changes to gender-based and sexual violence language. He further noted that the Communications team would be working with Student Experience to develop communication (i.e. infographic) tools to make the policy more accessible to the community.

A member requested clarification on the consultation process for the amendments to the Policy on Sexual Violence. J. Massey, Associate Vice-President (Student Experience) advised members that there was strong engagement from various campus stakeholder groups during the consultation period. She noted that 17 hours of focus groups and over 500 student survey responses had been collected. While the number of survey responses may not have been high, she advised members that the quality and depth of the responses were of great value to the team in making the proposed changes. She clarified that the ongoing focus of this project would be to address prevention and education, as well as a strong communication strategy to ensure that stakeholders are aware of the processes in place and resources available in times of crisis.

BG.19-119 **Annual Report on Gender-based and Sexual Violence**

In March 2019, the provincial government mandated that post-secondary institutions provide their Board of Governors with an annual report on work underway to address gender-based sexual violence. The report contained in Appendix III, Annex 3 provided an update on the progress made between January 2017 and April 30, 2019.

A member asked if there was an expectation that the reporting statistics in future reports would increase. J. Massey, Associate Vice-President (Student Experience) responded that she did expect to see increasing numbers, which would reflect, in her view, an increasing number of people reaching out for help. She noted that having a better understanding of the numbers also raised questions regarding the adequacy of resources, a lesson that might be learned from the experience of other institutions. J. Massey indicated that the reviews would be ongoing. The report will be available online with the resources also accessible.

BG.19-120 **Information Items reported by the Senior Policy and Operations Committee**

Appendix III, Report of the Senior Policy and Operations Committee, contained the following item that was received for information by unanimous consent:

- Committee Appointments

REPORT OF THE GOVERNANCE AND BY-LAWS COMMITTEE [Appendix IV]

BG.19-121 **Information Items reported by the Governance and By-Laws Committee**

Appendix IV, Report of the Governance and By-Laws Committee, contained the following items that were received for information by unanimous consent:

- Results of the 2019 Board of Governors By-Election
- Board Election Schedule for Spring 2020

REPORT OF THE AUDIT COMMITTEE [Appendix V]

Prior to considering the Report of the Audit Committee, S. Bennett provided a high-level overview of the recent work of the Committee.

BG.19-122 **Health, Safety, & Well-being Annual Report 2018/19**

The Health, Safety, & Well-being Annual Report 2018/19 was provided to the Board of Governors for information in Appendix V, Annex 1.

A member requested clarification on the forthcoming Pets and Service Pets policy noted in the report, as well as the lost-time injury time reported in the Health, Safety, & Well-being Annual Report 2018/19.

M. Mills (Director, Health, Safety & Wellness) clarified that the policy relating to pets on campus would encompass pets, service animals and therapy animals, noting that the work on this policy had been undertaken since the summer of 2018. He also clarified that there had been an increase in lost-time injury reports in the past year, noting that the increases have been related to Food Services employees and resulted from changes in food preparation on campus.

ITEMS REFERRED BY SENATE [Appendix VI]

BG.19-123 **Amendment to the Appointment Procedures for Senior Academic and Administrative Officers of the University – Addition of a Vice-Provost & Associate Vice-President (Indigenous Initiatives)**

It was moved by R. Konrad, seconded by S. Bennett,

That the Board of Governors approve that the Appointment Procedures for Senior Academic and Administrative Officers of the University be revised to include the Vice-Provost and Associate Vice-President (Indigenous Initiatives) as shown in Appendix VI.

CARRIED

BG.19-124 **Amendment to the Appointment Procedures for Senior Academic and Administrative Officers of the University – Change of Title in Section I: Vice-President (External)**

It was moved by K. Gibbons, seconded by D. Keddy,

That the Board of Governors approve that the title of the Vice-President (External) in the Appointment Procedures for Senior Academic and Administrative Officers of the University (Section I) be changed to Vice-President (University Advancement).

CARRIED (Unanimous Consent)

BG.19-125 **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. Gibbons, seconded by D. Keddy,

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

CARRIED (Unanimous Consent)

BG.19-126 **Information Items Referred by Senate**

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

- Report of the Academic Colleague

A member noted that concerns had been raised at the Senate meeting of November 15, 2019, relating to Western libraries and the collections. The President provided a summary of those concerns, noting that there would be ongoing discussions with colleagues to ensure

communications improved.

ADJOURNMENT

The meeting adjourned to the confidential session at 1:21 p.m.

P. Jenkins
Chair

K. Kwan
Secretary

REPORT OF THE PROPERTY & FINANCE COMMITTEE

Contents	Consent Agenda
MAPP 1.XX – Pets and Therapy Animals on Campus Policy	No
Scholarships, Awards, and Prizes	Yes
Experiential Learning Innovation Scholars	Yes
Leenders Purchasing Management Association of Canada Chair: Name Change	Yes
Establishment of the Dancap Private Equity Chair in Human Organization and Discontinuation of the Dancap Private Equite Professorship in Marketing (Consumer Behavior)	Yes
Report of the Investment Committee	Yes
Key Financial Indicators as at April 30, 2019	Yes
Ancillary Financial Report	Yes
2019-20 Operating Budget Update as at October 31, 2019	Yes
Annual Report on Trademark Licensees doing business with the Western Book Store	Yes

FOR APPROVAL

1. **MAPP 1.XX – Pets and Therapy Animals on Campus Policy**

Recommended: That the Board of Governors approve MAPP 1.XX – Pets and Therapy Animals Policy effective May 1, 2020.

Background:

The Pets and Therapy Animals on Campus Policy (the “Policy”) was developed as a result of health and safety concerns impacting the University’s faculty, staff and students as well as concerns raised by individuals with disabilities who described how their service animals were being distracted, interfered with or attacked by untrained animals.

The Policy would put parameters around pets and therapy animals on campus. The Policy would ban pets from buildings unless contrary to law or collective bargaining rights. It is important to note that the current UWOFA collective agreement permits members to bring a pet to their office space. The Policy would also allow for therapy animals to be present in buildings provided certain approvals were obtained and conditions met. A Procedure has been developed for Pets and Therapy animals, permitting Therapy Animals in buildings only where there has been prior written approval.

The University has also developed a Procedure which would accommodate individuals with disabilities who require a Service Animal to ameliorate an aspect of their disability. Faculty and staff would be required to register their need with Human Resources and students would be required to register their need with Accessibility Services. A mechanism is built into the Procedure to address competing rights between individuals with a service animal and individuals who may have health or safety concerns resulting from the service animal.

Consultation:

The Policy was initiated at the request of the Associate Deans group who are dealing with issues of pets, therapy animals and service animals in their respective faculties. The draft Policy was shared with the group in the fall of 2018 and their endorsement was obtained. The Policy was also shared with the PVP Group and with the Joint Occupational Health and Safety Committee, who endorsed the latest draft. It was then shared with the heads of SOGs and USC for comment. Finally, the Policy was presented to the members of Campus Council.

The Policy attached as [Annex 1](#) represents the final product of the review process. The Policy is being recommended to the Board for approval, with the Procedures attached for information. It is recommended that the Policy and Procedures come into effect on May 1, 2020 to give the University appropriate time to educate the campus community about the new Policy and Procedures and to put in place the strategies needed to implement the changes.

FOR INFORMATION

2. **Scholarships, Awards, and Prizes**

At its meeting on January 14, 2020, the Property & Finance Committee approved on behalf of the Board of Governors, the Terms of Reference for new scholarships and awards as outlined in [Annex 2](#).

Background:

See [Annex 2](#).

3. **Experiential Learning Innovation Scholars**

At its meeting on January 14, 2020 the Property & Finance Committee approved on behalf of the Board of Governors, that the Experiential Learning Innovation Scholars be established at Western University.

Background:

See [Annex 3](#).

4. **Leenders Purchasing Management Association of Canada Chair: Name Change**

At its meeting on January 14, 2020, the Property & Finance Committee approved on behalf of the Board of Governors, that the Leenders Purchasing Management Association of Canada Chair established in 1993 at the Ivey Business School be renamed the Supply Chain Canada Chair.

Background:

The Chair was originally established in 1993 through an endowed gift from The Purchasing Management Association of Canada. Since then, the company's name has changed and this new name reflects the new name of the company.

Effective Date:

January 1, 2020.

5. **Establishment of the Dancap Private Equity Chair in Human Organization and Discontinuation of the Dancap Private Equity Professorship in Marketing (Consumer Behavior)**

On January 16, 2020 via electronic approval, the Property & Finance Committee approved on behalf of the Board of Governors, that the Dancap Private Equity Professorship in Marketing (Consumer Behavior) in the Faculty of Social Science be discontinued, and that the Dancap Private Equity Chair in Human Organization be established and appointed in the Faculty of Social Science.

Background:

See [Annex 4](#).

6. **Report of the Investment Committee**

The Report of the Investment Committee is provided in [Annex 5](#).

7. **Key Financial Indicators as at April 30, 2019**

A report on Key Financial Indicators as at April 30, 2019 is provided in [Annex 6](#).

8. **Ancillary Financial Report**

The Ancillary Financial Report is provided in [Annex 7](#).

9. **2019-20 Operating Budget Update as at October 31, 2019**

The 2019-20 Operating Budget Update as at October 31, 2019 is provided in [Annex 8](#).

10. **Annual Report on Trademark Licensees doing business with the Western Book Store**

The Annual Report on Trademark Licensees doing business with the Western Book Store provided in [Annex 9](#).

POLICY 1.xx – Pets and Therapy Animals on Campus Policy

Policy Category:	General
Subject:	Pets and Therapy Animals on Campus
Approving Authority:	Board of Governors
Responsible Officers:	Provost & Vice-President (Academic)
Responsible Offices:	Associate Vice-President (Student Experience) and Associate Vice-President (Human Resources)
Related Procedures:	Pets and Therapy Animals on Campus Procedures Service Animals on Campus Procedures
Related University Policies:	Accessibility at Western
Effective Date:	1 May, 2020
Revised:	

A. PURPOSE AND SCOPE

- 1.00 The purpose of this Pets and Therapy Animals on Campus Policy is to regulate the presence of pets and other animals on campus to ensure a safe, non-threatening, and healthy campus for all members of the University community.
- 2.00 This policy applies to all members of the University community and guests who bring one or more animals onto campus. The University community includes employees, students, agents, contractors, volunteers and other individuals who work for or on behalf of the University.
- 3.00 This policy does not apply to animals approved for use in University teaching or research or service animals which are addressed under the Accessibility Policy.
- 4.00 This policy does not apply to animals approved by the Sports and Recreation Department to perform at sporting events.

B. DEFINITIONS

- 1.00 The following definitions shall apply to this policy:
 - (i) **Custodian** means an individual bringing a Pet or Therapy Animal onto campus.
 - (ii) **Pet** means a domestic or tamed animal kept for companionship or pleasure that is not a service animal (as defined in the Accessibility Procedures on Service Animals) or a Therapy Animal.

POLICY 1.xx – Pets and Therapy Animals on Campus Policy

- (iii) **Therapy Animal** means an animal brought on campus by a third party service provider for the purposes of providing comfort, cheer, and companionship.

C. POLICY

- 1.00 A Pet is not permitted in campus buildings.
- 2.00 The Provost & Vice-President (Academic) shall establish procedures identifying the conditions and restrictions for all Pets and Therapy Animals permitted on campus.
- 3.00 In the event of any conflict between (i) this Policy and the procedures established thereunder; and (ii) a Custodian's rights under law, an applicable collective agreement or employment agreement; the latter shall have priority.

PROCEDURE FOR POLICY 1.XX – Procedures for Pets and Therapy Animals on Campus

A. General

- 1.00 In these Procedures, reference to “the Policy” shall mean the Pets and Therapy Animals on Campus Policy.
- 2.00 These procedures apply to any Custodian.

B. General Conditions and Restrictions related to a Pet

- 1.00 Pets are permitted on “animal friendly” areas, defined as all outdoor areas generally accessible to the public.
- 2.00 At all times, a Pet must be:
 - 1. In close proximity to the Custodian,
 - 2. Restrained on a leash (no longer than six feet long), in a cage, or under the physical control of the Custodian; and
 - 3. Licensed and vaccinated as required by law.
- 3.00 If at any time any Pet becomes aggressive or poses a threat to the health and safety of a member of the University or guest, the University may require the removal of the Pet from University property or impose conditions on the Pet’s continued presence.
- 4.00 The Custodian is responsible at all times for all aspects of behaviour and management of the Pet including:
 - (i) Any cleaning and any costs associated with cleaning that may result from the Pet,
 - (ii) Ensuring that feces and urine is cleaned immediately and disposed of in an appropriate receptacle, and
 - (iii) Any excessive noise from the Pet.
- 5.00 Custodians are responsible for any damage their Pet causes to University property or the property of other individuals and for any injuries or illnesses caused by their Pet.

C. General Conditions and Restrictions related to a Therapy Animal

- 1.00 A Therapy Animal may be brought onto campus, including into a building on campus with the advance written approval of:
 - (i) the Vice-President (Academic) or designate; or
 - (ii) the Faculty or Department Head in charge of the building or portion of the building (e.g. Vice-Provost & Chief Librarian in case of a library or the Associate Vice-President - Housing and Ancillary Services in case of a residence).
- 2.00 An approval granted under section 1.00 shall include conditions regarding:
 - (i) the time and duration for which the Therapy Animal may be on campus;
 - (ii) the location or building where the Therapy Animal is permitted to attend; and

PROCEDURE FOR POLICY 1.xx – Animals On Campus

- (iii) a requirement that the Custodian post notice at entrances to the building that a Therapy Animal is present, if applicable.

3.00 At all times, a Therapy Animal must be:

1. In close proximity to the Custodian,
2. Restrained on a leash (no longer than six feet long), in a cage, or under the physical control of the Custodian, and
3. Licensed and vaccinated as required by law.

4.00 The Custodian is responsible at all times for all aspects of behaviour and management of the Therapy Animal including:

- (i) Any cleaning and any costs associated with cleaning that may result from the Therapy Animal,
- (ii) Ensuring that any feces and urine is cleaned immediately and disposed of in an appropriate receptacle, and
- (iii) Any excessive noise from the Therapy Animal.

5.00 Custodians are responsible for any damage their Therapy Animal causes to University property or the property of other individuals and for any injuries or illnesses caused by their Therapy Animal.

D. Responsibilities of University Members

1.00 University supervisors, managers, directors and Faculty administrators are responsible for the enforcement of this procedure and compliance within their work units.

2.00 Faculty members are responsible for the enforcement of this procedure in their classrooms and laboratories.

3.00 Campus Police is responsible for the enforcement of this procedure on all University property and will assist managers, directors and faculty members with the enforcement of this procedure as necessary.

PROCEDURE FOR POLICY 1.XX – Procedures for Service Animals on Campus

A. General

- 1.00 In these Procedures, reference to “the Policy” shall mean the Accessibility Policy.
- 2.00 These procedures apply to all University Members or visitors bringing a Service Animal on to property owned or leased by the University (“University property”).
- 3.00 Student Accessibility Services (SAS) will be the Responsible Office to implement and enforce the procedures for students who require Service Animals on University property. Human Resources (HR) will be the Responsible Office to implement and enforce the procedures for employees or those holding appointments with the University who require Service Animals on University property.

B. Purpose

- 1.00 The purpose of these procedures is to regulate Service Animals on University property and provide conditions that inform their presence and safety.

C. Definitions

- 1.00 The following definitions shall apply to these procedures:
- (i) **Service Animal** means an animal in the service of a person with a disability.
 - (ii) **Custodian** means an individual who, as a result of a disability, requires the assistance of a Service Animal on campus.
 - (iii) **University Member** means any individual who is:
 - Employed by the University;
 - Registered as a student, in accordance with the academic regulations of the University;
 - Holding an appointment with the University, including paid, unpaid and/or honorific appointments; and/or
 - Otherwise subject to University policies by virtue of the requirements of a specific policy (e.g. Booking and Use of University Space) and/or the terms of an agreement or contract.
 - (iv) **Responsible Office** means the functional area designated with the responsibility to validate documentation, and to approve and manage the use of Service Animals on University property by University Members and visitors.

D. Procedures

General

- 1.00 In order to provide an accessible learning and working environment, the University is committed to the development and implementation of procedures that enable the University community to

PROCEDURE FOR POLICY 1.xx – Service Animals On Campus

understand and support the Custodian and their Service Animal while on campus. It is also important that both the Custodian and University Members understand their rights and their responsibilities in this regard.

- 2.00 Subject to the other terms of these procedures, Service Animals will generally have access to all buildings and facilities, including classrooms and laboratories, dining halls and campus eateries, unless such access poses a threat to the health and safety of the Custodian, others or the animal and that threat cannot be eliminated or reduced by reasonable modification to other policies and practices.
- 3.00 Appropriate alternative accommodations will be made to provide the Custodian with access if the Service Animal is not permitted on or in to a particular area.
- 4.00 Where hazardous materials are stored, Service Animals may be denied entrance or conditions may be imposed for the safety of the Service Animal, the Custodian or other University Members. Service Animals are generally not allowed in animal facilities or in laboratories where research animals are handled, in any containment level 2 facility or higher, where radioactive materials (open sources) are used, and/or where high hazard materials (i.e. poisonous chemicals) are used and represent a risk of exposure to the service animal. If a Custodian wishes to enter a laboratory with their Service Animal, they must contact their Responsible Office in advance. The Responsible Office shall contact the lab supervisor and Occupational Health and Safety Office and a Health and Safety Consultant will evaluate each case as it arises to determine the risk to people, animals or research.
- 5.00 Service Animals are working animals and not pets. Service Animals provide assistance to a person with a disability which includes, but is not limited to:
 - Guiding people who are blind or visually impaired,
 - Alerting people who are deaf or hearing impaired,
 - Pulling wheelchairs for those with limited mobility,
 - Alerting and protecting a person who is having a seizure,
 - Performing other specialized tasks (diabetic, medical, severe allergy alert),
 - Reminding a person to take their medication,
 - Providing comfort and reducing symptoms related to their disability in certain situations, and
 - Assisting in calming and grounding a Custodian on the autism spectrum via tactile or deep pressure stimulation.

Process for Service Animal Approval and Notification

- 6.00 In order to bring a Service Animal on University property on an ongoing basis, the University Member is required to submit satisfactory supporting documentation to the appropriate Responsible Office demonstrating their requirement for a Service Animal to assist with their disability, unless the Service Animal can be readily identified as one that is being used by the person for reasons relating to the person's disability such as a guide dog for a person who is blind.
- 7.00 The Responsible Office will validate the submitted documentation and make reasonable efforts to notify University Members who may be affected by the presence of a Service Animal before approval.
- 8.00 The University understands that the presence of certain Service Animals may affect other University Members due to environmental sensitivities, allergies, phobias or other concerns. For this reason, the Custodian will be requested to consent to the notification of individuals who will work with or attend class with a Service Animal, such consent not to be unreasonably withheld. This notification will not contain any confidential information about the nature of the Custodian's

PROCEDURE FOR POLICY 1.xx – Service Animals On Campus

disability. Concerns about the effect of a Service Animal on a University Member must be addressed to the Responsible Office for resolution, not the Custodian directly.

9.00 If a University Member raises concerns about the effect a Service Animal will have, the University Member must provide supporting documentation to the appropriate Responsible Office. The Responsible Office will consider the following principles and obligations when balancing the conflicting interests:

- (i) The legal obligation permitting the use of Service Animals under the AODA,
- (ii) The duty to accommodate under the Human Rights Code as applied to all parties, and
- (iii) That the means for resolving concerns may include creating distance between the Service Animal and the individual with a concern, changes in scheduling or altered cleaning regimens due to the presence of a Service Animal, or other such accommodations appropriate to the circumstances.

Supporting Documentation

10.00 Unless the Service Animal can be readily identified as one that is being used by the person for reasons relating to the person's disability, as a result of visual indicators such as the vest or harness worn by the animal, supporting documentation for a Service Animal may be required by the Responsible Office and must meet all of the following requirements:

- (i) Documentation must be completed by an appropriate member of:
 - the College of Audiologists and Speech-Language Pathologists of Ontario,
 - the College of Chiropractors of Ontario,
 - the College of Nurses of Ontario,
 - the College of Occupational Therapists of Ontario,
 - the College of Optometrists of Ontario,
 - the College of Physicians and Surgeons of Ontario,
 - the College of Physiotherapists of Ontario,
 - the College of Psychologists of Ontario, or
 - the College of Registered Psychotherapists and Registered Mental Health Therapists of Ontario.

Practitioner-specific forms for this purpose are acceptable. Documentation must be dated and include the practitioner's credentials, contact information and signature.

- (ii) The practitioner must confirm that the person requires the animal for reasons relating to the disability.

11.00 Supporting documentation for a concern about the effect of a Service Animal on a University Member will meet the requirements of 9.00 (i). In addition, the practitioner must provide a detailed explanation of the effect of the Service Animal as it relates specifically and rationally to the University Member's condition or disability.

12.00 A Responsible Office shall require documentation that the Service Animal has been vaccinated and is properly licensed as required by Ontario law and/or a city by-law.

Responsibilities of Custodians

13.00 The Custodian is responsible at all times for all aspects of behaviour and management of the Service Animal including:

- (i) Any cleaning and any costs associated with cleaning that may result from the Service Animal,

PROCEDURE FOR POLICY 1.xx – Service Animals On Campus

- (ii) Ensuring that any feces is cleaned immediately and disposed of in an appropriate receptacle, and
- (iii) The Service Animal must not cause excessive noise.

This includes responsibility for the Service Animal on all University property both interior and exterior such as common spaces, walkways, and lawns. Custodians are responsible for any damage their Service Animal causes to University property or the property of other individuals and for any injuries or illnesses caused by their Service Animal.

14.00 At all times, Service Animals must be:

- (i) Healthy and pose no reasonable health risk to the campus community
- (ii) In close proximity to the Custodian, and
- (iii) Restrained on a leash (not more than six feet long), in a cage, or otherwise under the physical control of the Custodian; unless being unrestrained is necessary to perform their tasks or functions.

15.00 If at any time any Service Animal becomes neglected, disruptive, aggressive or poses an unmanageable threat to the health and safety of University Members or visitors, the Responsible Office may require the Custodian to remove the Service Animal from University property or it may impose conditions on the Service Animal's continued presence.

Responsibilities of University Members

16.00 University supervisors, managers, directors and Faculty administrators are responsible for the enforcement of this procedure and compliance within their work units.

17.00 Faculty members are responsible for the enforcement of this procedure in their classrooms and laboratories. Faculty members will consult with SAS if a student is non-compliant with this policy and SAS will determine if the student is permitted to use or continue to use a Service Animal on campus.

18.00 Campus Police is responsible for the enforcement of this procedure on all University property and will assist managers, directors and faculty members with the enforcement of this procedure as necessary.

19.00 HR and SAS are the Responsible Offices for employees and students respectively. The Responsible Office is responsible for:

- Maintaining documentation authorizing Service Animals,
- Providing notification to University Members who may be impacted by the presence of a Service Animal,
- Advising supervisors, managers, directors, Faculty administrators, faculty members and Campus Security and assisting them in ensuring compliance with and enforcement of this procedure.
- Approving the use of Service Animals at the University,
- Assessing and resolving any complaints or issues related to the use of Service Animals on University property, and
- Issuing any identification which identifies the animal as a Service Animal.

New Scholarships and Awards

Indigenous Medical Continuing Scholarship (Schulich School of Medicine & Dentistry)

Awarded annually to an Indigenous student (First Nations, Inuit or Métis) entering first year of the Doctor of Medicine (MD) program based on academic achievement and demonstrated financial need.

Candidates must complete an online financial assistance application form, which is available through Student Center. Once financial need is determined by the Office of the Registrar, a recipient will be selected by the Scholarship and Awards Committee of the Schulich School of Medicine & Dentistry. This scholarship will continue for up to four years provided that the recipient progresses satisfactorily and continues to demonstrate financial need each year. If, for any reason, a student fails to retain the scholarship, a replacement student who meets the criteria and is in the same year will be selected. Only four students can hold this scholarship during any year. This scholarship was established by multiple Donors and Alumni to help ensure that Indigenous students who want to enter Western's Doctor of Medicine (MD) program receive the financial assistance they need.

Value: 1 at \$7,500 continuing for 4 years

Effective Date: 2020-2021 academic year

Walker Surgery Research Day Award (Schulich School of Medicine & Dentistry)

Awarded annually to the postgraduate trainee in a residency program in Surgery at the Schulich School of Medicine & Dentistry, who makes the most outstanding presentation at the Annual Department of Surgery Research Day. The recipient will be selected by the panel of judges presiding on Research Day held each spring/summer. This award was made possible by a generous donation from the Walker Family Foundation, including Dr. Paul Walker (MD '73), the son of the late Dr. John Walker (MD '43).

Value: 1 at \$1,000

Effective Date: 2019-2020 academic year

The Walker Family Foundation was established by the Walker Family in recognition of the caring and loving lives of Dr. John Hutton Walker (MD '43) and his wife Betty Louise Walker (BA '43). The Foundation has supported charity work at Hospitals, Community Outreach Centres, Medical Research, Childhood Health and Education in Kenya, and through Medecins sans Frontieres.

Folan Family Bursary (Engineering or Business)

Awarded annually to either a full-time or part-time undergraduate student, in any year, in the Faculty of Engineering, the Richard Ivey School of Business, or an Engineering and Business dual-degree program, based on demonstrated financial need. Preference will be given to a student registered with Student Accessibility Services who has an identified learning difficulty due to a severe concussion. Online financial assistance applications can be accessed through Student Center and must be submitted by October 31st. The recipient will be selected by the Registrar's Office. This bursary was established with a generous contribution from Carmen Lopez Folan (BA '91) and Christopher Folan.

Value: 1 at \$2,000

Effective Date: 2019-2020 to 2023-2024 academic years inclusive

Experiential Learning Innovation Scholars

Donor and Funding:

Funding for the Experiential Learning Innovation Scholars is available through the President's Strategic Priorities Fund. A total of \$80,000 (expendable) is available to fund the Scholars. Four recipients will be selected to receive \$20,000 each, for a 2-year term.

Effective Date:

January 1, 2020.

Purpose:

The goal of the funding is to support undergraduate and graduate teaching at Western, reflecting Western's commitment to the highest standards and quality of undergraduate and graduate education.

This opportunity is open to current faculty members (full-time and part-time) from any Western Faculty at any stage of their teaching careers (members of the Affiliated University Colleges are not eligible). Teams of faculty members working collaboratively to develop experiential learning opportunities for their program or faculty are encouraged to apply.

Evaluation Criteria:

1. Recognized experiential learning activity: The experiential learning activity needs to fall into one of the categories of curricular experiential learning recognized by Western (see http://experience.uwo.ca/about/principles_and_definitions.html).
2. Involvement of students as partners: The learning experience needs to be developed in partnership with students: the proposal needs to clearly articulate how students are involved as partners in the course/curriculum design and facilitation process.
3. Impact or proposed impact on the quality of the student experience at Western
4. Transferability to other courses/instructors.
5. Sustainability of, and differentiation created for Western by, the innovation; including sustainability beyond the funding period.
6. Clear, realistic timeline for development of the experiential learning opportunity.
7. Clear plan for assessment of the impact of the new experiential learning activity on student competencies/student learning in the program.

Applications must be accompanied by an explanation of how all seven criteria will be met.

A Selection Committee made up of the following individuals will choose the recipients:

- Chair: Vice Provost (Academic Programs) with voting rights
- Director, Centre for Teaching and Learning - or designate
- Director, Careers & Experience (Student Experience) – or designate
- Two faculty members appointed by the Vice Provost (Academic Programs) who have received either a Pleva Award or a 3M Teaching Fellowship
- One undergraduate student with curricular experiential learning experience appointed by the Vice-Provost (Academic Programs)
- One graduate student with curricular experiential learning experience appointed by the Vice-Provost (Academic Programs)

Intellectual Property for learning resources created through the Experiential Learning Innovation Scholars (such as online learning modules) is shared between Western University and the faculty member(s), a

copy of the resources and learning objects will remain at Western in the event that a faculty recipient leaves Western.

Proposals for experiential learning in postgraduate medical education programs for medical residents and fellows are not eligible.

Allowable Expenses:

Recipients may use the funds available to develop experiential learning opportunities through the purchase of release-time; support for undergraduate and graduate student partners; acquisition of technology; development of learning, reflection, and/or assessment resources; community partner recognition; or travel costs for students to reach a field site or partner community, among others. The funds are not intended to support conference travel.

Recipients are encouraged to use 25% of the funds (\$5000) to support the involvement of students as partners in the project.

A portion of the funds should also be used to assess the impact of the proposed experience on student learning/student competencies.

Funding can be used to support the development of a new experiential learning activity or to significantly expand or enhance an already existing experiential learning program at Western.

Term of Scholar: Two years (e.g., July 1, 2020 to June 30, 2022). In future, additional funds may be allocated to this project in order to increase the number of recipients. The Term for Scholars would continue to be two years and additional recipients would be chosen based on the criteria outlined.

Reporting:

Recipients are required to consult with the Experiential Learning Unit (Student Experience Portfolio - Careers & Experience) to ensure that the learning experience they design meets all safety and accessibility standards, and aligns with Western's principles for experiential learning.

The Experiential Learning Unit is available for support with external partnership development as needed.

- Recipients are required to consult with the Centre for Teaching and Learning on the curriculum integration of the new experiential learning activity, as well as assessment of the impact of the new experience on student learning. Recipients may need to complete a Human Research Ethics Review Protocol before collecting data on student learning.
- Scholar recipients will be encouraged to share the results of the impact assessment with the
- University community, through promotion or distribution by the Centre for Teaching and Learning, the Experiential Learning Unit of Student Experience, their Faculty or other appropriate mechanism.
- Successful applicants will receive the funds on the start date of the project. Completion of an
- Endowment/Restricted Fund application is required. Any changes to the proposed budget/spending plan need to be approved by the Chair of the Adjudication committee or his/her designate.
- Recipients will be required to submit:
 1. An interim report after the first year of the project.
 2. A final report outlining the success of the project, impact on student learning, and how the funds were used by September 1 subsequent to the end of the two-year period.
 3. The final report needs to include student testimonials documenting the impact of the experiential learning opportunity on student learning. The format of these is open, and should be selected to best match learning in the course (such as print or video interviews, ePortfolios, quotes, digital storytelling or other media).

Background:

The President's Strategic Priorities Fund was established through a gift from an anonymous donor. Information about the donor was shared with the Provost & Vice-President (Academic) and Vice-President (External).

Reputational Risk:

None.

Establishment of the Dancap Private Equity Chair in Human Organization and Discontinuation of the Dancap Private Equity Professorship in Marketing (Consumer Behavior)

Donor and Funding:

This new Chair is funded through a previously existing endowment that has exceeded the \$3 million threshold for establishment of a Chair. A previous gift from Aubrey Dan was used to establish the Dancap Private Equity Professorship in Consumer Behavior, as approved in September 2009.

No matching funds were utilized in the creation of this Chair or the previous Professorship.

Effective Date:

July 1, 2020

Purpose:

The establishment of this new Chair will enable the Faculty of Social Science and the Department to continue to develop and grow research and teaching expertise in Human Organization.

Appointments and reappointments to the Chair will be conducted in accordance with Policy 2.22 – Funding of Academic Chairs, Professorships and Designated Faculty Fellowships of the University https://www.uwo.ca/univsec/pdf/policies_procedures/section2/mapp222.pdf and will normally be for five years, renewable once.

Criteria:

The holder of this Chair, to be appointed in the Faculty of Social Sciences within the DAN Department of Management & Organizational Studies (DAN Management), shall have a proven research record in the field of Human Organization. People management constitutes one of the core functional areas of management and represents a significant component of the programs within the DAN Management. Human resources has become an increasingly multidisciplinary field of study, drawing insights from the study of corporate governance and finance, and contributing to understanding the relationship between corporate governance, human resources practices and organizational performance. The Chair will provide leadership research in this area of study and help promote and deepen the collaborative basis of research across DAN Management. The holder of the Chair will develop new research agendas, provide mentoring and leadership for early career scholars, and contribute to course design and development.

Allowable Expenses:

Funds available will be used to support salary and benefits of the chair holder or direct research support or some mix thereof.

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

Reporting:

The University, through the Faculty of Social Science, will provide overall stewardship and endowed fund financial reporting to the Donor regarding the activities of the Chair, once appointed.

Background:

The Professorship was funded through a previous donation from Aubrey Dan. The more recent 2017 gift from Aubrey Dan Holdings Inc. established Chairs in Consumer Behavior, Corporate Governance, and Change and Innovation. This new position will now help provide expertise in an additional area of importance.

Reputational Risk:

Low

Report of the Investment Committee

This report outlines the market value of the assets under management and the recent activities of the Investment Committee. In addition, the performance of the Mid-Term Portfolio and Operating & Endowment Fund are provided.

Total Investments:

The following chart summarizes the total market value of investments held at September 30, 2019:

Asset Portfolio	Market Value
Short-Term Portfolio	497.0
Mid-Term Portfolio	161.6
Operating Portfolio:	
Obligations	541.1
Surplus	<u>77.9</u>
Total Operating Portfolio	<u>619.0</u>
Endowment Portfolio	806.0
Total Operating & Endowment Fund	1,425.0
Jarislowsky Fraser Seg. Investment	2.2
Total Investments	2,085.8

Update on Investment Committee Activities:

- The working group on asset mix continues its work on the review of the Operating & Endowment Fund strategic asset allocation with the investment consultant, Mercer. It's anticipated that the working group will have a recommendation for the Committee's consideration at the February meeting.
- The Investment Committee is also working on developing a set of guidelines and strategies to prepare for a market downturn, with the goals of minimizing the impact on the portfolio and re-investing to take advantage of market dislocations.

Mid-Term Portfolio:

Performance

The performance related to the Mid-Term Portfolio at September 30, 2019 is as follows:

Account/Group	Ending Market Value CAD	Ending Weight	Policy Weight	% Rate of Return							Inception to Date	Inception Date
				One Month	Three Months	One Year	Three Years	Five Years	Ten Years			
University of Western Ontario	161,601,181	100.00		0.22	-	-	-	-	-	1.12	08/08/2019	
FTSE 91-Day T-Bills + 300 bps				0.37	-	-	-	-	-	0.65	08/08/2019	
Excess Return				-0.15	-	-	-	-	-	0.46	08/08/2019	

Source: Northern Trust Monthly Financial Reporting

Objectives

The main objective of the Mid-Term Portfolio is to outperform the FTSE 91-Day T-Bill Index by 300 basis points over a 3 to 5 year period.

The portfolio has achieved the objective since its inception, although it does not have three years of history yet.

Operating & Endowment Fund:

Performance

The annualized performance of the Operating & Endowment Fund (the "Fund") was as follows:

Asset Class	1 Year September 2019	5 Year September 2019	Since Inception
Fixed Income	8.8%	4.2%	7.5%
Equities:			
Canadian	4.5	7.1	8.9
US	4.2	11.2	9.9
International	-0.2	6.8	6.6
Private Equity	15.6	19.8	19.0
Real Estate	10.8	8.4	8.7
Infrastructure	5.5	11.2	11.5
Absolute Return	8.4	8.8	8.7
Currency Hedging	-0.5	N/A	0.1
Money Market & Cash	3.8	1.5	1.4
Total Fund Return	4.8%	8.2%	8.5%
Benchmark Return	5.7%	7.1%	8.1%
Total Fund Real Return	2.9%	6.6%	6.7%

Additional Operating & Endowment Fund performance detail can be found in Appendix 1 to this report.

Objectives

The objectives of the Operating & Endowment Fund are as follows:

Real return

One of the Fund objectives is to maintain the purchasing power of the Fund after payout over the long-term. (I.e. to earn an amount after payout, over the rate of inflation, as measured by the Consumer Price Index). Inflation has averaged 1.6% per year for the five year period.

For the five years ending September 30, 2019, the annualized real return was 6.6%.

Value added

A second Fund objective is to earn the return produced by the asset mix policy based on the return of the market indices plus a premium to reflect active portfolio management.

Over the five years ending September 30, 2019, the actual annualized return for the Fund was 8.2% and the return generated by the market indices for the portfolio was 7.1% (benchmark return).

Asset Mix

The table below provides the classification and market value of the assets held in the Operating & Endowment Fund at September 30, 2019:

	Market Value	Target Asset Mix			Actual Asset Mix
		Minimum	Target	Maximum	
Equities					
Canadian	265,766,962	15.0%	20.0%	25.0%	18.7%
US	220,522,116	15.0%	20.0%	25.0%	15.5%
EAFE	289,853,053	15.0%	20.0%	25.0%	20.3%
Private	109,410,554	0.0%	5.0%	10.0%	7.6%
Total Equities	885,552,685	60.0%	65.0%	70.0%	62.1%
Fixed Income					
Core Fixed Income	136,384,502	5.0%	10.0%	30.0%	9.6%
Commercial Mortgages	79,141,828	0.0%	5.0%	10.0%	5.6%
Total Fixed Income	215,526,330	10.0%	15.0%	35.0%	15.2%
Real Assets					
Real Estate	73,564,461	0.0%	5.0%	10.0%	5.2%
Infrastructure	137,801,492	5.0%	10.0%	15.0%	9.6%
Total Real Assets	211,365,953	5.0%	15.0%	20.0%	14.8%
Diversifiers					
Cash & Money Market	65,350,983	0.0%	0.0%	10.0%	4.6%
Absolute Return Strategies, Market Neutral Strategies	44,849,952	0.0%	5.0%	10.0%	3.1%
Total Diversifiers	110,200,935	0.0%	5.0%	15.0%	7.7%
SSgA Dynamic Strategic Hedging	2,318,784				0.2%
Grand Total	1,424,964,687				100.0%

Appendix 1

The tables below provide performance data on the Operating & Endowment Fund at September 30, 2019:

ASSET CLASSES – PERFORMANCE SUMMARY FOR PERIODS ENDING SEPTEMBER 30, 2019

ASSET CLASS & FUND ¹	MARKET VALUE	2019 - Q3	YTD	1 YEAR	3 YEAR	5 YEARS	10 YEARS	Since Inception	Inception Date
Inflation		-0.1%	2.1%	1.9%	1.9%	1.6%	1.7%	1.8%	
Total Fund									
Total Fund	\$1,424,964,687	1.7%	11.8%	4.8%	8.4%	8.2%	9.1%	8.5%	
Total Fund Benchmark		1.4%	12.2%	5.7%	7.8%	7.1%	8.2%	8.1%	
Excess Return		0.3%	-0.4%	-0.9%	0.6%	1.1%	0.9%	0.4%	10/1/1988
Real Total Fund Return		1.8%	9.7%	2.9%	6.5%	6.6%	7.4%	6.7%	

ASSET CLASSES – ROLLING ANNUAL PERFORMANCE SUMMARY FOR PERIODS ENDING SEPTEMBER 30, 2019

ASSET CLASS & FUND	MARKET VALUE	2019	2018	2017	2016	2015
Total Fund						
Total Fund	\$1,424,964,687	4.8%	9.2%	11.2%	9.6%	6.2%
Total Fund Benchmark		5.7%	8.6%	9.1%	9.4%	2.8%
Excess Return		-0.9%	0.6%	2.1%	0.2%	3.4%

Source: Mercer Investment Monitoring Review

Key Financial Indicators as at April 30, 2019

This report summarizes the key financial indicators that are currently being used to report certain elements of the University's financial position to the various committees of the Board of Governors.

The indicators have been broken into four categories:

- Policy Compliance
- Financial Health
- Stewardship & Monitoring
- Performance

All indicators have been summarized on the attached template. The Capital Debt Policy 2.30 provides a brief explanation how each indicator is utilized.

From Document - Role of the Board of Governors: (attached)

Item 1

To provide stewardship and ensure that University actions support University objectives

Item 8

To ensure adequate resources and financial solvency

TYPE OF INDICATOR	FREQUENCY & REPORT	PERFORMANCE MEASURE	TARGET/ MAXIMUM	OUTCOME
POLICY COMPLIANCE Capital Debt Policy 2.30	Semi-Annual Report on Capital Debt (P&F - November, April)	Compliance Ratios: Net Assets-to-Debt Ratio Debt Burden Monitoring Ratios: Debt per FTE Student Debt to Revenues available for repayment Floating rate debt between 0% - 50% of total debt	> 0.5X 5%	Actual at April 30/19: 2.7 2.7%
Ratio on Non-endowed Funds (also an indicator of Financial Health)	Semi-Annual Report on Non-Endowed Funds (P&F - November, June)	Target Ratio of Investments to Obligations	0-50% 1.08	\$ 10,858 33% 0% 2.00
FINANCIAL HEALTH / SUSTAINABILITY				
Credit Rating	Annual	External credit rating - Standard & Poor's	AA Stable	AA Stable: February 2019
Financial Sustainability Metrics				
Net Income/Loss Ratio	SMA - Annual	2017-18 10.5%	2018-19	11.2%
Net Operating Revenues Ratio	SMA - Annual	2017-18 14.7%	2018-19	17.3%
Primary Reserve Ratio (days)	SMA - Annual	2017-18 273	2018-19	306
Interest Burden Ratio	SMA - Annual	2017-18 1.3%	2018-19	1.4%
Viability Ratio	SMA - Annual	2017-18 232.1%	2018-19	278.6%
STEWARDSHIP & MONITORING				
Statutory Financial Statements	Annual (Audit Committee - September)	Approval of Combined Financial Statements Approval of Retirement Income Fund Financial Statements Pension Financial Statements for information	N/A N/A N/A	Unqualified Audit Opinion Unqualified Audit Opinion -
Audit Findings Report	Annual (Audit Committee - September)	External auditors report to the Audit Committee.	N/A	No recommendations/ No audit differences
Operating Reserve	Annual Budget (P&F - April)	Minimum target set by Board	\$7.5M	\$94.5
Deferred Maintenance	Annual Budget (P&F - April)	Comparison annually to 2% target	2.0%	Budget 2.4%
Report on Endowments	Annual (P&F - November)	Endowment Performance and Underwater Endowments Endowment per FTE Rank of Endowment/FTE per CAUBO Investment Survey Rank - Endowments > \$100M per CAUBO Investment Survey	6.3% \$23,673 at 12/31/17 19 8	One year 6.5% \$23,908 at 12/31/18 16 7

TYPE OF INDICATOR	FREQUENCY & REPORT	PERFORMANCE MEASURE	TARGET/ MAXIMUM	OUTCOME
STEWARDSHIP & MONITORING (Continued)				
Report of the Investment Committee	Quarterly (P&F - September, January, March, June)	Performance of the operating and endowment investment portfolio and the recent activities of the Investment Committee		See Appendix 1
Employee Future Benefits	Annual Budget	Reported through the operating budget (based on notes to the Combined Financial Statements)	2018 \$495.3M	\$546.5
PERFORMANCE				
Financial Report (Operating Budgets)	Quarterly (P&F - September, January, March, June)	Performance - Actual versus budget for Operating Budgets Surplus/(Deficit)	\$-20.8M	\$-9.7M
Statutory Financial Statements - Combined	Annual (P&F - September)	Excess of revenues over expenses (expenses over revenues)	2018 \$131.6M	\$148.2M
		Carryforward Reserve	2018 \$186.2M	\$211.9M
		Operating Reserve	\$7.5M	\$94.5
Ancillary Financial Report	Semi-Annual (P&F - January, June)	Budget versus actual revenues and expenses for Student Fee Funded units, Ancillaries, Academic Support Units and Associated Companies Surplus/(Deficit)	\$9.8M	\$15.5M
Fundraising	Semi-Annual Development & Fundraising Committee Property & Finance Committee	Performance against fundraising targets	2017-18 \$65M	\$70.0M
			2018-19 \$65M	\$78.1M

Key Financial Indicators

CAPITAL DEBT POLICY 2.30

The Capital Debt Policy and Capital Debt Guidelines define the responsibilities for the approval of capital debt, guide maximum limits on the amount of capital debt and outline the system of accountability.

Administration reports semi-annually through the Property & Finance Committee to the Board of Governors on:

- Current and projected debt levels
- The amount of current debt that is on a floating rate basis and on a fixed rate basis
- The term of each loan
- The notional amount of non-endowed funds that have been set aside for the purpose of principal and interest repayment
- Compliance with the debt ratios provided in Procedures related to Capital Debt

The semi-annual Report on Capital Debt informs the Property & Finance Committee about the impact that newly approved and proposed projects will have on the level of capital debt and on the debt ratios.

This Policy is also closely monitored by Standard and Poor's as part of their annual credit rating review of the University.

RATIO REPORT ON NON-ENDOWED FUNDS

Administration reports semi-annually on the ratio of total investments to total obligations for non-endowed funds. The total obligations reflect funds that are owed to University accounts and other creditors. The Board target for this ratio is an average of 1.08 over the previous 12 quarters. At April 30, 2019, the ratio of investments to obligations for non-endowed funds was 2.00. When this ratio falls below 1.08, draws from non-endowed funds cease until the target ratio is reached as part of an approved annual budget.

CREDIT RATING (AA)

Standard & Poor's measures financial health using a variety of indicators. The most recent credit rating review was issued February 13, 2019, which reaffirmed Western's AA Stable rating. The rating identified the following rationale for Western's outlook:

- Very strong enterprise profile
- Healthy enrollment and demand profile
- Strong management and governance practices
- Very strong financial profile
- History of strong financial performance
- High levels of available resources
- Moderate debt burden

FINANCIAL SUSTAINABILITY METRICS

As part of its differentiation policy framework and Strategic Mandate Agreement (SMA) approach, the Ministry of Colleges and Universities (MCU) (previously the Ministry of Advanced Education and Skills Development (MAESD)) expressed a desire to develop indicators across several areas, including financial sustainability, as outlined in the SMA template. In spring 2015, the MCU asked the Council of Ontario Universities (COU) to assist in the development of these indicators. A COU working group was struck comprising representatives from COFO, the Council on University Planning and Analysis (CUPA) and the Council of Senior Administrative Officers (CSAO).

On December 2, 2015, Executive Heads provided direction concerning the development and reporting of financial sustainability indicators to the MCU as part of the SMA “report backs.” Executive Heads agreed to five indicators proposed by CSAO, and directed that the scope of the indicators that will be reported to MCU should be expanded beyond the five indicators identified to date to include “forward-looking” indicators.

The approved indicators are based on current, reliable and publicly available information, including from universities’ audited financial statements. These indicators are widely accepted and commonly used among higher education institutions in North America. They are derived from a KPMG model that established benchmarks to assess the financial health of U.S. universities and colleges; they are also the basis for COFO’s Financial Health Indicators.

The five indicators are considered “historical,” as they reflect a specific point in time rather than a prospective outlook.

Financial indicators approved by Executive Heads and accepted by MCU

Note that comparable financial data for universities categorized as “large” has been provided (with identifying information removed). Based on agreement within the sector, this financial information remains strictly confidential and is not to be further distributed.

Net Income/Loss Ratio

The Net Income/Loss Ratio is a financial performance metric that measures the percentage of an institution’s revenues that actually contribute to its net assets. It provides insight into how well an institution is able to manage its expenses. The objective of this ratio is to track trends in institution’s net earnings.

$$\text{Net Income/Loss Ratio} = \frac{\text{Total Revenues less Total Expenses}}{\text{Total Revenues}}$$

Institution	13-14	14-15	15-16	16-17	17-18	18-19
1	8.9%	7.9%	3.0%	11.8%	11.2%	
2	6.2%	6.2%	-1.4%	4.5%	6.4%	
3	7.4%	3.4%	6.3%	5.7%	8.3%	
4	7.5%	10.1%	7.2%	13.0%	13.8%	
5	5.6%	3.2%	3.6%	5.4%	5.0%	
6	0.4%	2.0%	2.2%	3.3%	2.1%	
Western	7.9%	6.6%	4.0%	10.9%	10.5%	11.2%
Average by Group (Large)	6.3%	5.6%	3.6%	7.7%	8.16%	
Sector Average	4.8%	3.5%	2.5%	5.1%	5.4%	

Net Operating Revenues Ratio

The *Net Operating Revenues Ratio* is a financial performance metric that provides an indication of the extent to which institutions are generating positive cash flows over the long run to be financially sustainable. The ratio is calculated as *Cash Flow from Operating Activities* (from the statement of cash flows) over *Total Revenues* (from the statement of operations).

Net Operating Revenues Ratio	=	$\frac{\text{Cash Flow from Operating Activities}}{\text{Total Revenues}}$
------------------------------	---	--

Institution	13-14	14-15	15-16	16-17	17-18	18-19
1	12.5%	14.7%	7.1%	14.5%	13.6%	
2	7.9%	8.6%	6.4%	2.4%	12.2%	
3	11.3%	8.1%	10.9%	9.1%	10.4%	
4	7.9%	12.9%	11.6%	12.8%	14.1%	
5	5.4%	8.3%	5.1%	7.1%	8.9%	
6	4.9%	6.5%	4.1%	4.1%	11.7%	
Western	12.2%	13.3%	9.6%	17.6%	14.7%	17.3%
Average by Group (Large)	8.9%	10.4%	7.8%	9.7%	12.2%	
Sector Average	8.0%	7.5%	6.6%	9.0%	8.3%	

Primary Reserve Ratio

The Primary Reserve Ratio is a measure of financial viability that compares expendable net assets to total expenses and provides an indication of an institution's financial strength and flexibility by determining how many days an institution could function using only its financial resources that can be expended without restrictions. *Expendable Net Assets* include unrestricted surplus (deficit), internally restricted net assets and internally restricted endowments, adjusted for the non-cash component of any employee future benefits.

Primary Reserve Ratio	=	$\frac{\text{Expendable Net Assets}}{\text{Total Expenses}} \times 365 \text{ days}$
-----------------------	---	--

Institution	13-14	14-15	15-16	16-17	17-18	18-19
1	120	130	176	205	207	
2	133	143	115	122	128	
3	85	54	60	57	87	
4	137	160	166	193	228	
5	146	139	141	143	144	
6	96	106	105	117	128	
Western	173	190	205	232	273	306
Average by Group (Large)	127	132	138	153	171	
Sector Average	87	92	94	106	115	

Interest Burden Ratio

The *Interest Burden Ratio* is a measure of debt affordability that compares the level of current debt service with the institution's total expenses. It examines the percentage of total expenses used to cover an institution's cost of servicing its debt. The ratio is calculated as *interest expense* over *total expenses* (adjusted for non-cash depreciation).

Interest Burden Ratio	=	$\frac{\text{Interest Expense}}{\text{Total Expenses - Depreciation}}$
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Institution	13-14	14-15	15-16	16-17	17-18	18-19
1	1.0%	1.0%	1.2%	1.5%	1.5%	
2	1.3%	1.2%	1.2%	1.5%	1.8%	
3	1.8%	1.6%	1.7%	1.5%	1.6%	
4	1.6%	1.6%	1.5%	1.5%	1.4%	
5	0.2%	0.2%	0.1%	0.1%	0.4%	
6	2.1%	2.5%	2.4%	2.6%	2.6%	
Western	1.2%	1.7%	1.3%	1.2%	1.3%	1.4%
Average by Group (Large)	1.3%	1.4%	1.4%	1.4%	1.5%	
Sector Average	2.4%	2.3%	2.3%	2.2%	2.2%	

Viability Ratio

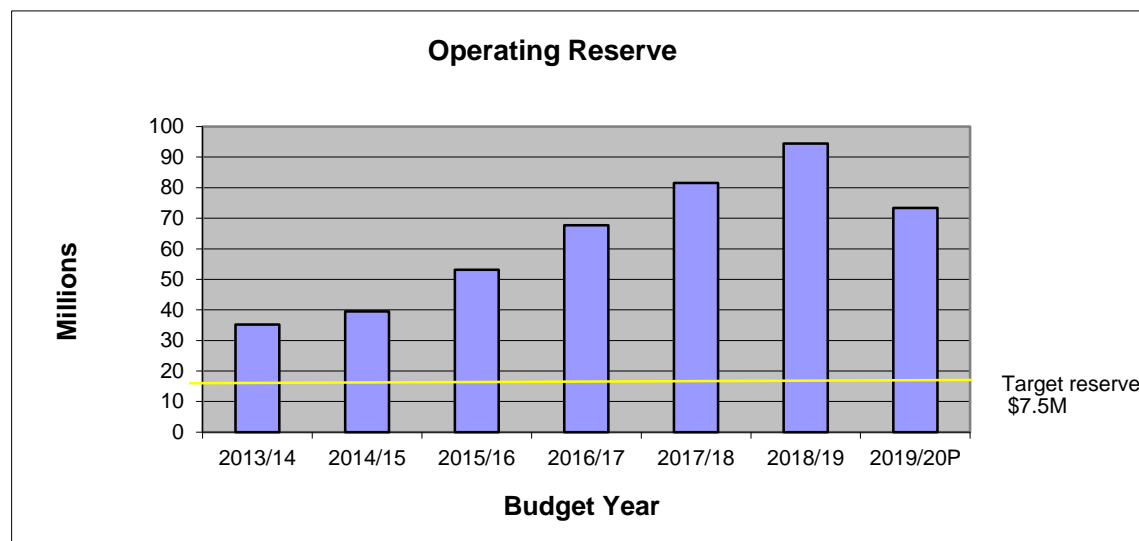
The *Viability Ratio* is a basic determinant of an institution's financial health, as it provides an indication of the funds on hand that can be used should an institution need to settle its long-term obligations. It is calculated as *Expendable Net Assets* over *Long-Term Debt*. *Expendable Net Assets* are defined above under *Primary Reserve Ratio*. *Long-Term Debt* is total external long-term debt as disclosed in the institution's financial statements without adding the current portion that may be included in accounts payable.

Viability Ratio	=	$\frac{\text{Expendable Net Assets}}{\text{Long-Term Debt}}$
-----------------	---	--

Institution	13-14	14-15	15-16	16-17	17-18	18-19
1	198.8%	220.7%	167.0%	202.2%	208.5%	
2	198.5%	219.5%	185.5%	93.5%	98.2%	
3	59.8%	41.1%	48.1%	51.8%	54.9%	
4	129.8%	154.9%	170.7%	206.6%	255.9%	
5	783.3%	873.8%	1281.1%	3518.7%	81908.0%	
6	66.3%	72.1%	73.3%	68.2%	75.2%	
Western	169.6%	194.6%	219.5%	265.6%	232.9%	278.6%
Average by Group (Large)	229.4%	253.8%	306.5%	629.5%	11833.4%	
Sector Average	119.7%	134.2%	154.7%	277.8%	4204.6%	

OPERATING RESERVE

The Board of Governors has set a minimum level for the operating reserve at \$7.5M for the current planning cycle. The 2019/20 operating and capital budgets project the operating reserve to be \$73.4 million as at April 30, 2020.



DEFERRED MAINTENANCE

Deferred maintenance is defined as work on the maintenance of physical facilities that has been deferred on a planned or unplanned basis to a future budget cycle or postponed until funds become available. To avoid increasing the size of the deferred maintenance backlog, it is necessary to carry out replacement of facility components on an annual basis.

As part of the 1995 Strategic Plan, the Board of Governors approved an incremental annual base transfer of \$750,000 from operating to capital in support of maintenance spending for 10 years, from 1996-97 to 2005-06 (the Maintenance, Modernization, and Infrastructure (MMI) transfer). In 2004, Western's Board of Governors approved the recommendation that the base transfer of \$750,000 be continued for another ten years after 2005-06 until 2015-16, when the annual transfer will reach \$15.5 million. This commitment established Western as a leader among Canadian universities in maintaining its facilities and dealing with deferred maintenance.

The MMI transfer, coupled with Facilities Renewal Funds received from MTCU will allow Western to allocate \$52.2 million to maintenance expenditures in 2019-20, representing 2.4% of the Current Replacement Value of our nonresidential buildings, utilities and infrastructure.

Our ability to achieve the 2% target over the long-term is entirely dependent on Facilities Renewal Funds received from government (MCU).

REPORT ON ENDOWMENTS

Annually, a report is provided to the Property & Finance Committee that details the growth of the endowment portfolio and any underwater endowments (current market value of the funds is less than the original donated amount(s)) that exist. The University's policy with respect to management of endowments permits a temporary draw down of endowment capital on the premise that the funds will recover. The market value of endowments at April 30, 2019 was \$803.8 million, an increase of \$57.3 million or about 7.7%.

REPORT OF THE INVESTMENT COMMITTEE

This report is provided quarterly to the Property & Finance Committee and outlines the performance of the operating and endowment investment portfolio and the recent activities of the Investment Committee.

Capital Markets

The performance of Western's portfolio is a reflection of Western's investment policies, the decisions of the Investment Committee within that policy, the implementation of these decisions by staff and the returns that are generated in the capital markets. The table below shows annualized returns as of December 31, 2018:

Annualized returns for periods ending December 31, 2018

	1-Yr	2-Yr	3-Yr	4-Yr	5-Yr	10-Yr
S&P/TSX	-8.89%	-0.30%	6.37%	2.49%	4.06%	7.92%
S&P 500 (in CAD)	4.23%	8.92%	8.64%	11.74%	14.08%	14.27%
MSCI EAFE (in CAD)	-5.55%	5.28%	2.80%	6.73%	6.20%	7.90%
FTSE TMX Bond Universe	1.41%	1.96%	1.86%	2.27%	3.54%	4.16%
FTSE TMX 91-Day T-Bills Index	1.38%	0.97%	0.81%	0.77%	0.80%	0.82%

Despite new gifts received, the negative market returns experienced in 2018, along with the normal allocation for spending, resulted in a decrease in the value of the endowments as at December 31, 2018.

Total Endowments

As of December 31, 2018, Western had endowments of \$726.6 million. Western has the 7th largest Canadian university endowment, which is up one spot from last year. With total assets in the Operating & Endowment Fund of \$1,285 million at the end of 2018, Western is in 5th place when all assets are reported.

The following table compares the 10 largest Canadian university endowments at the end of 2018 and 2017. Over the last five years, Western endowments have grown by 8.6% compounded annually, which puts Western in 7th place among all Canadian universities in terms of endowment growth.

**Ten Largest Canadian University Endowments
As of December 31, 2018**

	University	Endowment Value (millions)		% Change
		2018	2017	
1	Toronto	\$2,475	\$2,537	-2%
2	British Columbia	\$1,676	\$1,826	-8%
3	McGill	\$1,584	\$1,632	-3%
4	Alberta	\$1,570	\$1,376	+14%
5	Queen's	\$1,055	\$1,071	-1%
6	Calgary	\$922	\$947	-3%
7	Western University	\$727	\$736	-1%
8	McMaster	\$722	\$781	-8%
9	Manitoba	\$704	\$719	-2%
10	Dalhousie	\$609	\$618	-1%
		Average change:		-1.5%

The change in the value of endowments is the result of investment returns and new donations to endowments, offset by allocations for spending and administrative costs.

Investment Returns

Starting with the 2015 survey, CAUBO now classifies endowments in four groups, based on asset levels. Western is in the group with the largest asset levels, along with 17 other universities. The threshold to be in that group in 2018 was \$379 million in total assets (including both endowment and operating assets). The table below compares Western returns with those of the universities in the same group. Western's performance was relatively weak in 2018, ranking in the third quartile within the large universities group. Long-term, performance remains at or above median over horizons of two, four, five and ten years. Compared to the entire universe of university endowments, Western's returns are in the first quartile for horizons of two, three, four, five and ten years.

**CAUBO Universe of the Largest University Investment Pools
Annualized Return as of December 31, 2018**

	1-Yr	2-Yr	3-Yr	4-Yr	5-Yr	10-Yr
95 th Percentile	4.5%	7.4%	6.9%	8.0%	8.6%	10.7%
75 th Percentile	1.1%	5.8%	6.5%	6.9%	7.7%	9.4%
Median	-0.8%	4.8%	6.3%	6.5%	7.5%	9.2%
25 th Percentile	-1.5%	3.7%	5.5%	5.4%	6.7%	8.7%
5 th Percentile	-2.5%	3.1%	4.3%	4.6%	5.5%	7.7%
Western	-1.3%	5.0%	6.2%	6.5%	7.5%	9.3%

EMPLOYEE FUTURE BENEFITS

Employee Future Benefits – Obligation and Expense As a Percent of Total Expenditures 2014 through 2019

	<u>Obligation</u>	<u>Expense</u>	<u>Total Expenses</u>	<u>Obligation %</u>	<u>Expense %</u>
	(in millions)	(in millions)	(in millions)		
2019	\$546.5	\$23.4	\$1,170	46.7%	2.0%
2018	\$495.3	\$21.8	\$ 1,122	44.1%	1.9%
2017	\$473.5	\$28.8	\$ 1,113	42.5%	2.6%
2016	\$505.0	\$24.7	\$ 1,107	45.6%	2.2%
2015	\$462.2	\$21.3	\$ 1,084	42.6%	2.0%
2014	\$382.8	\$21.4	\$ 1,067	35.9%	2.0%

FINANCIAL REPORT (OPERATING BUDGETS)

This report is provided to the Property & Finance Committee on a quarterly basis and tracks budget versus actual revenues, expenses and operating reserve.

ANCILLARY FINANCIAL REPORT

This report is provided to the Property & Finance Committee on a semi-annual basis and tracks budget versus actual revenues and expenses for Student Fee Funded units, Ancillaries, Academic Support Units and Associated Companies.

FUNDRAISING

This semi-annual report presented to the Property & Finance Committee outlines pledge data for the current and two previous fiscal years and provides a status report on fundraising initiatives.



**Student Fee-Funded Units, Ancillaries, Academic
Support Units, and Associated Companies
Financial Update**

**2019-20 Approved Budgets and Updated
Projections**
(Mid-Year Update)

January 14, 2020

Western University
Student Fee-Funded Units, Ancillary Units, Academic Support Units, and Associated Companies
2019-20 Budget and Projected (\$ 000)

		2019-20 Budget			2019-20 Projected			% Change		Projected April 30/20 Reserves	
		Revenues	Expenses	Rev-Exp	Revenues	Expenses	Rev-Exp	Revenues	Expenses	Operating	Capital
1	A - Student Fee-Funded Units										
2	SRS: Campus Recreation	6,077.8	6,056.6	21.2	6,049.1	6,043.3	5.8	-0.47%	-0.22%	735.1	928.5
3	SRS: Intercollegiate Athletics	6,834.4	6,830.4	4.0	7,146.5	7,104.7	41.8	4.57%	4.02%	141.2	
4	SRS: Thompson Recreation & Athletic Centre	1,236.3	1,241.3	-5.0	1,236.4	1,230.3	6.1	0.01%	-0.89%	260.1	234.2
5	Financial Aid Office	1,173.3	1,167.9	5.4	1,212.0	1,179.4	32.6	3.30%	0.98%	485.4	
6	International Student Services	485.4	480.7	4.7	485.4	485.4	0.0	0.00%	0.98%	0.3	
7	Indigenous Services	872.5	861.1	11.4	870.9	821.5	49.4	-0.18%	-4.60%	248.5	
8	Services for Students with Disabilities	698.2	694.6	3.6	592.6	582.7	9.9	-15.12%	-16.11%	57.6	74.2
9	Student Development Centre	2,827.4	2,831.4	-4.0	3,011.0	2,917.8	93.2	6.49%	3.05%	429.2	150.0
10	Student Success Centre	1,822.2	1,802.9	19.3	1,876.8	1,777.7	99.1	3.00%	-1.40%	531.9	
11	Student Health Services	4,799.0	4,796.0	3.0	4,319.5	4,234.2	85.3	-9.99%	-11.71%	854.2	575.0
12	Off-Campus Housing & Housing Mediation Svcs	469.6	469.9	-0.3	419.3	456.7	-37.4	-10.71%	-2.81%	117.8	
13	Western Foot Patrol	194.1	192.6	1.5	206.8	206.5	0.3	6.54%	7.22%	39.0	47.0
14	Sub-Total	27,490.2	27,425.4	64.8	27,426.3	27,040.2	386.1	-0.23%	-1.40%	3,900.3	2,008.9
15	B - Ancillary Units										
16	Family Practice Clinic and Workplace Health Svcs	510.5	509.1	1.4	572.4	558.2	14.2	12.13%	9.64%	196.4	
17	Housing Services	80,178.3	77,746.2	2,432.1	82,164.1	71,055.7	11,108.4	2.48%	-8.61%	83,394.1	
18	Parking Services	6,210.9	6,118.1	92.8	6,732.4	5,914.6	817.8	8.40%	-3.33%	6,550.8	
19	Retail Services	32,179.3	32,179.2	0.1	32,195.1	32,259.0	-63.9	0.05%	0.25%	1,385.7	
20	Sub-Total	119,079.0	116,552.6	2,526.4	121,664.0	109,787.5	11,876.5	2.17%	-5.80%	91,527.0	0.0
21	C - Academic Support Units										
22	Animal Care & Veterinary Services	4,761.2	4,749.0	12.2	4,874.1	5,355.8	-481.7	2.37%	12.78%	-23.9	
23	Boundary Layer Wind Tunnel	2,350.0	2,344.5	5.5	2,183.2	2,135.7	47.5	-7.10%	-8.91%	666.4	300.0
24	University Machine Services	2,104.6	2,000.3	104.3	2,116.8	2,094.5	22.3	0.58%	4.71%	374.8	
25	Fraunhofer Project Centre	1,338.5	1,261.2	77.3	1,086.8	1,054.5	32.3	-18.80%	-16.39%	-690.2	110.1
26	Surface Science Western	1,748.0	1,756.8	-8.8	1,722.0	1,723.0	-1.0	-1.49%	-1.92%	302.8	362.7
27	Continuing Studies at Western	2,664.8	2,595.7	69.1	2,612.8	2,551.8	61.0	-1.95%	-1.69%	740.4	
28	Sub-Total	14,967.1	14,707.5	259.6	14,595.7	14,915.3	-319.6	-2.48%	1.41%	1,370.3	772.8
29	D - Associated Companies										
30	Western Research Parks (incl. Windermere Manor, ADEISS & AMP)	8,253.7	8,734.2	-480.5	7,783.2	8,290.6	-507.4	-5.70%	-5.08%	-13,963.5	
31	Ivey Business School Foundation	31,338.0	30,765.0	573.0	33,247.0	32,064.0	1,183.0	6.09%	4.22%	16,448.7	
32	Ivey Business School Asia Limited	4,109.0	4,095.0	14.0	3,830.0	3,829.0	1.0	-6.79%	-6.50%	-1,082.4	
33	Sub-Total	43,700.7	43,594.2	106.5	44,860.2	44,183.6	676.6	2.65%	1.35%	1,402.8	0.0
34	Grand Total	205,237.0	202,279.7	2,957.3	208,546.2	195,926.6	12,619.6	1.61%	-3.14%	98,200.4	2,781.7

Student Fee Funded Units, Ancillaries, Academic Support Units, and Associated Companies

Fiscal 2019-20 Updated Projections (Compared to Fiscal 2019-20 Approved Budgets)

For Information

The attached schedule compares the updated fiscal 2019-20 projected results for Student Fee Funded Units, Ancillaries, Academic Support Units, and Associated Companies to the original approved budget for the same period. This schedule also reports the closing operating and capital reserve balances projected to April 30, 2020.

A brief commentary on major variances is provided as follows: (note: line references refer to the corresponding line from the supporting financial schedule)

Housing Services (line 17):

Approved 2019-20 Budget – 2,432,100 surplus, Updated 2019-20 Projection - \$11,108,400 surplus.

Housing is projected to end the year in a much better position primarily due to a higher occupancy rate in residences, lower utility costs, and reduced major maintenance expenses. The increased residence occupancy was achieved by converting some single rooms to bunked doubles to accommodate a higher intake of first year students. Utility costs are expected to be lower in part because the global adjustment rebate was extended longer than anticipated. Major maintenance expenses are projected to be lower than expected because the cost of some completed projects came in under budget and certain projects were pushed out a year for logistical reasons.

Parking Services (line 18):

Approved 2019-20 Budget –92,800 surplus, Updated 2019-20 Projection - \$817,800 surplus.

The surplus for Parking Services is expected to be higher than planned primarily due to increased monthly permit sales and higher revenue from meters and daily pay lots.

Animal Care and Veterinary Services (line 22):

Approved 2019-20 Budget - \$12,200, Updated 2019-20 Projection - \$481,700 deficit.

A deficit is projected for Animal Care and Veterinary services primarily due to staffing changes required to meet regulatory compliance standards and lower than anticipated Veterinary Technician revenues. The budget structure for Animal Care and Veterinary Services is currently under review.

Western Research Parks (incl. Windermere Manor, ADEISS, & AMP) (line 30):

Approved 2019-20 Budget – \$480,500 deficit, Updated 2019-20 Projection - \$507,400 deficit.

The deficit projected for the Western Research Parks is primarily due to lower hotel accommodation and food & beverage revenue for Windermere Manor and lower product sales for ADEISS. The lower revenue from ADEISS is attributed to delays in obtaining required certifications.

Ivey Business School Foundation (line 31):

Approved 2019-20 Budget - \$573,000 surplus, Updated 2019-20 Projection – \$1,183,000 surplus.

The surplus for the Ivey Business School Foundation is projected to be higher than anticipated primarily due to higher publishing revenues and executive education activities.

2019-20 Operating Budget Update As at October 31, 2019

The attached table provides an update on the University's 2019-20 Operating Budget – based on the best available information as of October 31, 2019 – 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 11)

1. Undergraduate tuition revenue (line 7) is projected to be higher by \$2.7 million – due to an additional 180 students (than initially projected), which is the result of higher acceptance rates at the first-year level as well as higher retention rates in upper years.
2. Graduate tuition revenue (line 8) is projected to be higher by \$4.1 million – due to an additional 100 students. In addition, there has been a significant change in the domestic/international mix, with substantially more international masters students.
3. Revenue in Ivey Programs (line 9) is expected to be higher by \$0.8 million – and is the result of modest enrolment increases in some programs.
4. Tuition revenue deriving from International Medical & Dental Programs (line 10) is projected to be lower by \$3.6 million – due to the continuing impact of political situation with Saudi Arabia. The Schulich School was planning to offset the enrolment reduction with students from other parts of the Middle East – but progress on this has been delayed.
5. The net result is that total operating revenue is projected to be \$4.0 million higher than the original budget (line 11).

Expenditures (lines 12 to 16)

6. Under the Ivey School funding model, tuition from Ivey Programs flows to the Ivey budget. The increase in tuition revenue noted above results in a \$0.8 million addition to the Ivey budget (line 12).
7. Tuition deriving from self-funded International Medical & Dental Programs flows to the Schulich School's budget. Therefore the reduction in tuition revenue noted above results in a \$3.6 million reduction to the Schulich budget (line 13).
8. The University's commitment to provide off-setting funding to Western's student services units impacted by the Student Choice Initiative requires an allocation of \$158,000 (line 14).
9. Funding of \$148,000 has been provided to the Animal Care and Veterinary Services (ACVS) Unit to hire an additional veterinarian – in order to meet compliance requirements (line 15).
10. The net result is that total operating expenditures are projected to be \$2.5 million lower than the original budget (line 16).

Operating Reserve (line 6)

11. As a result of the above changes in revenue and expenditures, the Operating Reserve is projected to be at \$87.0 million – which is \$13.5 million higher than the initial budget.

Western University
2019-20 Operating Budget Update
as at Oct 31, 2019
(\$000)

<a> Summary

		As Approved by Board	Revised Forecast	Increase/Decrease	
				\$	%
1	Revenues 	778,216	782,182	3,966	0.51%
2	Expenditures <c>	792,236	789,733	-2,503	-0.32%
3	Surplus / (Deficit)	-14,020	-7,551	6,469	
4	Operating Reserve -- Beginning of Year	87,442	94,516	7,074	
5	Surplus / (Deficit)	-14,020	-7,551	6,469	
6	Operating Reserve -- End of Year	73,422	86,965	13,543	

** Revenue Changes**

7	Tuition Revenue: Undergraduate			2,655	
8	Tuition Revenue: Graduate			4,120	
9	Tuition Revenue: Ivey Programs			791	
10	Tuition Revenue: International Medical & Dental Students			-3,600	
11	Total Revenue Changes			3,966	

<c> Expense Changes

12	Ivey School: Flowthrough of Tuition Revenue			791	
13	Medicine & Dentistry: International Students			-3,600	
14	Services for Students with Disabilities: Student Opt-out Support			158	
15	Animal Care/ Veterinary Services Subsidy			148	
16	Total Expenditure Changes			-2,503	

Report on Trademark Licensees Doing Business with The Book Store at Western January 2020

The Book Store at Western (BSW) continues to maintain full compliance of the code of conduct for all clothing vendors. In addition, no suppliers of bookstore products have been named in any investigation globally by the industry watchdogs.

The BSW works closely with the National Association of College Stores (NACS) and its network of members across North America to stay aware of potential issues and concerns in the industry. This vigilance is helping advance transparency and promote positive change around the world.

Accelerating Supply Chain Transparency - In December, 2019 a coalition of unions, human rights groups, and labor rights advocates released a joint report stating that clothing and footwear brands and retailers have dramatically increased their disclosure of information about their supply chains in the past three years. In 2016, the coalition created the Transparency Pledge, a minimum standard of supply chain transparency that enables advocates, workers, and consumers to find out where a brand's products are made. The latest 15-page report, "Fashion's Next Trend: Accelerating Supply Chain Transparency in the Garment and Footwear Industry," describes how dozens of brands and retailers are publicly disclosing information about their supplier factories. This has become a widely accepted step toward better identifying and addressing labor abuses in garment supply chains.

Maquila Solidarity Network research tool links brands to companies that own them

MSN has published a new research tool that helps workers, unions, and labour and human rights organizations to link apparel brands to the companies that own them and to determine what leverage points to use to motivate these companies to remediate worker rights violations in their wholly-owned and supplier factories. This story opened the bigger issue of the growing number of internment camps in China where the UN estimates up to one million people are detained and forced to work for little or no wage. This situation has created a need to constantly review the actions of our suppliers and reinforces the need for transparency and a commitment to operate ethically.

Gildan Activewear - In April 2019 Montreal-based clothing manufacturer Gildan Activewear closed two textile and sewing plants in Mexico and a factory in Honduras amid weaker demand for 'imprintable apparel', lower sock sales and higher manufacturing costs. Gildan and the union representing the workers did reach an agreement for compensation and transportation to a new facility in Honduras. The Book Store sells the Gildan brand from one vendor, and at this point Gildan's business decisions are not seen as unethical. We will continue to monitor the situation and ask for updates from our vendor.

We will continue to collaborate with advocacy groups and other universities to keep monitoring this situation as it develops as well as all other industry issues.

In addition, the Book Store at Western has posted its commitment to environmental sustainability located at http://www.bookstore.uwo.ca/promos/WRS_EnvironmentalSustainabilityPolicy.pdf

REPORT OF THE SENIOR POLICY AND OPERATIONS COMMITTEE

Contents	Consent Agenda
Committee Appointment	Yes

FOR INFORMATION

1. **Committee Appointment**

On behalf of the Board of Governors, the following committee appointment was approved by the Senior Policy and Operations Committee, with term as indicated:

- Mary DePaoli to the Fund Raising & Donor Relations Committee effective January 1, 2020 until January 31, 2022 as an additional member of the Committee. A bio for Mary DePaoli is provided in **Annex 1**.



Mary DePaoli
EVP & Chief Marketing Officer, RBC



BIOGRAPHY

Mary DePaoli is Executive Vice President & Chief Marketing Officer. She is responsible for building RBC's brand and reputation globally across its Personal & Commercial Banking, Insurance and Wealth Management businesses through an integrated approach to brand, marketing, sponsorship, social media, communications and corporate citizenship. In addition, Mary serves as Chair of the Board responsible for overseeing the RBC Foundation, one of Canada's largest corporate donors.

Prior to joining RBC, Ms. DePaoli held a series of increasingly senior roles at Sun Life Financial. In 1999, she joined the Group Retirement Services business to lead sales and marketing before being appointed Senior Vice President of the division. In 2007, she was named Senior Vice President of Corporate Brand and Marketing, with responsibility for establishing Sun Life's International Marketing Centre and leading the company's marketing strategies in Canada, the United States and Asia. In 2011, Ms. DePaoli was promoted to Executive Vice President, Public and Corporate Affairs and Chief Marketing Officer.

Throughout her career, Ms. DePaoli has been actively involved in supporting numerous causes including the Hospital for Sick Children Leaders Program and the Canadian Diabetes Association. She currently sits on the Board of WISE (Women in Sports and Events).

In 2012, she was named Marketer of the Year by Strategy magazine, and in 2013, she was distinguished as one of Canada's Top 100 Most Powerful Women by the Women's Executive Network. Mary was also named one of Canada's top 40 under 40 recipients.

Mary DePaoli holds an Honors BA degree from Western University in Ontario, and a post graduate degree in International Journalism from the American University in Washington D.C.

REPORT OF THE GOVERNANCE AND BY-LAWS COMMITTEE

Contents	Consent Agenda
2020 Board Work Plan	Yes

FOR INFORMATION

1. **2020 Board Work Plan**

The 2020 Board Work Plan is provided in **Annex 1**.

2020 BOARD WORK PLAN

January 23rd Meeting

- Audit
 - Ombudsperson Annual Report (information)
 - Corporate Insurance Report (information)
- Property and Finance
 - Quarterly Report Operating Budget (information)
 - Investment Committee Report (information)
 - Key Financial Indicators (information)
 - Annual Report on Trademark Licences (information)
 - Expenditure Report – Capital Projects over \$2.5M (information)
 - Ancillary Financial Report (information)
 - Scholarships, Awards, Prizes (information)
- FRDRC
 - Quarterly Report on Fundraising at October 31, 2019 (information)
 - Naming Opportunities (information/approval)
 - Post Campaign Review (information)
- Governance & By-Laws
 - 2020 Board Work Plan (information)
- SPOC
 - Board Committee Assignments (approval)
 - Annual Report of Student Code of Conduct (information)

April 23rd Meeting

- Audit
 - Campus Community Police Service Annual Report (information)
 - Health, Safety & Wellness Annual Report (information)
- Property and Finance
 - Operating Budget and Capital Budget (approval)
 - Semi-Annual Report on Capital Debt (information)
 - Scholarships, Awards, Prizes (information)
 - Annual Report and Recommendations of the Student Services Committee (approval)
- FRDRC
 - Quarterly Report on Fund Raising at January 31, 2020 (information)
 - Naming Opportunities (information/approval)
 - 2020-21 Fund Raising Goals (approval)
- Governance & By-Laws
 - Amendments to the Presidential Review Protocol (approval)
 - Implementation and ongoing monitoring of the MAPP Policy Review Project (information)
- SPOC

June 25th Meeting

- Audit
 - Internal Audit Annual Report (information)
 - Internal Audit Annual Plan (information)
- Property and Finance
 - Quarterly Report Operating Budget (information)
 - Semi-Annual Ratio Report on Non-Endowed Funds (information)
 - Annual Report – UWO Research Park & Windermere Manor (information)
 - Investment Committee Report (information)
 - Ancillary Financial Report (information)
 - Scholarships, Awards, Prizes (information)
- FRDRC
 - Quarterly Report on Fund Raising at April 30, 2020 (information)
 - Naming Opportunities (information/approval)
- Governance & By-Laws
- SPOC
 - Board Retreat (information)
 - UDAC membership (information)
 - Annual Report on Gender based and Sexual Violence (information)

September 22nd Meeting

- Audit
 - Financial Statement Approval (approval)
 - Financial Statements Related Corporations (information)
 - Western Retirement Plans Report (information)
- Property and Finance
 - Scholarships, Awards, Prizes (information)
- FRDRC
 - Quarterly Report on Fund Raising at July 31, 2020 (information)
 - Naming Opportunities (information/approval)
- Governance & By-Laws
- SPOC
 - Board Retreat (information)

November 21st Meeting

- Audit
 - Harassment and Discrimination Report (information)
- Property and Finance
 - Report on Underwater Endowments (information)
 - Semi-Annual Ratio Report on Non-Endowed Funds (information)
 - Semi-Annual Report on Capital Debt (information)
 - Investment Committee Report (information)
 - Key Financial Indicators (in November or January - information)
 - Scholarships, Awards, Prizes (information)
- Governance & By-Laws
- SPOC
 - Annual Report of Student Code of Conduct (information; timing variable)

REPORT OF THE AUDIT COMMITTEE

Contents	Consent Agenda
Amendments to MAPP Policy 2.5 Retention of Consultants: Audit, Accounting, and Tax Update	No
Western Office of the Ombudsperson Annual Report 2018-2019	Yes

FOR APPROVAL

1. **Amendments to MAPP Policy 2.5 Retention of Consultants: Audit, Accounting, and Tax Update**

Recommended: That the Board of Governors approve the revised MAPP Policy 2.5 Retention of Consultants: Adult, Accounting, and Tax Update, as shown in **Annex 1.**

Background:

The revised policy 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 Procedure for the Policy is provided for information in **Annex 2.**

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.
- Procedures have been updated for approval authorities and thresholds to account for more operational engagements and the frequency of committee meetings. Administration reviewed similar U15 policies with respect to thresholds and approval authorities. Where thresholds exist, the range of authority for Administration's approval was between \$25,000 and \$100,000.

Policy

- Inclusion of definitions and terminology.

Procedure

- Section 4.0 – updates to the approval authorities and thresholds for Non-Audit Services. The proposed thresholds are for the Vice-President (Operations & Finance) to approve services \$50,000 or under; subject to a cumulative limit of \$100,000 per fiscal year; the Chair of the Audit Committee can approve services under \$100,000; and the full Audit Committee must approve services in excess of \$100,000. In all circumstances, the Audit Committee is notified of the approved services at its next meeting. Previously, the Vice-President (Operations & Finance) had approval authority up to \$10,000 and anything above \$10,000 required the approval of the full Audit Committee. The insertion of the Chair's approval limits are a new authority designed to accommodate services required between the committee meeting dates.
- Appendix 1 – the Non-Audit Services Pre-Approved List has been updated for more regularly occurring tax matters that the University engages its external auditor for from time to time.

A copy of the existing MAPP 2.5 is attached as **Annex 3** for comparison purposes.

FOR INFORMATION

2. **Western Office of the Ombudsperson Annual Report 2018-2019**

The Western Office of the Ombudsperson Annual Report 2018-2019 is provided in [Annex 4](#).

POLICY 2.5 - Retention of Consultants: Audit, Accounting and Tax

Policy Category: Financial

Subject: Retention of Consultants: Audit, Accounting and Tax

Approving Authority: Board of Governors

Responsible Officer: Vice-President (Operations & Finance)

Responsible Office: Financial Services

Related Procedures: Procedures Related to Retention of Consultants: Audit, Accounting and Tax

Related University Policies: N/A

Effective Date: January 24, 2020

Revised: September 26, 2006, September 20, 2004

I. PURPOSE

The purpose of the policy is to define the responsibilities and accountabilities associated with the retention of consultants for audit, accounting and tax services.

II. DEFINITIONS

Non-Audit Services: Audit, accounting or tax services that are outside the scope of the annual financial statement audit of the University or its subsidiaries and related entities.

Prohibited Services: Audit, accounting or tax services that cannot be provided by the University's external auditor as they have been determined to be prohibited by the CPA Code of Professional Conduct for the Chartered Professional Accountants of Ontario, as amended from time to time.

External Auditor: The Auditor appointed annually by the Board of Governors for the University and/or Board of Directors of the related entities.

III. POLICY

- 1.0 The University and its subsidiaries and related entities engage External Auditors to audit their annual financial statements. The external audit fee is approved by the Audit Committee on behalf of the Board of Governors and/or Boards of Directors of the subsidiary and related entities.
- 2.0 During the course of the day-to-day business of the University or its subsidiary and related entities, audit, accounting and tax issues may arise requiring the advice of external consultants. The University or its subsidiaries and related entities may engage its External Auditor to perform Non-Audit Services.

POLICY 2.5 – Retention of Consultants: Audit, Accounting and Tax

- 3.0 The University or its subsidiary and/or related entities shall not engage its External Auditor to carry out any Prohibited Service(s).
- 4.0 The Audit Committee will approve a list of Non-Audit Services that are preapproved to commence with the External Auditor. Periodically, the Audit Committee will review the list and preapprove services that are recurring or otherwise reasonably expected to be provided. The preapproved list is located in Appendix 1 of the Procedures related to this policy.
- 5.0 Non-Audit Services falling outside of the preapproved list shall be addressed in accordance with the Procedures related to this policy.
- 6.0 The Audit Committee will be informed annually of the Non-Audit Services for which the University's External Auditor has been actually engaged.

PROCEDURE FOR POLICY 2.5 – Retention of Consultants: Audit, Accounting and Tax

- 1.0 The individual seeking the service (the “requestor”) must first contact the Controller (Financial Services) for advice and/or direction. In the case of subsidiary or related entities, the approval by the entities’ CEO, General Manager or equivalent must accompany the request.
- 2.0 If it is agreed external advice is required and the Non-Audit Service should be performed by the External Auditor, the requestor will be responsible for outlining the nature and scope of the service to be performed, the estimated fee, a statement that the service is not a Prohibited Service and the reason the External Auditor is being engaged.
- 3.0 If the Non-Audit Service required is on the Audit Committee preapproved list then a purchase requisition must be prepared with details as to the estimates and particulars.
- 4.0 If the Non-Audit Service required is not on the Audit Committee preapproved list, the requestor will submit the proposal for service to the Vice-President (Operations & Finance). Depending on the amount of the estimated aggregate fees, the Vice-President (Operations & Finance) will perform the following:
 - 4.1 For Non-Audit Services estimated to be less than or equal to \$50,000 the Vice-President (Operations & Finance) has authority to approve the services, subject to a cumulative limit of \$100,000 per fiscal year. The full Audit Committee will subsequently be informed of the service, at its next meeting. The engagement may commence upon approval by the Vice-President (Operations & Finance). The Vice-President (Operations & Finance) may seek Audit Committee approval to reset the cumulative limit for the fiscal year.
 - 4.2 For Non-Audit Services estimated to be greater than \$50,000 but less than \$100,000 the proposal will be submitted by the Vice-President (Operations & Finance) to the Chair of the Audit Committee for consideration and approval. The full Audit Committee will subsequently be informed of the service, at its next meeting. The engagement may commence upon approval of the Chair of the Audit Committee.
 - 4.3 For Non-Audit Services estimated to be greater than \$100,000 the proposal will be submitted by the Vice-President (Operations & Finance) to the full Audit Committee for consideration and approval, generally at its next meeting or at a special meeting called for the purpose of approving such services. The engagement may commence upon approval of the full Audit Committee.
- 5.0 In the event of either section 4.1 or 4.2 above, the approver may decide to consult the next decision making authority (Chair of the Audit Committee, or full Audit Committee) on a case by case basis, or where required to do so when the cumulative approvals of the Vice-President (Operations & Finance) have reached their established limit.
- 6.0 If the Non-Audit Service is to proceed, the requester must prepare a purchase requisition, with details as to the estimates and particulars. For an extended consultation project, use of a ‘standing’ purchase requisition should be considered. Unless otherwise arranged with the Controller, funding for all Non-Audit Service performed will be the responsibility of the budget unit or related company requiring or benefitting from the service.

PROCEDURE FOR POLICY 2.5 – Retention of Consultants: Audit, Accounting and Tax

Appendix 1

Audit Committee Non-Audit Services Preapproved List

This list contains the services that the University's External Auditors can provide without further approval from the Audit Committee.

Audit-Related:

Audits required by governments, or corporations in connection to funds they have provided to the University. For example, the Federal Family Education Loan Program audit, the Enrolment Report audit, the U.S. Government Grants Single Audit, and audits of funds provided for research, such as the Ontario Research Fund (ORF), and the Capital Space Program (CSP).

Tax Services:

Tax matters, including, but not limited to income tax, employment relationships, sales taxes, commodity taxes, business taxes, real estate taxes, land transfer taxes, issuance of charitable receipts and assessments of the broad-based tax implications for individual transactions.

POLICY 2.5 – Retention of Consultants: Audit, Accounting and Tax

Policy Category: Financial

Effective Date: September 26, 2006

Supersedes: September 30, 2004

POLICY

- 1.00 During the course of the day-to-day business of the University or its subsidiary and related companies, audit, accounting and tax issues may arise requiring the advice of external consultants. Such services are not covered by the external audit fee approved by the Audit Committee on behalf of the Board of Governors and/or Boards of Directors of the subsidiary and related corporations, and no retainer is provided. Before arranging for such services, it is necessary to obtain approval from the Controller for University-related business, and from the CEO, General Manager or equivalent for business relating to subsidiary or related entities.
- 2.00 The University will not engage its external auditor to carry out any Prohibited Service as determined by the Canadian Institute of Chartered Accountants.
- 3.00 The Audit Committee will approve a list of non-audit pre-approved services. The University's external auditors may complete these services. Periodically (e.g. annually), the Audit Committee will update the list of Pre-Approved Services and pre-approve services that are recurring or otherwise reasonably expected to be provided. See [Appendix 1](#) for Pre-approved List.
- 4.00 The Audit Committee will be subsequently informed annually of the services for which the University's external auditor has been actually engaged.
- 5.00 Any additional requests for pre-approval will be addressed on a case-by-case specific engagement basis as described in below.

PROCEDURE

- 6.00 The individual seeking the service ("requestor") must first contact the Controller for advice and/or direction. In the case of subsidiary or related corporations, the approval by the entities' CEO, General Manager or equivalent must accompany the request.
- 7.00 If it is agreed external advice is required and the work should be performed by the external auditor as appointed annually the Board of Governors and/or Board of Directors of the related corporations in accordance with Board policy, the requestor will be responsible for outlining the nature and scope of the service to be performed, the estimated fee, a statement that the service is not a Prohibited Service and the reason the external auditor is being engaged.
- 8.00 If the service required is on the Audit Committee Pre-Approved list then a purchase requisition must be prepared with details as to the estimates and particulars.

POLICY 2.5 – Retention of Consultants: Audit, Accounting and Tax

- 9.00 If the service required is not on the Audit Committee Pre-approved list, the requestor will submit the proposal for service to the Vice-President (Operations & Finance).
- 10.00 For Services where the aggregate fees are estimated to be less than or equal to \$10,000 the proposal will be submitted by the Vice-President (Operations & Finance) to the Chair of the Audit Committee for consideration and approval. The full Audit Committee will subsequently be informed of the service, at its next meeting. The engagement may commence upon approval of the Chair of the Audit Committee.
- 11.00 For services where the aggregate fees are estimated to be greater than \$10,000 the proposal will be submitted by Vice-President (Operations & Finance) to the full Audit Committee for consideration and approval, generally at its next meeting or at a special meeting called for the purpose of approving such services. The engagement may commence upon approval of the full Committee.
- 12.00 If the work is to proceed, the requester must prepare a purchase requisition, with details as to the estimates and particulars. For an extended consultation project, use of a 'standing' purchase requisition should be considered. Unless otherwise arranged with the Controller funding for all work performed will be the responsibility of the budget unit or related corporation requiring or benefitting from the work.

POLICY 2.5 – Retention of Consultants: Audit, Accounting and Tax

Appendix 1

UWO Audit Committee Non-Audit Services B Pre-Approved List

This list contains the services that the University's external auditors can provide without further approval from the Audit Committee.

Audit-Related:

- Audits required by governments in connection to funds they have provided to the University. These would include and be similar to the Ontario Student Assistance Program (OSAP) compliance audits, Access to Opportunities (ATOP) program audit, Federal Family Education Loan Program compliance audit, Enrolment Audit, and funds provided for research, such as ORDCF and Capital Program Audits (CSP's).

Tax Services:

- Advice relating to sales tax B GST and PST.
- Advice relating to tax issues relating to employment relationships.
- Advice relating to the tax issues relating to donations.



Office of the Ombudsperson

Room 3135 Western Student Services Building
Western University
London, Ontario, Canada
N6A 3K7
t. 519-661-3573
ombuds@uwo.ca
westernu.ca/ombuds
@westernuOmbuds

The Office of the Ombudsperson is jointly funded by the University of Western Ontario, the Affiliated University Colleges, the University Students' Council and Student Councils of the Affiliated University Colleges, the Society of Graduate Students, and the MBA Association.



OFFICE
OF THE

OMBUDSPERSON

ANNUAL REPORT

2018/2019

Preparing students to prevent, manage, and resolve difficult situations.

Ombudsperson or Ombudsman is a Swedish word meaning an official who assists individuals and groups in the resolution of conflicts or concerns.

- International Ombudsman Association

The Office of the Ombudsperson's annual report provides information about the concerns brought to the Office, as well as data regarding the number of students who visited, the program they are in, and the program with which they have a concern.

The Memorandum of Agreement between Western and the University Students' Council mandates the annual report. This report marks the 38th year Western's Office of the Ombudsperson has published a report. Reports from the past 10 years are on the Ombuds web site. All others are available by contacting the office.

A SUMMARY OF 2018/2019

The number of students reaching out to Western's Ombuds Office continues to increase. **Between August 1, 2018 and July 31, 2019, 814 students visited the Office regarding 879 concerns. This is an increase of 198 students from the previous year and an increase from 1.8% of student enrolment in 2017/18 to 2.1% in 2018/19.**

Numbers do not tell the whole story; however, they do send some important messages:

- With stiff competition for graduate and professional school admission, undergraduate students are desperate for good grades.
- Some graduate students at Western face a challenging path to their degree.
- Some students struggle to have the "Best Student Experience".
- Universities and Colleges across North America are reporting a decline in resiliency amongst students (Gray, 2015; Hellemans, 2018; Levine and Dean, 2012). In fact, the Canadian Association of College and University Student Services (CACUSS)/Canadian Mental Health Association (CMHA) "Post-Secondary Student Mental Health: Guide to a Systemic Approach" (2013), points to the importance of university programs that build resiliency and coping skills. There are many reasons for declining resiliency amongst University students. For example, psychologists say that this generation of young people have not learned how to accept failure, or experience failure without adult intervention (Gray, 2015).
- Although the Office of the Registrar and Faculties have done a great job ensuring information and processes are accessible online, undergraduate students still have an appetite for in-person meetings. Perhaps in-person meetings make already stressed students feel more in control of a situation. Whatever the reason, student-facing resources at Western are being stretched. For example, offices that may once have had time to discuss the pros and cons of appealing a grade, do not anymore and they are sending students to the Ombuds office. There was a time when sending a student to the Ombudsperson was an exception, or a last resort, but the impact of stretched resources elsewhere at the University is that the Ombuds Office has now become one of the first stops a student makes when they need information and advice on an academic or non-academic concern.

In addition to increasing numbers, cases are becoming more complex. Factors that contribute to case complexity are number of meetings with a student; policies and jurisdictions involved in a single case (e.g. Code of Conduct, Residence contract, and potentially external {court or law enforcement} bodies); and duration of the case. We do not currently have an automated tracking mechanism for case complexity, although we are investigating this for the future.

In the case scenario section of this report I provide examples, including those of students who have come to us requesting retroactive accommodation for courses taken years before; and graduate students whose supervisors are telling them they are unfit for graduate studies. Associate Ombudsperson Anita Pouliot and I pride ourselves on our ability to listen carefully and provide reasoned suggestions even in the most complex of cases, but this takes time and multiple meetings.

I hope you enjoy this snapshot of our activities over the year and encourage you to ask questions about the work of the Office of the Ombudsperson. Our contact information is on the back cover of this report. Anita and I enjoy our work and the contribution we make to the experience of Western's students.



Jennifer Meister,
Ombudsperson, Western University



SCENARIOS

The following scenarios provide a glimpse of the concerns raised to the Office of the Ombudsperson. The Ombuds Office is not an official office of complaint for the University; therefore, when students visit us we listen to their concerns and then guide them through their procedural options. We also speak to students about the conversations they could have with decision makers, and occasionally speak to decision makers when a student is having difficulties representing themselves.

Although staff at most university and college ombuds offices in Canada follow the Standards of Practice laid out by the Association of Canadian University and College Ombudspersons (ACCUO), we do differ when it comes to the content of our annual reports. For example, I do not make recommendations in the annual report. Instead, Anita and I work cooperatively with administrators throughout the year, explaining processes and the key aspects of fairness.

Challenge for Credit

A student took a course twice but withdrew from the course in both instances. Put together, the student had the course work completed except for one component. The student appealed to the department chair, the associate dean, and then to the Senate Review Board Academic (SRBA), to be awarded the credit if they finished the final component. All levels denied the appeal.

This was an opportunity to review Western's policies on Aegrotat Standing and consider implementing a Challenge for Credit policy. The University only grants Aegrotat Standing when a student, because of compassionate or medical reasons, is unable to write the makeup of a final exam within six months of the original exam date. Western does not have a Challenge for Credit policy. Interestingly, some other Canadian universities do, providing students with credit for skills acquired through past professional experiences. All universities that offer them, record Challenge Credits as such or as Pass/Fail and no numerical or letter grade is awarded. The University of Waterloo awards Challenge Credits but a student must take the final exam for the course they are challenging.

Late withdrawal and retroactive accommodation

In last year's annual report, I remarked on increased inquiries from current and former students regarding how to "clean up" their academic record. I provided three scenarios and outlined some of the retroactive withdrawal policies implemented by other North American universities. Through 2018/19 we continued to receive inquiries about late withdrawals and retroactive accommodation.

With the 2016 directive provided by the Ontario Human Rights Commission, decision makers must at least consider retroactive accommodation requests based on mental health. This is empowering students and graduates to request grade adjustments, or at a minimum late withdrawal, for courses in which they could not succeed due to illness.

Western's associate deans (undergraduate) are to be commended for making consistent decisions regarding retroactive withdrawals. One associate dean explained: "In order to be fair to all students, I can only permit a late drop without penalty when there is a strong rationale. In particular, I need to be convinced that the student (i) could not have been reasonably expected to complete the courses and (ii) could not have known that before the drop deadline." Even though this is not formal policy, it is the closest Western has come to establishing standard language around retroactive withdrawals.

As I write this report, Western's revised Policy and Procedures on Academic Accommodation for Students with Disabilities have just come into effect. The new documents do not reference the need for decision makers to consider retroactive accommodation or a procedure for requesting retroactive accommodation. As well, the directive from the Ontario Human Rights Commission states that information to support accommodation, especially information pertaining to mental health, should be received and maintained centrally. Of course, this is in place for current students, but if a former student requests retroactive accommodation, or if a student in an upper year requests accommodation for a grade in a previous year with documentation addressing that, the documentation goes to the associate dean. Addressing the various aspects of retroactive accommodation in the policy and procedures would make it more transparent to students and alumni how the decision is being made.

Following are some of the cases that came to the Office of the Ombudsperson in 2018/19 regarding late withdrawal and retroactive accommodation:

Scenario #1) A student transferred to Western at the beginning of second year. Their first-year (transferred) grades, from the previous institution, were good, as were their Western third-year grades; however, their Western second-year grades were poor, and the student wanted to appeal because they were ill at the time of their second-year exams and unable to do well. The student had received 50s and 60s in those courses. Their poor second-year grades were keeping them from the standard required for a top law school. We pointed out that it is not the University's practice to revisit grades unless there is a documented disability that supports it, but we do not keep students from appealing. The student appealed and their appeal was denied.

Scenario #2) A student had many mental health challenges during the second term of 2017/2018. The student had been hospitalized many times and at the end of term was not able to access communication devices such as a phone

DID YOU KNOW?

**1 OUT OF
EVERY
48**

Western students
contacted us in 2018/19



In Ontario, **15 colleges
and universities** have
Ombuds Offices

**50%
FUNDING**

for Western's Office of the
Ombudsperson comes from
the **University** and 50% from
a **mandatory student fee**

The University provides
office space at no cost

or computer. In other words, the student could not inform the University that they would be unable to write their exams. The student failed their second term courses. The student was sent to the Office of the Ombudsperson by their Faculty. We explained how the student could appeal and then reviewed the draft of their appeal letter. The appeal was granted, and the grades were changed from failures to withdrawals.

Scenario #3) A student had 6.0 failed courses on their record, the maximum allowed. One reason for so many failures was that the student had two in progress notifications (IPR) on their record that had turned to failures. These were courses the student was not able to complete because of extenuating circumstances (poor mental health). The student wanted to appeal to have the IPRs changed to WDNs instead of Fs. With documentation, the Faculty granted the student's appeal and they were able to continue.

Scenario #4) A support service sent a student to us for advice. The student had been having a difficult time at Western with mixed academic results and wanted to appeal for withdrawals from all courses so they could get a fresh start. We were not confident the student had grounds for appeal or that the Associate Dean would grant the appeal; regardless, we worked with the student over a few weeks to assist them in making their appeal as strong as possible. We asked questions pertaining to the chronology of events, trying to determine why some courses had been impacted more than others. The Associate Dean denied the appeal, but this is a good example of a situation in which a written policy may have helped the student realize what the practice is around transcript changes.

Scenario #5) Similar to the situation above, a student wanted their courses expunged from their record. The student hadn't done as well as expected and was unhappy with their decision to come to Western. We explained the student would need to have documentation to support their request. We do not believe the student appealed.

The sometimes-challenging road to a graduate degree

Leaders at Western's School of Graduate and Postgraduate Studies know that students sometimes struggle to earn their degree, and SGPS has developed programs and guidelines to help. Even with this, we still hear upsetting stories from students who are not being supported by their supervisors, are scared of the repercussions if they report poor treatment by a supervisor and are not receiving the quality of education Western promises.

Following are examples of concerns that graduate students brought to the Office of the Ombudsperson between August 1, 2018 and July 31, 2019.

Scenario #1) A Master's student took three weeks off from

their program to care for an ill relative. The student spoke to the supervisor about the situation and the supervisor seemed supportive of the student being away; however, when the student returned the supervisor said they would not pay the student for the three weeks they missed. We explained to the student that Western allows graduate students to take at least two weeks of vacation per year at a time that is suitable to the student and supervisor. We also said the student could have applied for a leave of absence. The supervisor may not have known or understood the policies, but it is the supervisor's role to know the policies. We referred the student to the Associate Dean of Graduate Studies. The Associate Dean followed up on the situation, and the student was not deducted any pay for being away.

Scenario #2) A Master's student was struggling in a course. When they went to the professor for help, the professor told them: "Some students are just meant to fail". The student explained they felt they got the correct answer by guessing, not by understanding. The professor said they did not care what process the student followed as long as the answer was correct. This type of instruction is not restricted to graduate students, but I would argue it is a bad example to set for someone who may be heading toward academia as a career.

Scenario #3) A recent doctoral graduate came to the Office of the Ombudsperson with concerns about how their former supervisor was treating them now they had graduated. They had three papers under review at various publications based on the research completed during their doctorate. Each journal had sent procedural emails to the supervisor, but the supervisor was not replying. The student reminded the supervisor to reply but nothing was happening. Later in this section, I will refer to the expectations and requirements for supervisors that SGPS has introduced. These expectations address treatment when the student is at Western, but perhaps they need to extend to the role the supervisor plays in an individual's early career.

Scenario #4) A doctoral student was concerned with some of the language a supervisor used in lab meetings. The student said this was a general concern in the lab. The graduate chair was also concerned with the accounts they had heard of the supervisor's language and wanted to speak to the supervisor; however, the students were scared of the repercussions if the graduate chair spoke to the supervisor. I explained to the student that there is a right way to approach this conversation and suggested a small group of the students set up a meeting with the supervisor to discuss how the students were receiving the supervisor's words. I also said the graduate chair would most likely have a similar approach with the supervisor. I explained no graduate chair would be heavy-handed in their approach with a supervisor. SGPS has introduced the Own Your Future program, including conflict management and communication workshops, which help to provide doctorate students with the tools to have these types of difficult conversations with supervisors.

Scenario #5) Another support service on campus referred an international doctorate student to the Office. The student was clearly suffering. They had dark circles under their eyes and patches where their hair had fallen out. The student was working at an off-campus lab where their supervisor was yelling at them and saying they were not working hard enough. The student went on a one-term medical leave, and SGPS and the program ensured the student got a new supervisor.

There are two unrelated issues with this case:

- First, the University solved this student's problem, but if the supervisor remains, future students may experience the same treatment. As well, the supervisor has not had an opportunity to learn about how their behavior affects others. Later in this section I discuss new mechanisms SGPS has put in place to ensure supervisors are fulfilling their requirements.
- Second, the student supplied their documentation for medical leave to their program office. Graduate students often do this. To ensure confidentiality, documentation is supposed to go to the School of Graduate and Postdoctoral Studies. This is something that is not clear to graduate chairs or coordinators, let alone students.

Scenario #6) A support service on campus referred a sixth-year doctoral student to us. The student was not getting any feedback from their supervisor and said they were leaving at the end of the year with or without their PhD. We sent the student to their graduate chair to discuss the issue. The graduate chair ended up speaking to the supervisor who eventually reviewed the chapters the student had submitted, but problems arose a second time. The graduate chair signed off on the student's thesis because the supervisor was being unresponsive.

Scenario #7) A student needed to have a difficult conversation with their supervisor because they were concerned with how the supervisor was treating them. We reviewed how the student could state some of his concerns. This is an example of how things should develop! As mentioned previously, SGPS has developed the Own Your Future program in part to give students these types of tools.

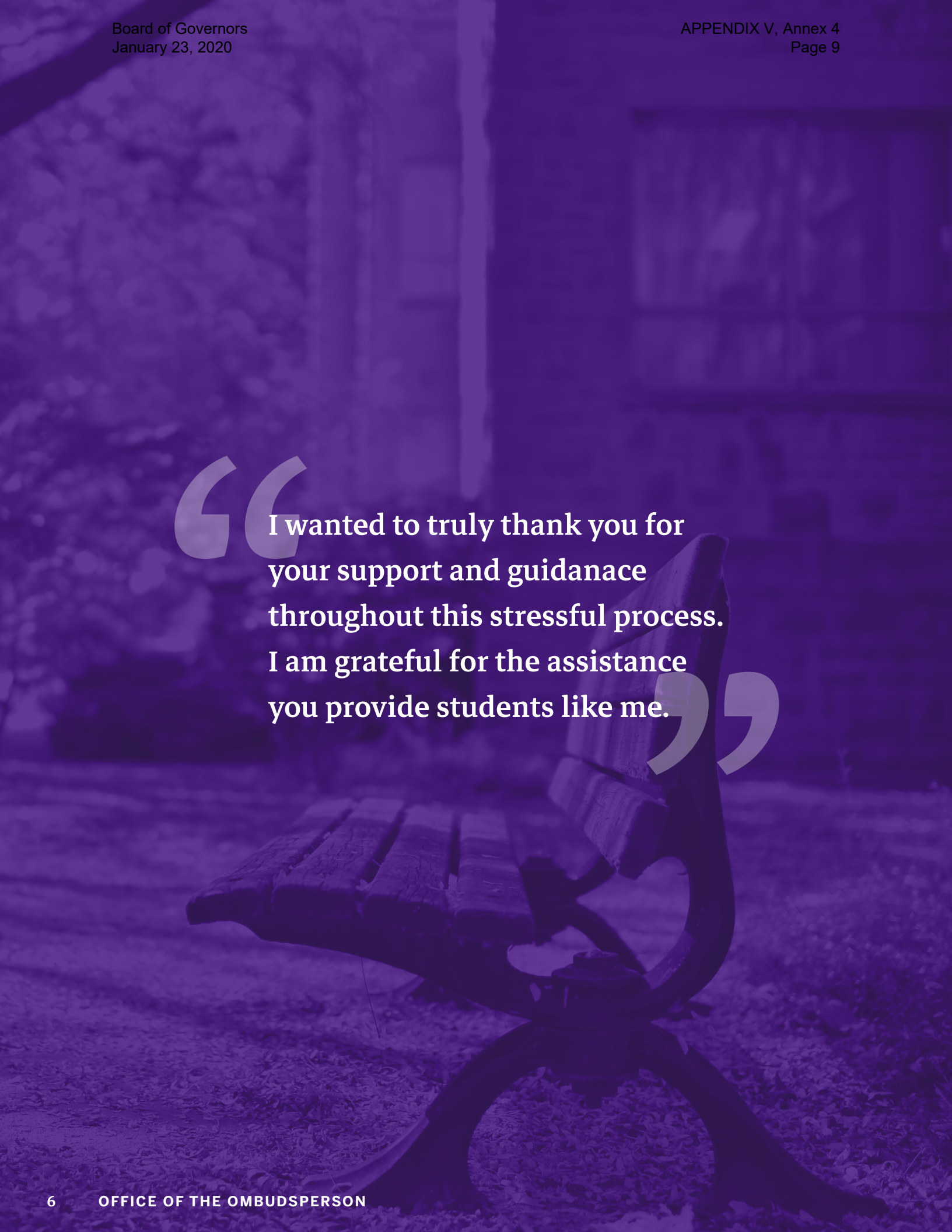
Scenario #8) During 2018/19, three doctoral students came to the Ombuds Office because they had been "fired" by their supervisors. Students can only be withdrawn by their program's graduate chair, and only if they have failed to progress or have failed a major milestone. Progression issues should not be a surprise to the student. The supervisor(s) outline the concerns in the student's annual progress report. Luckily, in the cases of the three students who came to the Ombuds Office, the Associate Deans and SGPS moved quickly to intervene and find new supervisors for the students.

Graduate student issues are a topic at every Ombuds conference; however, Western is putting a lot of effort into ensuring graduate students have the best possible experience. At the faculty level, graduate education committees are discussing how they can encourage supervisors to move their students along in a supportive manner. Student Experience has recently hired a Manager of Graduate Student Life who, along with SGPS and the Society of Graduate Students, will work to ensure students have the best experience possible and take their wellness seriously.

The Graduate Education Council of SGPS has introduced two documents -- Expectations and Requirements of Supervisors, and Expectations and Requirements of Graduate Students in Thesis-Based Programs. The annual progress report has always been the tool by which supervisors can flag when a student is having trouble; however, SGPS has recently introduced a mechanism for students to make a formal complaint to SGPS for investigation regarding supervisors that they feel are not meeting the expectations laid out. In cases where student complaints are found to be substantiated, SGPS will work with Faculty Relations to determine appropriate actions. This will not remove the power imbalance between students and supervisors, but it sends a clear message that Western takes the supervision of graduate students seriously.



SGPS has developed Own Your Future with the goal of giving doctoral students the tools they need to succeed at Western and beyond. Own Your Future workshops help students learn valuable skills in conflict resolution, communicating among cultures, and becoming a leader. Staff of the Ombuds Office delivers four of these workshops: Don't let conflict get in your way; Why can't you be like me? Communicating when personalities clash; When coworkers conflict; and Now What? Conflict in the workplace.



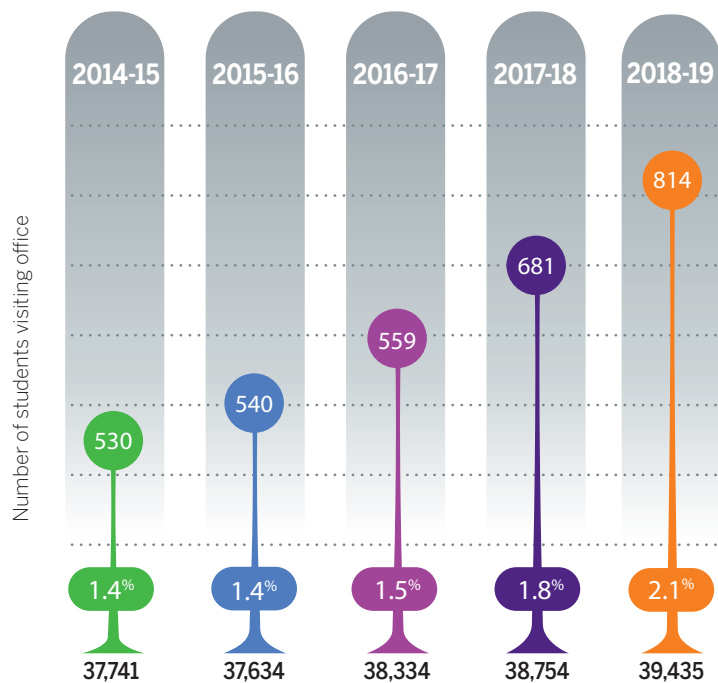
I wanted to truly thank you for
your support and guidance
throughout this stressful process.
I am grateful for the assistance
you provide students like me.

VISITOR OVERVIEW

Following is a numerical overview of who has visited the Office of the Ombudsperson in the past year.

Visitors over time

(Note: Some students come to the Office of the Ombuds for more than one concern. The number of concerns brought to the office was higher.)



*Enrolment numbers are taken from Western's Institutional Planning and Budgeting Five-Year Enrolment Comparison location on line at <https://www.ipb.uwo.ca/facts.php>.

DEGREE LEVEL OF STUDENT VISITORS

85%
Undergraduate

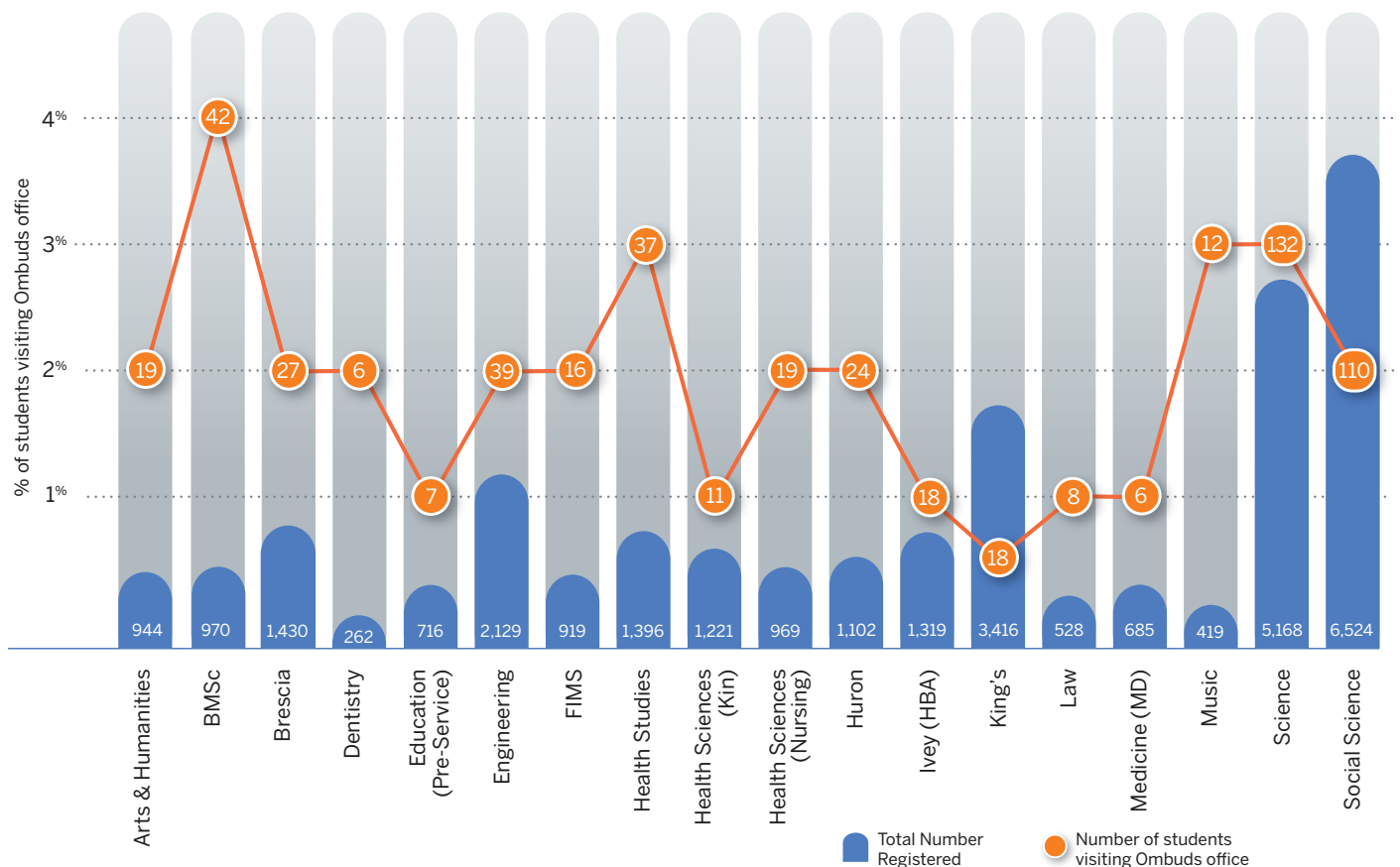
8%
Master's

7%
Doctoral

UNDERGRADUATE STUDENT VISITORS

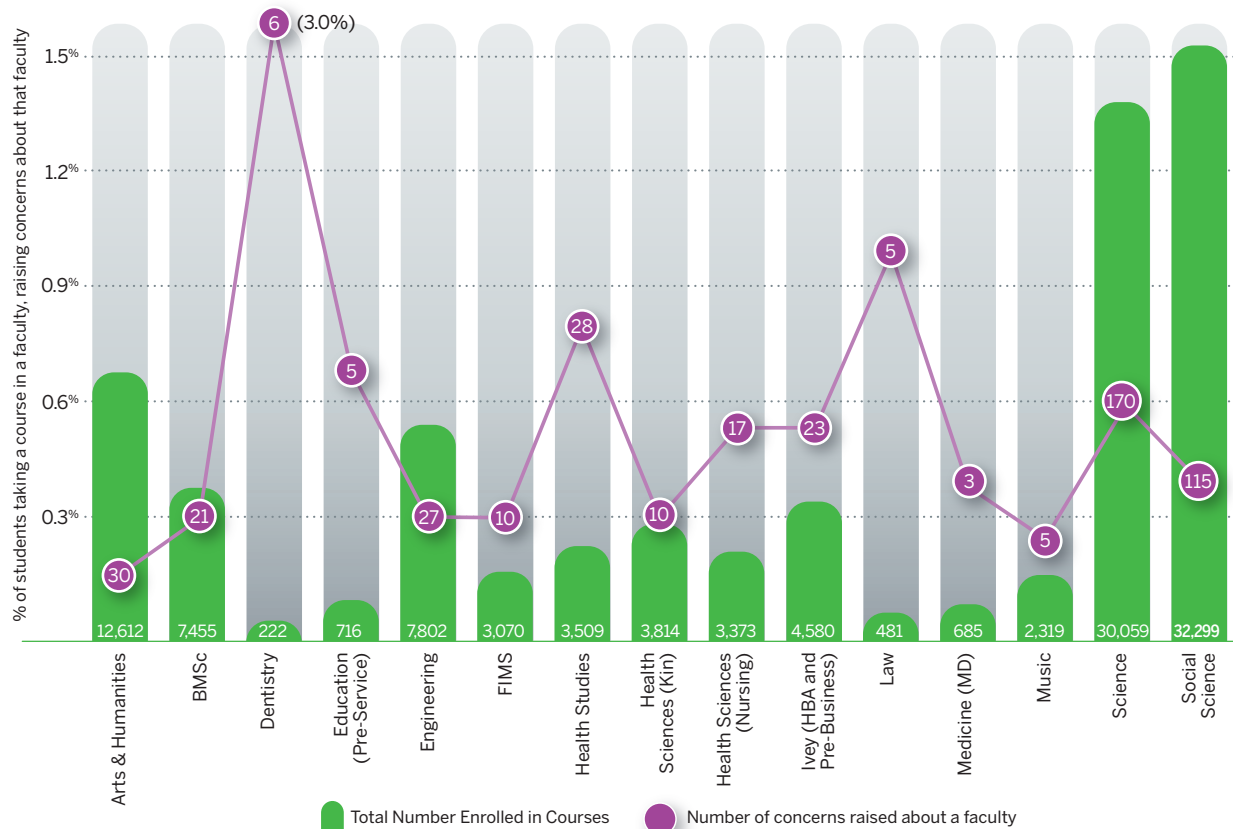
Undergraduate student visits by home faculty

The following graph illustrates the home faculty of undergraduate students visiting the Office. (Note: not all students tell us their program so they are not included below, but are included in the overall count of student visitors earlier in this report.)



Undergraduate students by faculty of concern

The following chart illustrates visitors who have concerns about courses in other than their home faculty.



*Brescia (25 concerns), Huron (16 concerns), and King's (30 concerns) are not included in this graph because the teaching activity at the colleges is not publicly available.

Undergraduate concern break down – academic and financial

The following chart illustrates the academic and financial concerns raised by undergraduate students who visited the Office of the Ombudsperson.

608 undergraduate concerns raised dealt with academic and/or financial concerns.

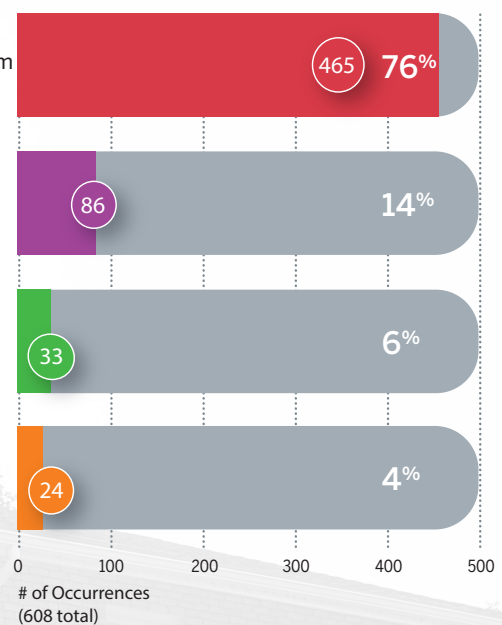
Category of concern

General academic related (inc. grade issues, program requirements, and course management)

Administrative procedures (required to withdraw, admission, late withdrawal, registration, add/drop deadlines, readmission)

Scholastic Offences

Financial (fees, scholarships, financial aid)



GRADUATE STUDENT VISITORS

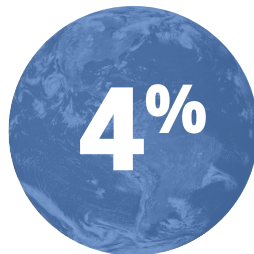
Although graduate students register in the School of Graduate and Postdoctoral Studies, when they visit the Office of the Ombudsperson we record the faculty hosting their program.

Graduate concerns – academic and financial

(90 concerns raised by graduate students dealt with academic or financial concerns.)



Financial (including
financial aid and funding)



Admissions



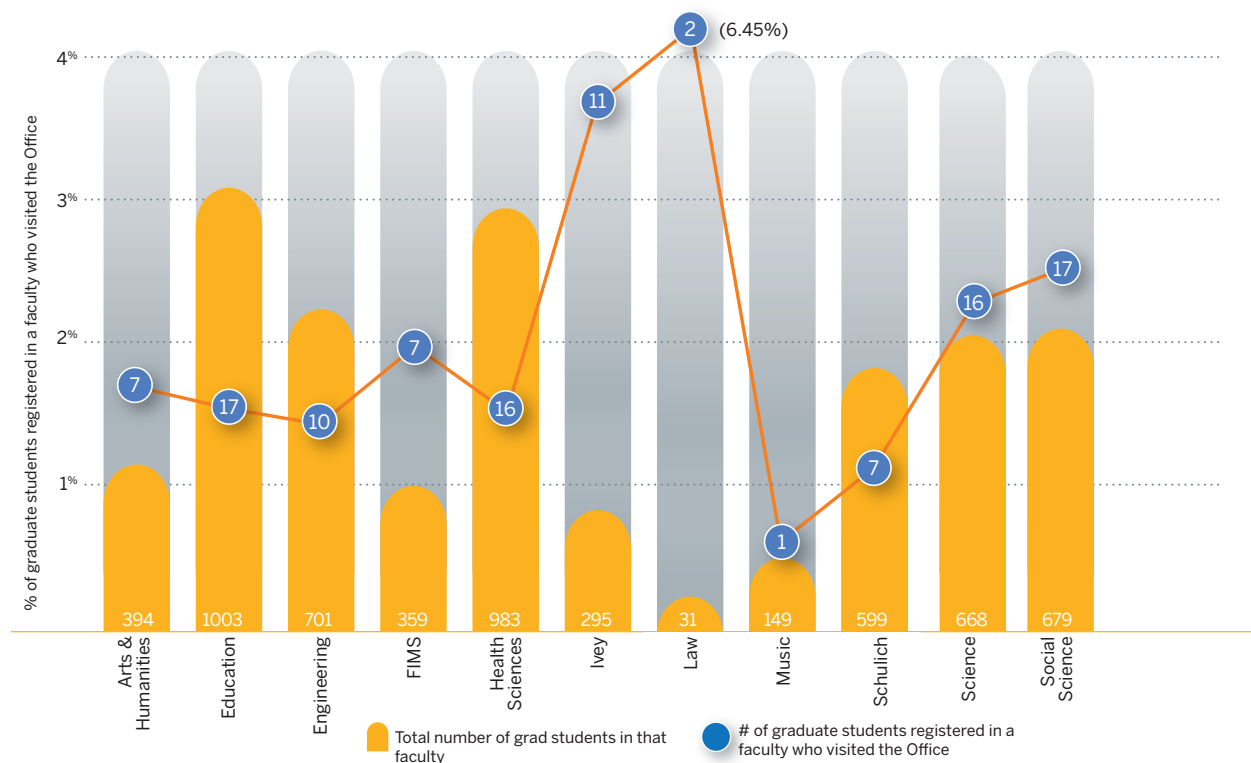
Academic (including
grades, progression and
supervision)



Scholastic Offence

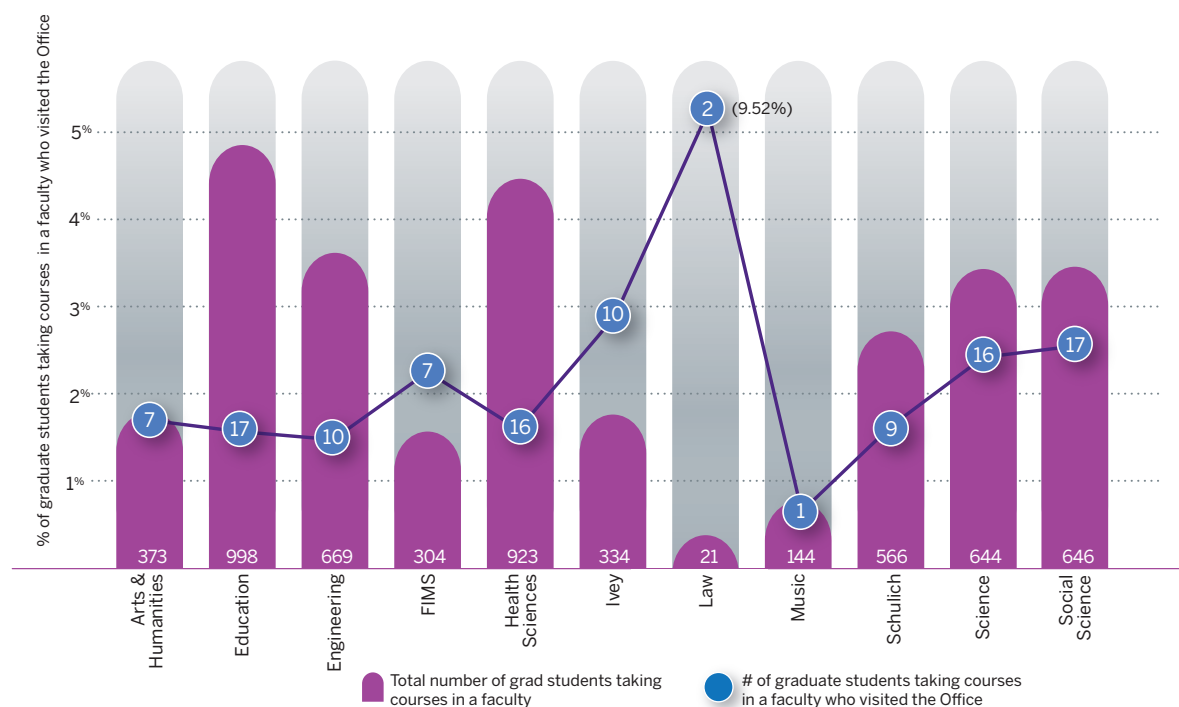
Concerns per student's host faculty

The following graph illustrates the host faculty of graduate students visiting the Office. (Note: Not all students tell us their program so they are not identified below but are identified in the overall count of student visitors earlier in this report.)



Concerns per course faculty

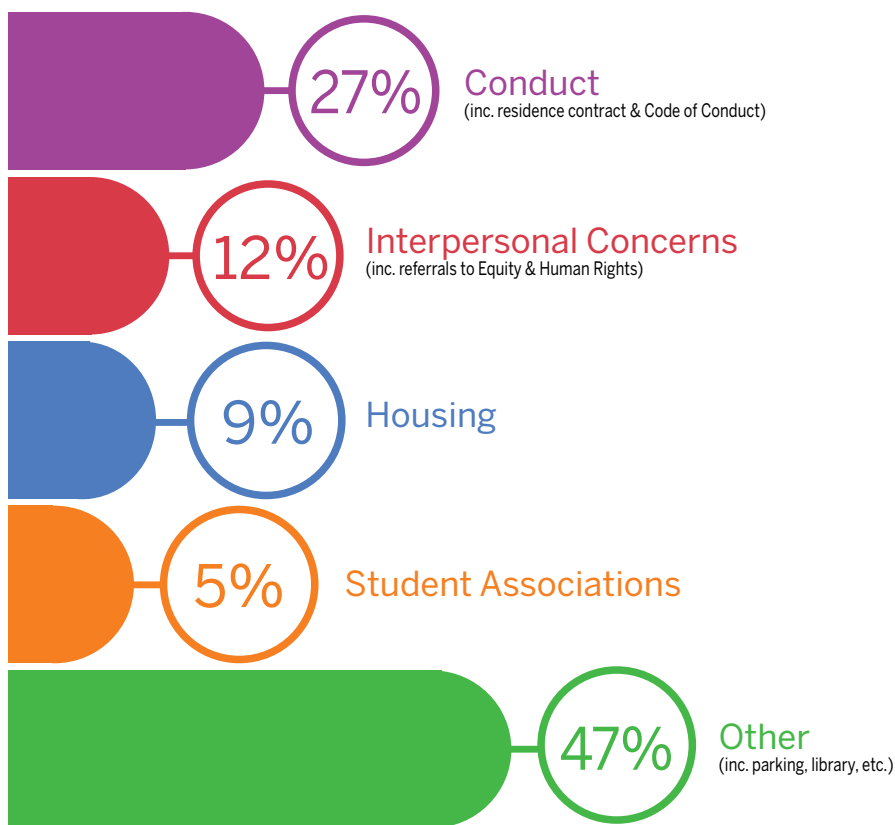
The following chart illustrates graduate visitors who have concerns about courses in a faculty other than their host faculty.



UNDERGRADUATE AND GRADUATE NON-ACADEMIC CONCERNS

The Office of the Ombudsperson also guides students through non-academic concerns, including Code of Conduct violations, residence and residence conduct issues, and concerns related to parking on campus. The Office of the Ombudsperson is not an official office of complaint for the University but does act as an effective listener when a student wants to be heard.

As a % of total non-academic and financial occurrences (123)

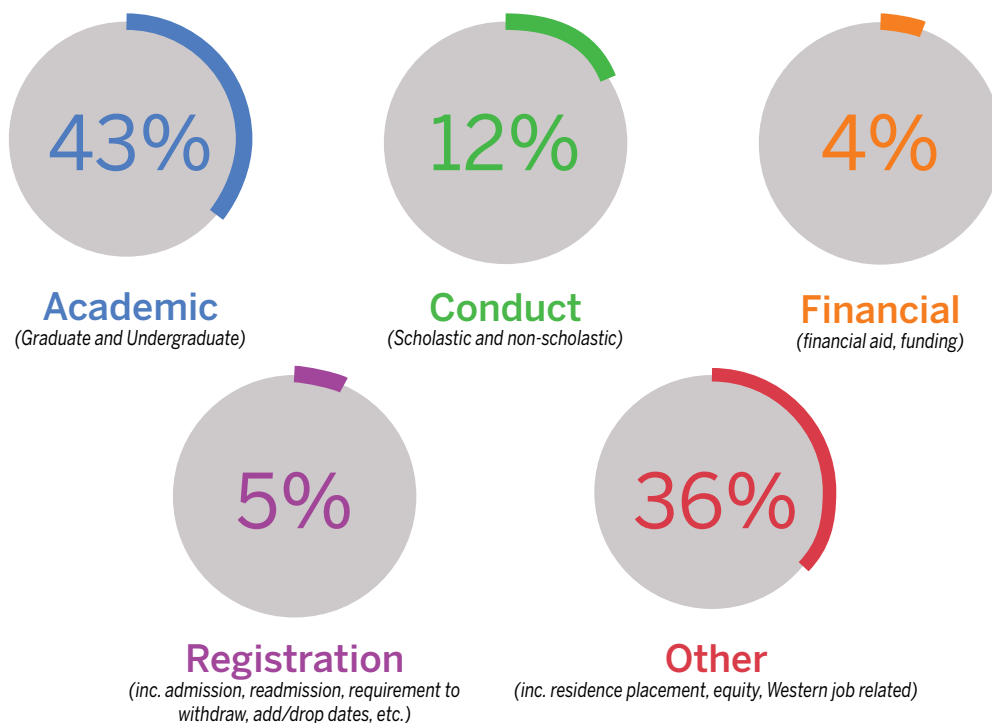


NON-STUDENT DATA

Working with administrators, alleviating parent concerns, and responding to inquiries from the public is another important role we play on campus. We enjoy talking through options with administrators before they relay a decision to a student, and are always happy to tell a parent what a policy states and why a rule is in place. We do not discuss case specifics with parents unless we have the student's written permission.

In 2018/19 we heard from 82 administrators, staff, family members of students, and members of the public.

As a % of total non-academic occurrences (82)



Parliamentary Ombudsman of Malta. (2014, Feb 18). What does the word Ombudsman mean? Retrieved from <https://www.ombudsman.org.mt/what-does-the-word-ombudsman-mean-2/>

Western University. (2017, September). Report on the survey of graduating students: 2016-17. Retrieved from https://www.ipb.uwo.ca/documents/2016-17_Survey_of_Graduating_Students.pdf

GETTING THE WORD OUT

Ombudsperson Jennifer Meister and Associate Ombudsperson Anita Pouliot enjoy talking to students and decision makers about how they can guide students through their concerns. Following are the events we have been at in 2018/19:

Outreach

SGGS Amazing Race, stop on the race

SGPS Fall Orientation, booth

SGPS graduate student orientation, booth

Graduate Wellness Week, panel participant and booth

SGGS International Student Orientation, booth

Workshop on Difficult Conversations, delivered to postdoctoral students

Welcome to Your Grad Club SGGS Orientation event, booth

Conference Participation/Attendance

Association of Canadian College and University Ombudspersons mid-year meeting, presentation

Association of Canadian College and University Ombudspersons/Forum of Canadian Ombudsman biennial conference

WHO WE ARE

Staff

The Ombudsperson and Associate Ombudsperson are the face of the Ombuds office, meeting with students and administrators to promote fairness at Western.



Jennifer Meister
Ombudsperson



Anita Pouliot
Associate Ombudsperson

ADVISORY COMMITTEE

Thank you to the members of the 2018/19
Office of the Ombudsperson Advisory Committee:

Dr Angela Mandich, Senate Representative

Dr Ken Meadows, President's Representative

Mr Danny Chang, University Students' Council Vice President

Ms Mary-Blake Bonn, Society of Graduate Students President

Dr John Mitchell, Affiliate College faculty representative (Brescia University College)

Ms Hadia Fiaz, Affiliate College student representative (King's University College)

References

CACUSS/Canadian Mental Health Association (2013). Post-Secondary Student Mental Health: Guide to a Systemic Approach. Toronto, ON. Author

Gray (2015, January 29). Declining Student Resilience: A Serious Problem for Colleges. Retrieved from <https://www.psychologytoday.com/ca/blog/freedom-learn/201509/declining-student-resilience-serious-problem-colleges>.

Hellemans (2018, January 29). Blog: Fostering resilience among university students. Retrieved from <https://carleton.ca/teachinglearning/2018/blog-fostering-resilience-among-university-students/>.

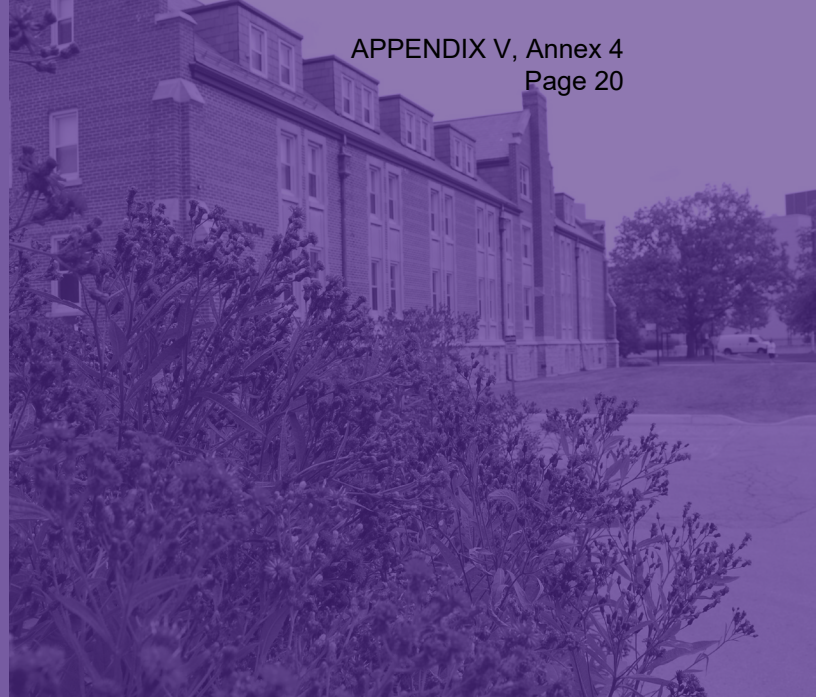
Levine, A. & Dean, D R (2012). Generation on a tightrope: A portrait of today's college student. San Francisco: Jossey-Bass.

Nguyen, T. (2019). Reading, Writing and Resilience. Chronicle of Higher Education. Retrieved from: <https://www.chronicle.com/article/How-Colleges-Use-the/245773>

Appendix 1: Letter addressed to the president of each public college and university in Ontario. (2016). Retrieved from <http://www.ohrc.on.ca/en/learning-mind-inquiry-report-systemic-barriers-academic-accommodation-post-secondary-students-mental/appendix-1-letter-addressed-president-each-public-college-and-university>.

Ombudsman Ontario, 2018/19 Annual Report





REPORT OF THE FUND RAISING AND DONOR RELATIONS COMMITTEE

Contents	Consent Agenda
Fund Raising Activity Quarterly Report to October 31, 2019	Yes

FOR INFORMATION

1. **Fund Raising Activity Quarterly Report to October 31, 2019**

The Fund Raising Activity Quarterly Report to October 31, 2019 is provided in **[Annex 1](#)**.



FUND RAISING QUARTERLY REPORT
as at October 31, 2019
(with comparative figures for Fiscal Year 2019 and 2018)

PLEDGE DATA¹

	Fiscal Year 2020 (000's)			Fiscal Year 2019 (000's)		Fiscal Year 2018 (000's)	
	Target	Year to Date May to October	Actual as a % of Target	Year to Date May to October	Year End May to April	Year to Date May to October	Year End May to April
Pledges outstanding May 1	103,042	103,042	N/A	91,903	91,903	87,537	87,537
New Gifts & Pledges (Gross)	66,300	22,535	33.99%	43,285	78,123	34,816	70,130
Pledges cancelled/amended on new/prior pledges	-2,403	26	-1.10%	-1,379	-2,010	-489	-1,835
Net New Pledges/Gifts	63,897	22,561	35.31%	41,905	76,113	34,326	68,295
Contributions received in payment of pledges/gifts ²	56,502	17,689	31.31%	23,944	64,974	24,052	63,929
Net Pledges Outstanding	110,437	107,914	97.72%	109,865	103,042	97,812	91,903

COST PER DOLLAR RAISED

	Fiscal Year 2020 (000's)			Fiscal Year 2019 (000's)			Fiscal Year 2018 (000's)		
	Net Pledges/Gifts	Expenses	Cost per Dollar Raised	Net Pledges/Gifts	Expenses	Cost per Dollar Raised	Net Pledges/Gifts	Expenses	Cost per Dollar Raised
Advancement Fund Raising Units									
Alumni Relations & Development	19,171	4,258	NA	56,248	9,259	\$0.16	55,719	8,626	\$0.15
Richard Ivey School of Business	3,390	527	NA	21,558	1,101	\$0.05	14,302	1,087	\$0.08
Total Expenses/Cost Per Dollar Raised	22,561	4,785	NA	77,806	10,359	\$0.13	70,020	9,713	\$0.14
3-Year Average Cost Per Dollar Raised ³	NA	NA	NA	68,279	9,820	\$0.14	58,351	9,630	\$0.17

RETURN ON INVESTMENT

	Revenue Cash Received	Expenses	Return on Investment	Revenue Cash Received	Expenses	Return on Investment	Revenue Cash Received	Expenses	Return on Investment
Fundraising/Development/Advancement	16,050	4,785	NA	47,751	10,359	\$4.61	52,909	9,713	\$5.45
Total Return on Investment	16,050	4,785	NA	47,751	10,359	\$4.61	52,909	9,713	\$5.45

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 CRM 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

Contents	Consent Agenda
Research Western Annual Report – 2019	No
Report of the Academic Colleague	Yes
Academic Administrative Appointments	Yes

FOR INFORMATION

1. **Research Western Annual Report – 2019**

The Research Western Annual Report – 2019 is attached as **Annex 1**.

2. **Report of the Academic Colleague**

The Report of the Academic Colleague for the December 2019 meeting is attached as **Annex 2**.

3. **Academic Administrative Appointments**

Faculty Relations advised of the following academic administrative post(s) approved on behalf of the Board of Governors to December 2019:

Name	Department/School	Admin Post	Effective Date	End Date
Andersen, Robert	Ivey	Associate Dean (Administration)	2020-01-01	2022-12-31
Belton, Tom	WL-Archives / Special Collect	Library Head	2019-09-01	2024-08-31
Bhatia, Nandi	Arts - Office of the Dean	Associate Dean (Research, Grad)	2019-07-01	2023-06-30
Briens, Lauren	Engineering - Office of Dean	Assistant Dean	2019-07-01	2021-06-30
Bryant, Dianne	Health Science - Dean's Office	Assistant Dean	2019-07-01	2022-06-30
Burkell, Jacquelyn	Research Development and Services	Assoc. V.P. (Research)	2019-09-01	2020-06-30
Champion, Lois	Schulich - Office of the Dean	Associate Dean (Postgraduate Medical Education)	2020-01-01	2024-12-31
Conley, Timothy	Economics	Department Chair	2019-07-01	2021-06-30

Connelly, Denise	Health Science - Dean's Office	Associate Dean (Graduate, PostDoc)	2019-07-01	2022-06-30
Crumley, Tracey	Obstetrics & Gynaecology	Clinical Department Chair	2019-07-01	2020-06-30
Danylchuk, Karen	Health Science - Dean's Office	Associate Dean (Undergraduate Program)	2019-07-01	2021-06-30
Denham, Graham	Mathematics	Department Chair	2019-07-01	2023-06-30
El Naggar, Hesham	Civil & Environmental	Department Chair	2019-07-01	2020-06-30
Johnson, Andrew	School of Health Studies	School Director	2020-01-01	2021-06-30
Lebo, Matthew	Political Science	Department Chair	2019-08-01	2024-06-30
Lum, Andrea	Schulich - Office of the Dean	Vice Dean	2020-01-01	2024-12-31
MacDougall-Shackleton, Scott	Psychology	Department Chair	2019-07-01	2022-06-30
Marshall, Elizabeth	WL-User Experience Student Engagement	Library Director	2020-01-01	2025-12-31
Mclsaac, Kenneth	Electrical & Computer	Department Chair	2019-07-01	2024-06-30
McLeod, Carolyn	Philosophy	Department Chair	2019-07-01	2022-06-30
McMillan, Brian	WL-User Experience Student Engagement	Library Director	2019-09-01	2024-08-31
Misener, Laura	Kinesiology - General	School Director	2019-07-01	2022-06-30
Neff, Bryan	Science - Office of the Dean	Associate Dean (Research)	2019-09-01	2023-06-30
Northcott, Sandra	Schulich - Office of the Dean	Associate Dean	2019-12-01	2024-11-30
Plug, Jan	Arts - Office of the Dean	Associate Dean (Academic Programs)	2019-07-01	2020-08-31
Sadi, Jackie	Physical Therapy	School Director	2019-07-01	2020-06-30
Schwerdtner, Karin	French Studies	Department Chair	2019-07-01	2020-06-30
Shrubsole, Daniel	Soc Science - Office of Dean	Associate Dean (Undergraduate Program)	2020-01-01	2023-06-30

Sliwinski, Sharon	Info & Media Studies - General	Associate Dean (Grad, PostDoc)	2019-07-02	2020-06-30
Spong, Stephen	WL-User Experience Student Engagement	Library Director	2019-11-01	2024-10-31
Stein, Robert	Schulich - Office of the Dean	Assistant Dean	2019-10-01	2020-09-30
Tippett, Marisa	WL-User Experience Student Engagement	Library Director	2019-09-01	2020-03-31
Urquhart, Brad	Schulich - Office of the Dean	Associate Dean	2019-09-01	2024-08-31
Wood, Geoffrey	DAN Management	Department Chair	2019-07-01	2024-06-30
Yoo, John	Paediatrics	Clinical Department Chair	2020-01-01	2020-06-30



Research Western Annual Report | 2019

Dr. Sarah Prichard, Acting Vice-President (Research)

Since arriving at Western, I have been impressed by the many individuals and groups conducting excellent research across a wide range of topics. The university offers a number of world-class facilities on a beautiful campus, is home to outstanding students and faculty members, and is fiscally strong. We have all of the components needed for research excellence.

WHO WE ARE & WHAT WE DO

The office of the Vice-President (Research), through Research Western, allocates resources and aligns strategies to ensure Western is a great research-intensive university with a reputation for research excellence by:

- Advocating for research;
- Enabling research success; and
- Building a research culture.

We advocate by promoting, celebrating and highlighting the importance of research, scholarship and creative practice from all disciplines to internal and external audiences. It is our role to effectively integrate research into all aspects of the university's mission, develop champions and promote a shared purpose.

We enable research by providing comprehensive administrative and financial support to build research capacity and success, and to ensure research integrity. Increasingly, this means identifying and offering new services, including those related to knowledge exchange, bibliometrics, Indigenous and EDI guidance. These specialized efforts reduce administrative burden for our scholars, increase their competitiveness in grant competitions and ensure their work has impact. It is our goal to foster an environment in which teams thrive and interdisciplinary initiatives aimed at big ideas can emerge and be successful.

We are working to extend our culture of research excellence at Western, built on a shared, integrated research vision. This is a process that includes setting clear goals, defining, measuring and celebrating success, communications plans that align to our research goals, building a network of research champions and mentoring early career researchers.

Our team of professionals at Research Western is highly dedicated, knowledgeable and demonstrates an exceptional focus on service. We continue to be proactive in identifying and implementing new tools and services to support our community. We aim to set our scholars up for success, reduce the institution's risk and help advance Western's reputation.

Research Western is composed of several core service teams, including:

- **Research Development & Services:** Helps researchers gain a competitive edge by providing support throughout the research funding lifecycle, including pre- and post-award, knowledge exchange and EDI plan development, and negotiating contracts and agreements.
- **Research Ethics & Compliance:** Provides ethical oversight for research studies involving human participants to ensure the level of risk, potential benefits and ethical implications are appropriate. From a compliance perspective, fosters and encourages a commitment to ethical and responsible conduct of research, while providing guidance, education and support related to regulations, processes and requirements.
- **Animal Care & Veterinary Services:** Ensures ethics and safety of research involving animal models and provides animal care services as required by regulatory bodies.
- **WORLDiscoveries:** Assists with the protection and promotion of innovations, while facilitating the formation of mutually beneficial market partnerships and strengthening ties within Western's entrepreneurship ecosystem.

We offer strategic oversight from the Vice-President (Research) and two Associate Vice-Presidents (Research), while providing additional supports related to finance, administration, human resources, communications and research promotion. The Vice-President (Research) also shares responsibilities for Western Research Parks, BrainsCAN, the Bone & Joint Institute and the new Institute for Earth & Space Exploration. Our research community is also supported by faculty based research offices.

HOW WE HAVE DONE

We continue to be presented with an increasing number of opportunities to support research, including new funding opportunities. At the same time, various partnerships and new compliance and reporting requirements are also on the rise. As examples, the volume of core institutional programs (e.g., CFI, CRC, ORF-RE) has increased by 38 per cent over the past five years and research contracts and human ethics research board submissions have both risen by nearly 20 per cent over the same period. Our Research Services team oversees submission of 2,000-2,400 applications to more than 500 program competitions annually. Our team is being asked to expand its services to meet needs related to entrepreneurship, knowledge exchange, bibliometrics, EDI and Indigenous research. We will need to be agile to meet emerging opportunities essential to Western's success.

Table 1: Activity level of the Research Western RDSE organization.

Year	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019
Development*	65	80	107	78	120
Services/Grants	2,143	2,054	2,024	2,173	2,357
Contracts	895	990	1,037	1,021	1,096
Ethics**	1,070	1,450	1,253	1,153	1,344

** total CFI, CRC, and ORF-RE proposals submitted.*

*** total protocols approved in Health Studies Research Ethics Board and Non-Medical Research Ethics Board.*

Internal Research Funding

Research Western makes significant financial investments in our research community to encourage participation and enable success. The Western Strategic Success Program, as example, provides \$1.5 million for seed, bridge and accelerator grants, which help launch, support and strengthen scholars' applications to external agencies and expand their research programs.

We also use the Research Promotion Fund, sourced from overhead revenues from research contracts and ORF-RE, to directly and indirectly support research activities. This is the main source of discretionary funding available to the Vice-President (Research) to support targeted research-relevant

initiatives. The research community receives support from this fund in the form of research awards, institutional memberships, large grants, small grants and other faculty initiatives related to research. Examples include our memberships in MITACS and SOSCIP, support for ICES, CANet, CIFAR, and the Soochow-Western Synchrotron project.

The SSHRC FRDF/Endowment fund has also provided tremendous benefit to scholars in the social sciences, arts and humanities. Funds have been allocated to faculties and going forward, additional funds from the endowment will be available through the VPR office. In 2018-2019, past FRDF/Endowment fund recipients were successful in several large grant applications and the program supported 129 publications, 101 conference presentations and 36 other dissemination activities. These funds were instrumental in achieving success in five external award applications and they provided training for 157 HQP. For the first time in 2019-2020, the Provost has allocated up to \$750,000 to support university-wide institutes, which include the Bone & Joint Institute and the Institute for Earth & Space Exploration.

The Western Innovation Fund, managed by WORLDdiscoveries, provides one-time funding to researchers to develop ideas and technologies toward commercialization. More than 40 per cent of projects awarded go on to receive additional funding through grants, further investment or commercialization revenue. Overall, WIF has seen a 166 per cent return across all projects and a 401 per cent return on projects that received follow-up funding

Linking Research and the Student Experience

We are working to promote and enhance student research experience as part of the broader effort to position Western as a research-intensive university. An aspect of this initiative involves identifying and communicating existing research opportunities available to undergraduate students but additional opportunities need to be identified. Partnering with Student Experience, we jointly deliver the Head & Heart program, which supports research experiences for Indigenous students. We are planning to extend this opportunity to other groups of undergraduates (e.g., first-generation students) and to submit a SSHRC Partnership Grant to fund it.

We currently support student and trainee research participation by investing in memberships in organizations like SOSCIP and MITACS, which helps establish partnerships between industry and academia. Its programs provide students and trainees with unique training opportunities through industry-partnered projects, internships and fellowships. Last year, Western attracted \$7.4 million in MITACS funding.

Promoting and Celebrating Success

Research Western continues to take a multi-pronged approach to celebrating our community's successes. Our investment several years ago in a Research Development Consultant (Awards & Distinctions), as example, has paid tremendous dividends by allowing us to solicit and produce high-quality and successful prestigious award nominations.

Last year, we recognized three Fellows of the Royal Society of Canada, two members of the College of New Scholars, Artists & Scientists of the Royal Society of Canada and more than 25 external research awards. These included prestigious awards across disciplines, including a Fulbright Canadian Fellowship (Neil Banerjee, Science), Fellowship in the Canadian Academy of Health Sciences (Jayne Garland, Health Sciences) and Honorary Fellowship in the Royal Conservatory of Music (Leslie Kinton, Music). We also celebrated our own with the Hellmuth Prizes for Achievement in Research – the university's highest research honour – awarded to Peter Jaffe (Education) and Andy Sun (Engineering). Celebrating success is critical to establishing a strong research culture and we have initiated celebratory events, sent letters of congratulation and will soon host our annual awards gala.

We are committed to focusing on outcomes and recognize these differ across disciplines. We are planning a celebratory event for faculty authors to acknowledge the success of the books our faculty members publish annually. As the Tri-Council agencies have recently signed up for the San Francisco Declaration on Research Assessment, we will need to continue to reflect on ways we measure research success.

External Research Funding Results 2018-19

We are focused on increasing external research funding and support from all sources; however, Tri-Council funding plays a critical role in the growth and sustainability of the research enterprise. These

programs drive linked programs, including provincial funding, Canada Research Chairs, Canada Foundation for Innovation and the Research Support Fund, which provides vital support for the indirect costs of research. Over the past decade, we have witnessed a modest upward trend in Tri-Council funding, reaching \$57 million last year. This represents Western's highest-ever total and a 9.3 per cent increase from 2017-2018.

- **SSHRC (\$6.8 million):** Western's highest-ever total by nearly \$1 million reflects a 0.5 per cent increase in national share. Successes are highlighted by increased grant participation, the effective use of internal programs strategically geared to enhance SSHRC success and political science professor Laura Stephenson's \$2.5 million SSHRC Partnership Grant to create the *Consortium on Electoral Democracy*.
- **NSERC (\$26.7 million):** After several relatively flat years, NSERC funding rose 7.3 per cent to its highest-ever level. Western's share also rose from 3.3-3.4 per cent, ranking 10th in the U15 – up two spots from 2017-2018. Four of five researchers were successful in the final competition for NSERC Strategic Partnership Grants.
- **CIHR (\$23.5 million):** Steady over the past five years – when CIHR funding has increased by almost 15 per cent – Western's CIHR funding places us 10th in the U15. Our affiliated hospitals attract an additional \$5 million, taking the city-wide total to \$28.5 million. It is typical for universities with a medical school and affiliated teaching hospitals to attract substantially more CIHR funding than NSERC funding. This will be an area of strategic focus for the coming year, particularly with the new Dean of the Schulich School of Medicine & Dentistry.
- **Canada Foundation for Innovation (\$8.7 million):** Consistent with recent years, but down from 2017-2018.

Overall, Western and its affiliates last year attracted \$239.2 million (Western: \$190.7 million, Affiliates: \$48.4 million). It is significant to note the university's divestment of Robarts Clinical trials (loss of \$40 million) and flow-through of two rounds of Ontario Research Fund grants (gain of \$22 million) are reflected in this result. Western has ranked 10th nationally for research funding nine of the past 10 years.

Despite the divestment of Robarts Clinical Trials, contract revenue has been a source of success (\$22.3 million). Government and non-government contract revenue continues to climb (up 70 per cent

over the past five years to \$12.9 million) and ancillary research operations, like Surface Science Western and the Boundary Layer Wind Tunnel, attracted \$6.6 million in 2018-2019. Faculty of Education researchers were awarded five of nine research contracts at Western valued at more than \$2 million, attracting more than \$13 million to advance to advance knowledge related to childhood education and gender-based violence prevention. These programs were funded by various government agencies, including the Ontario Ministry of Education, the BC Ministry of Children & Family and the Public Health Agency of Canada.

New approaches to partnerships will be an important way forward. Last year, as example, we celebrated the creation of GLABAT Solid-State Battery Inc., a joint research laboratory between Western and China Automotive Battery Research Institute, which attracted a \$10-million investment. Our strategy is to continue to look at different funding sources and models in Canada and abroad, while providing support and investment to increase participation and success in existing granting and partnership opportunities.

Table 2: 2019 Publications: Leiden Rankings

Publications	Proportion top 1%	Proportion top 10%	Collaboration (Inter-institution)	Collaboration (Industry)
1. Toronto (2)	1. Toronto (8)	1. Toronto (5)	1. Toronto (4)	1. Toronto (12)
6. McMaster (139)	4. McMaster (84)	5. McMaster (143)	6. McMaster (143)	5. McMaster (126)
7. Western (180)	9. Western (171)	9. Western (181)	9. Western (204)	10. Western (250)
14. Queen's (346)	14. Queen's (327)	14. Queen's (327)	14. Queen's (374)	14. Queen's (328)

**National rank for key Ontario competitors (global rank)*

Innovation, Technology Transfer, Commercialization and Entrepreneurship

It was a banner year for WORLDDiscoveries, which brought in \$5.8 million in revenue – its highest-ever total. The 37 license agreements signed was also a record, tripling the total from five years ago. The unit also maintains 178 active licenses (60 per cent more than 2014), has 42 active spinoffs and had 45 patents issued for technologies last year.

WORLDdiscoveries continues to be a key driver in Western's innovation and entrepreneurship ecosystem, hosting initiatives like the extremely successful Medical Innovation Fellows Program, which has doubled to a cohort of six from when it began three years ago. Over that time, the program has made 14 intellectual property disclosures, filed nine patent applications and filed eight startup companies, which have received more than \$1 million in third-party funding to develop their technologies. Other programs, including the Proteus Innovation Competition, Innovation Ambassadors Program and Graduate Student Innovation Scholars Program, have witnessed tremendous growth, while fostering a culture of innovation and entrepreneurship on campus.

WORLDdiscoveries Asia expanded beyond London to represent more than 35 Ontario organizations and more than 110 technologies. One of its most significant successes last year involved closing a \$5-million USD equity-investment deal with a startup company.

LOOKING AHEAD TO 2020

We are excited to host more than 8,000 scholars from across Canada at Congress of the Humanities & Social Sciences in May. This will provide an excellent opportunity to highlight Western's scholarship and beautiful campus. To enhance our profile, we have invested internal funds to encourage Western's graduate students to present papers during this year's proceedings.

The environment in which we conduct research is changing. Interdisciplinary research is increasing. While there will always be a role for individual, curiosity-based research, solitary investigators are increasingly joining team-based initiatives and taking interdisciplinary approaches to tackle big ideas. If we are to compete successfully, Western will need to commit to developing and acquiring more world-class core facilities and to facilitating partnerships with industry, governments and communities. We need to foster processes and spaces like WIRB, where these opportunities can thrive. We need to think beyond our walls by creating consortia that leverage economies of scale, expertise and equipment. We need to solidify ties to industry and to entrepreneurship when such linkages enable greater research impact. These changes require us to invest time, thought and money to identify the best opportunities for success.

Western will identify a new Vice-President (Research) and I hope to have laid the groundwork and provided a roadmap for the appointee's success. Some key priorities for the year ahead include:

1. Work related a culture of research excellence at Western: setting goals, defining success and assessing performance, aligning communications to our research agenda, mentoring early career researchers, celebrating success and building research champions.
2. Continuing to work with Animal Care & Veterinary Services to meet regulatory requirements and to set per diem rates that make our researchers more competitive. Work with the planning group for the planned biomedical research building to ensure a smooth transition into the new facility.
3. Put into place the leadership, governance, administrative and budgetary plans to set institutes on a path to success, while proposing a framework for a Western Neuroscience Institute.
4. Support and develop processes to advance large interdisciplinary research programs.
5. Increase research participation rates and success – with a focus on Tri-Council funding, but not to the exclusion of other opportunities – by providing investment and support.
6. Work with the new Dean of the Schulich School of Medicine & Dentistry to develop a plan to optimize research performance in the school, which will include alignment with the Lawson Health Research Institute.
7. Assess Research Western's operations to determine needs to best support researchers across campus, benchmark success and understand synergies between central and faculty-based research officers.
8. Bring the research agenda and research aspirations into the university strategic planning process.
9. Work with Student Experience to further increase research opportunities for undergraduate students.

In closing, I want to thank Western for welcoming me to the university. It has been a pleasure and a privilege to be able to work with the dedicated, bright and creative research community here. There remains a great deal of work to do as we adjust to a changing research environment. I believe Western is well positioned for greater research success provided we align around shared aspirational goals and we adapt how we organize ourselves to achieve those goals.

Respectively Submitted,

Sarah Prichard

APPENDIX A

Western University
Research Grants & Contracts
Research Funding Comparatives
Cash Basis

	2019	2018	2017	2016	2015
	\$	\$	\$	\$	\$
Federal					
SSHRC	6,756,018.49	5,563,892.93	5,859,499.66	4,778,272.06	4,190,927.33
NSERC	26,738,496.75	24,910,167.72	23,344,050.13	24,434,824.79	24,976,714.06
CIHR	23,534,589.22	21,696,307.57	26,484,748.45	21,212,042.23	26,259,591.91
NCE's	392,328.01	616,674.74	965,594.33	583,503.06	1,794,753.14
CFI	8,715,883.09	11,390,756.62	7,102,622.25	6,643,399.32	5,723,311.81
CRC's and CERC	6,721,183.33	7,000,000.00	8,141,341.36	8,861,217.05	9,675,000.00
CFREF	10,150,931.00	8,181,797.03	7,118,830.97		
RSF	11,109,537.00	9,815,163.01	9,792,300.00	8,977,027.00	9,078,352.99
AUTOMOTIVE PARTNERSHIP CANADA	-	-	-	645,635.17	505,008.01
GLOBAL AFFAIRS CANADA (formerly DFAITD & CIDA)	1,548,726.08	1,796,586.21	163,402.93	1,055,563.00	450,224.18
HEALTH CANADA	-	9,864.13	129,351.37	512,439.13	154,560.13
IDRC	15,000.00	64,820.00	24,892.65	181,967.81	120,529.00
CANADIAN SPACE AGENCY	1,217,718.61	388,892.02	480,494.59	332,250.00	241,333.15
DEPARTMENT OF NATIONAL DEFENCE	482,357.15	574,610.73	733,153.92	240,073.27	241,671.02
FEDDEV	635,504.03	470,944.21	599,265.97	720,136.23	1,284,879.34
PUBLIC HEALTH AGENCY	2,639,743.56	1,731,410.57	1,431,831.37	1,183,085.31	742,006.00
EMPLOYMENT & SOCIAL DEV CANADA	725,107.00	4,780.00			
Other	1,764,544.86	792,473.00	973,751.33	1,264,437.84	1,353,733.46
Subtotal	103,147,668.18	95,009,140.49	93,345,131.28	81,625,873.27	86,792,595.53
Provincial					
ORF-RI	17,015,726.00	2,450,870.84	1,280,287.16	7,429,787.67	8,055,238.88
ORF-RE	4,714,150.48	4,327,946.45	2,992,741.32	2,873,782.67	5,198,930.40
ERA	1,015,466.42	752,897.33	1,026,541.25	769,371.55	844,667.91
OMH<C	218,036.45	-	90,500.00	594,286.10	692,063.75
OCE	1,860,713.76	1,633,673.72	1,307,319.71	1,285,644.60	1,709,711.35
ONT SPOR	16,662.00	836,228.03	229,814.97		
MINISTRY OF EDUCATION	3,187,741.00	375,144.52	302,666.82	228,844.05	111,411.00
MINISTRY OF CHILD & YOUTH SERVICES	498,000.00				
MTCU	2,492,605.03	2,524,580.00	2,512,395.19	2,517,550.81	2,543,138.99
Other	3,780,299.01	3,559,569.20	724,533.05	868,683.11	1,292,385.76
Subtotal	34,799,400.15	16,460,910.09	10,466,799.47	16,567,950.56	20,447,548.04
Foreign Grants	2,174,929.37	1,879,273.18	2,142,582.00	1,295,859.52	1,255,146.42
Foundations, Associations and Societies	14,035,454.17	14,111,341.09	13,695,313.37	14,131,459.20	13,719,170.18
Corporations	7,884,258.43	7,045,733.67	7,641,994.74	6,079,891.01	8,650,983.70
Donations and bequests	2,189,648.26	2,591,106.25	2,559,197.86	2,327,707.48	2,496,148.21
Other					
Medical trusts	663,277.28	1,900,653.63	879,300.84	1,232,001.26	1,064,562.03
Operating	16,458,281.24	19,225,244.64	18,214,446.72	14,897,109.92	18,938,203.00
Subtotal	43,405,848.75	46,753,352.46	45,132,835.53	39,964,028.39	46,124,213.54
Total Revenues per Stmt 2	181,352,917.08	158,223,403.04	148,944,766.28	138,157,852.22	153,364,357.11
Less:					
RSF	11,109,537.00	9,815,163.01	9,792,300.00	8,977,027.00	9,078,352.99
MTCU (ROIE)	2,492,605.03	2,524,580.00	2,512,395.19	2,517,550.81	2,543,138.99
Subtotal	167,750,775.05	145,883,660.03	136,640,071.09	126,663,274.41	141,742,865.13
Hospitals	48,446,653.51	49,492,081.00	49,482,877.00	47,863,204.69	45,585,876.50
Robarts Clinical Trials, Core Facilities (Restricted)	2,748,886.99	3,020,171.51	3,198,221.42	3,540,889.14	3,842,984.59
Robarts Clinical Trials Legal Entity (Combined Stmt 2)	-	39,018,271.00	34,928,672.00	27,530,596.00	23,054,227.00
GRAND TOTAL <u>without</u> RSF, PIC and MTCU	218,946,315.55	237,414,183.54	224,249,841.51	205,597,964.24	214,225,953.22
Ancillary Research Operations	6,634,200.00	6,900,379.00	6,477,460.00	5,569,741.00	4,981,068.00
GRAND TOTAL <u>with</u> RSF, PIC and MTCU	\$239,182,658	\$256,654,306	\$243,031,997	\$222,662,283	\$230,828,513

APPENDIX B

Tri-Council Funding Performance, 2014-2019

Social Sciences & Humanities Research Council (SSHRC)

Indicator	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019
# of applications	126	98	95	87	100
# of awards	47	30	46	52	49
Success rate	37%	31%	48%	60%	49%
National share	2.8%	2.8%	3.0%	2.8%	3.3%
Total funding	\$4,190,927	\$4,778,272	\$5,859,500	\$5,563,893	\$6,756,018

Natural Sciences & Engineering Research Council (NSERC)

Indicator	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019
# of applications	297	250	274	292	288
# of awards	205	151	147	178	178
Success rate	69%	60%	54%	61%	62%
National share	3%	3.2%	3.3%	3.3%	3.4%
Total funding	\$25,481,722	\$25,080,460	\$23,344,050	\$24,910,168	\$26,738,497

Canadian Institutes of Health Research (CIHR)

Indicator	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019
# of applications	285	299	220	310	285
# of awards	79	58	57	78	55
Success rate	28%	19%	26%	25%	19%
National share	3.7%	3.8%	3.7%	3.2%	2.9%
Total funding	\$26,259,592	\$21,212,042	\$26,484,748	\$21,696,308	\$23,534,589

REPORT TO SENATE OF THE ACADEMIC COLLEAGUE
COUNCIL OF ONTARIO UNIVERSITIES

Contents	Consent Agenda
Report of the Academic Colleague	No

FOR INFORMATION

The Academic Colleagues met on 10th-11th December 2019 in Toronto. The following discussion items might be of interest to Senators:

Campus Free Speech Reporting

HEQCO has published its first Annual Report to the Ontario Government on Freedom of Speech on Campus. The report commented on the policies, themselves, as well as on the application of those policies at Ontario colleges and universities from January-August 2019. With respect to the policies, HEQCO commented that the one “Chicago Principle” that was not always clear was the precedence of free speech over civility and respect (ie, a clear hierarchy of those values). HEQCO expressed concern that this might undercut the importance of free speech in the application of the policies, and flagged it for future review.

In terms of application, institutions collectively reported a conservative total of 40,000 “non-curriculum” events on campus, only one of which was cancelled due to safety and security concerns. In total, there were only 21 formal complaints made under the policies, all of which were reportedly resolved internally. HEQCO concluded that the campus free speech policies had met the government’s objectives.

HEQCO allowed institutions latitude in their report format/content this year, but found that this resulted in a variety of reports that did not always touch on all required elements. Accordingly, they will be issuing a template for reporting next year.

The report is available at:

www.heqco.ca/SiteCollectionDocuments/HEQCO%202019%20Free%20Speech%20Report%20to%20Government%20REVISED.pdf

Bill 132 (the Better for People, Smarter for Business Act, 2019)

Among many other unrelated amendments, this legislation provided greater degree-granting authority to Algoma University and OCADU. Those institutions had previously been limited to degrees in the fields that were part of their curricula as colleges. Algoma is now permitted to confer bachelor degrees in any arts or science program. OCADU is now permitted to confer a Bachelor of Arts and PhD (previously confined to BFA and Bachelor of Design). Both universities are also now permitted to award diplomas and certificates in “all branches of learning.”

Survey of Indigenous Faculty

The COU has recently completed a survey of Indigenous faculty at Ontario universities, believed to be the first of its kind in Canada. The final report, “Lighting the Fire,” should be released in the near future. The survey was completed by 86 faculty members, and covers things like service responsibilities, research methodologies, Indigenous pedagogies, experience of racism, and knowledge/existence of special institutional policies for the hiring, evaluation, and promotion/tenure of Indigenous faculty.