

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, November 29, 2018  
Room 4155 Stevenson Hall**

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

1. Adoption of Agenda - Open Session
2. **Report of the President** (Amit Chakma)
3. Unanimous Consent Agenda - **Appendix I**  
Includes **Open Session Minutes of the Meeting of September 25, 2018**
4. Business Arising from the Minutes
5. Report of the Provost's *ad hoc* Committee for Freedom of Expression –  
**Appendix II** (Andy Hrymak)
6. Reports of Committees:  
Property & Finance Committee - **Appendix III** (Sylvia Chrominska)  
Governance & By-Laws Committee - **Appendix IV** (Matthew Wilson)  
Senior Policy & Operations Committee - **Appendix V** (Paul Jenkins)  
Audit Committee - **Appendix VI** (Keith Gibbons)
7. Items Referred by Senate – **Appendix VII** (Amit Chakma)
8. Questions from Members
9. Other Business
10. Adjournment to Confidential Session

***Meetings of the Board beginning at 1:00 p.m. will normally end by 4:30 p.m. unless extended by a majority vote of those present.***

**SUMMARY OF AGENDA ITEMS – NOVEMBER 29, 2018 - OPEN SESSION**

Adoption of Agenda	ACTION
Report of the President	INFORMATION
Unanimous Consent Agenda – <b>Appendix I</b>	ACTION
Minutes of the Meeting of September 25, 2018 – Open Session	ACTION
Report of the Provost's <i>ad hoc</i> Committee for Freedom of Expression - <b>Appendix II</b>	ACTION

**Report of the Property & Finance Committee- Appendix III**

Scholarships, Awards, Prizes	INFORMATION
Report on Underwater Endowments	INFORMATION
Report of the Investment Committee	INFORMATION
Key Financial Indicators	INFORMATION

**Report of the Governance & By-Laws Committee – Appendix IV**

Principles of Engagement (formerly Responsibilities) for Members of the Board of Governors	ACTION
Principles of Engagement for the Board Chair	ACTION
Amendments to Special Resolution No. 10 – President & Vice-Chancellor	ACTION
Amendments to Special Resolution No. 3 – Banking	INFORMATION
Board Election Schedule for Spring 2019	INFORMATION

**Senior Policy & Operations Committee – Appendix V**

Committee Appointments	INFORMATION
Annual Report of the Code of Student Conduct	INFORMATION

**Report of the Audit Committee- Appendix VI**

Harassment and Discrimination Matters Annual Report	INFORMATION
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**Items Referred by Senate - Appendix VII**

Report of the Academic Colleague	INFORMATION
Academic Administrative Appointments	INFORMATION
Questions from Members	

## REPORT OF THE PRESIDENT

Board of Governors  
November 29, 2019

To: Board of Governors  
From: Amit Chakma  
Date: November 22, 2018  
Re: President's Report to the Board

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For the November 29, 2018 Board of Governors meeting, I'm pleased to provide the following update on important developments and achievements since the last meeting of the Board on September 25, 2018.

**Municipal election:** Congratulations to seven Western alumni elected to the City of London Council last month, including **Mayor-Elect Ed Holder**, who will serve as an ex-officio member of the Board. Ed earned his BA in Philosophy from Western in 1976 and has been a great friend to his alma mater in many capacities. As a donor, he and his wife Judite endowed a scholarship in memory of their late son, Bruno DaSilva, presented annually to students demonstrating leadership through community service. In addition to serving previously as a member of our Board of Governors (2004-07), Ed was also very supportive of Western during his time as a London MP and former Minister of Science & Technology (2008-15). Congratulations also to six other alumni re-elected to Council: **Maureen Cassidy, Josh Morgan, Mo Salih, Phil Squire, Stephen Turner** and **Michael Van Holst**. We look forward to continuing to build strong relationships with all members of City Council in the years ahead.

**Ad Hoc Committee on Freedom of Expression:** Following a consultation process that invited input from all members of campus, the Provost's Ad Hoc Committee on Freedom of Expression has drafted a policy that was reviewed and unanimously supported by Senate at its November 16 meeting. The draft will now come forward to the Board for its consideration and approval. Together with Provost Hrymak, I wish to thank **Michael Milde** for his leadership as Chair, as well as all committee members for their engagement with this process. Ad hoc committee members included: **Pam Bishop** (Education; President's and Provost's appointee), **Colin Couchman** (IPB; PMA appointee), **Alison Hearn** (FIMS; UWOFA appointee), **Michael Lynk** (Law; President's and Provost's appointee), **Treena Orchard** (Health Sciences; UWOFA appointee), **Stephen Pitel** (Law; UWOFA appointee), **Mitchell Pratt** (USC appointee), **Mary Blake Rose** (SOGS appointee), **Sam Trosow** (FIMS, Law; UWOFA appointee), and **Tiffany Trudgeon** (Education; UWOSA appointee). Thanks also to **Paul Eluchok** (Legal Counsel), **Kathleen Kwan** (University Secretary), and **Amy Van Damme** (Legal Assistant) for their support of the committee.

**Campaign impact more than doubles Western's endowment:** On October 19, Western celebrated the conclusion of its "Be Extraordinary" fundraising campaign, announcing more than \$805.6 million raised. Thanks to gifts from more than 49,000 individual donors, the campaign's impact will be felt across our campus. The results include: growing Western's endowment from \$307 million to \$765 million over the past decade; \$118 million for new student scholarships, awards and bursaries; \$3.7 million for international learning experiences; \$247 million to support research, including the establishment of 50 new chairs; \$102 million for campus infrastructure, including the construction of nine new buildings and 52 renovation projects. Among the many remarkably generous gifts Western received over the course of the campaign, I was deeply touched and will be forever grateful for the \$5-million donation from **Jack and Sharon Cowin** who named the new Engineering Building in my honour when it was opened October 12, in addition to a separate \$2.5-million gift they made to establish the Jack Cowin Chair in Epilepsy Research announced at that annual Roberts' Leaders in Innovation dinner on November 19. Credit for surpassing the campaign's \$750-million goal is due not only to our extraordinary alumni and donors, but also to the hard work of countless staff, faculty, volunteers and Board members who promoted Western over the course of the campaign.

**Western students shine again at Undergraduate Awards:** For the fourth consecutive year, Western has placed first among North America schools for the number of "Highly Commended Papers" submitted by our students to the international Undergraduate Awards hosted by Trinity College Dublin. In 2018, the program received 4,887 submissions from 333 universities in 46 countries. In total, 23 Western students had their papers ranked as highly commended, including **Tiffany Ni** (BMSc'18) who was named a Global Winner in the medical sciences category for her thesis examining how an antioxidant could protect against drug-induced hearing loss. Three of Western's 2018 award-winners had more than one paper ranked as highly commended, including **Levi Hord** from the Faculty of Arts & Humanities, who also had a paper highly commended in the 2017 competition and went on to receive a Rhodes Scholarship.

**Western's newest Vanier Scholars named:** Five Western PhD candidates have been named among 167 nationwide recipients of the 2018-19 Vanier Canada Graduate Scholarships, including **Leona Bruijns** (Sociology), **Roger Hudson** (Neuroscience), **Jason J. Lee** (Medical Biophysics), **Cory Lefebvre** (Anatomy and Cell Biology), and **Sarah Stevenson** (Structural Engineering). Each winner will receive \$50,000 annually for up to three years. Vanier Scholars are selected each year based on leadership skills, research potential, and a high standard of scholarly achievement in disciplines that span the social sciences and humanities, the natural sciences and engineering, and the health sciences.

**NSERC supports 90+ Western projects:** The Natural Sciences & Engineering Research Council recently announced that Western researchers will share \$23.9 million in grants and scholarships that

support more than 90 research projects, ranging from designer cells, cognitive development, and mercury in northern lakes, to the Internet of Things, star formation, and new ways of converting waste into energy. Western's share comes from \$558 million in discovery research funding announced earlier by Kirsty Duncan, Minister of Science and Sport, supporting 4,300 researchers and students across Canada.

**Canada Research Chairs announced:** Seven outstanding researchers have been recruited to or retained by Western thanks to funding support provided through the federal government's Canada Research Chair program. Western's three new CRCs include **Michael Anderson**, from Franklin & Marshall College in Lancaster, PA, who will be an interdisciplinary scholar jointly appointed in Western's Rotman Institute of Philosophy and the Brain and Mind Institute; **Katsuichiro Goda**, from the University of Bristol in the UK, who joins Western's Department of Earth Sciences where his research will focus on catastrophic earthquake related multi-hazard risk management from economic and societal viewpoints; and **Ali Khan**, a scientist at Robarts Research Institute and professor in Western's Department of Medical Biophysics, whose research focuses on the use of brain imaging and novel computational techniques to improve the diagnosis and treatment of epilepsy and other neurological disorders. CRC funding renewals were also announced for **Xianbin Wang** (Electrical and Electronic Engineering), **Peter Brown** (Planetary Science), **Rajnikant Patel** (Robotics and Mechatronics), and **Jesse Zhu** (Chemical Engineering).

**Western ranked among the world's top 200 universities:** Data released September 26 by the UK-based *Times Higher Education* magazine places Western at 190<sup>th</sup> — tied with the University of Duisburg-Essen (Germany), University of East Anglia (U.K.) and Shanghai Jiao Tong University (China) — our highest ranking since 2012. *THE's* "World University Rankings" rate the world's top 1,258 research-intensive schools from 86 countries on the basis of five indicators: teaching, research, citations, industry income, and international outlook. Western scored its highest marks for international outlook, industry income, and teaching. Among Canadian universities, Western ranked 8th out of 27 institutions, following Toronto (21), UBC (37), McGill (44), McMaster (77), Montreal (90), Alberta (132), and Ottawa (176).

**Western staff members recognized for excellence:** Recipients of the 2018 Western Award of Excellence were recognized at ceremony held October 29 in the Great Hall. Considered the highest honour for Western's non-academic staff members, the award was established in 2005 to recognize and encourage exceptional performance. Warm congratulations are extended to **Linda Brock** (Faculty of Social Science), **Cara Bourdeau** (Human Resources), **Sarah Dawson** (Alumni Relations & Development), **Kristen Edwards** (Civil & Environmental Engineering), **Jane Sexsmith** (Faculty of Science), **Susan Simpson** (Anatomy & Cell Biology) and **Slobodanka Sotinac** (Facilities Management).

**Western's sixth Killam laureate honoured in Halifax:** On November 18 I was privileged to introduce **Dr. Vladimir Hachinski** as one of 2018's Killam Prize winners in recognition for his pioneering work on

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the relationship between stroke and dementia. Dr. Hachinski is a Professor of Neurology who joins a very select group of Western faculty who have been honoured with this prestigious academic distinction awarded by the Canada Council of the Arts. Past Killam Prize recipients include **David Bentley** (English), **John Whalley** (Economics), the late **Alan Davenport** (Wind Engineering), the late **Maurice Bergounou** (Chemical & Biochemical Engineering), and the late **Henry Barnett** (Robarts Research Institute).

**Western to host global conference for guidance counsellors and admissions professionals:**

Western has announced it will be hosting more than 1,600 delegates from over 80 countries at the global conference of the International Association for College Admission Counseling (International ACAC) July 9-12, 2019. Rarely held in Canada, the conference will bring colleagues from around the world to discuss global education with a focus on the transition process from secondary to higher education. Three days of professional development as well as pre- and post-conference events will include experts in international education, panel presentations, workshops and sharing of best practices in supporting students who seek postsecondary education outside of their home country.

**Western leadership update:** As of November 22, review and selection committees remain active for the following senior roles: Dean of the Ivey Business School, Dean of the Faculty of Engineering, Dean of the Schulich School of Medicine & Dentistry, Vice-Provost (Academic Programs), and the Vice-Provost (Graduate & Postdoctoral Studies).

**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 September 25, 2018	ACTION
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**Report of the Property & Finance Committee – Appendix III**

2. Scholarships, Awards, Prizes	INFORMATION
3. Report on Underwater Endowments	INFORMATION
4. Report of the Investment Committee	INFORMATION
5. Key Financial Indicators	INFORMATION

**Report of the Governance and By-Laws Committee – Appendix IV**

6. Amendments to Special Resolution No. 10 – President & Vice-Chancellor	ACTION
7. Amendments to Special Resolution No. 3 – Banking	INFORMATION
8. Board Election Schedule for Spring 2019	INFORMATION

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

9. Committee Appointments	INFORMATION
10. Annual Report of the Code of Student Conduct	INFORMATION

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

11. Harassment and Discrimination Matters Annual Report	INFORMATION
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**Items Referred by Senate – Appendix VII**

12. Report of the Academic Colleague	INFORMATION
13. 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**

**September 25, 2018**

The meeting was held at 1:30 p.m. in the Juniper Room, Ivey Spencer Leadership Centre.

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

Ms. S. Bennett  
Ms. W. Boye  
Dr. A. Chakma  
Ms. K. Cole  
Mr. G. Dick  
Mr. K. Gibbons  
Dr. R. Giffin  
Ms. C. Karakatsanis  
Mr. D. Keddy  
Mr. R. Konrad  
Mr. M. Lerner

Ms. L. Logan  
Dr. K. Mequanint  
Dr. G. Parraga  
Mr. V. Pirone  
Mr. M. Robinson  
Mr. B. Ross  
Mr. J. Shapiro  
Ms. S. Shortreed  
Ms. C. Stephenson  
Dr. J. Toswell  
Mr. M. Wilson

By Invitation: J. O'Brien

**Land Acknowledgement**

D. Keddy read the Land Acknowledgement.

BG.18-81 **REPORT OF THE PRESIDENT**

The President's report, distributed with the agenda, consisted of the following topics:

- Incoming Class – 2018/19
- *Ad hoc* Committee struck to codify Western's free speech policy
- Western to host Times Higher Education Teaching Excellence Summit 2019
- Western faculty and alumna named among latest RSC cohort
- Western leadership update
- Administration has been working closely with the University Student's Council to support the alternative program of Purplefest

BG.18-82 **UNANIMOUS CONSENT AGENDA** [Appendix I]

It was moved by M. Wilson, seconded by D. Keddy,

That the 14 items listed in Appendix 1, Unanimous Consent Agenda, except item 4. Quarterly Report – UWO Research Park and Windermere Manor, be approved or received for information by the Board of Governors by unanimous consent.

CARRIED

BG.18-83 **Minutes from the Previous Meeting**

The open session minutes of the meeting of June 21, 2018 were approved as circulated.

**REPORT OF THE PROPERTY & FINANCE COMMITTEE** [Appendix II]

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

BG.18-84 **Information Items reported by the Property & Finance Committee**

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

- Scholarships, Awards, Prizes
- Quarterly Ratio Report on Non-Endowed Funds
- Quarterly Report – Capital Debt

BG.18-85 **Quarterly Report – UWO Research Park and Windermere Manor**

Questions were raised regarding the financial position of the Research Park, with clarifications highlighting the impact of gap accounting and fluctuating revenues and expenditures during the annual cycle.

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

Prior to considering the Report of the Governance & By-Laws Committee, M. Wilson provided a high-level overview of the recent work of the Committee, indicating a number of items will be provided to the November Board meeting.

BG.18-86 **Revisions to the Terms of Reference of the Audit Committee (Special Resolution No. 1-L)**

It was moved by M. Wilson, seconded by D. Keddy,

That Point 5 under the Membership and Procedures in the Terms of Reference of the Audit Committee (Special Resolution No. 1-L) be revised as shown below:

5. The Committee shall consist of at least eight members appointed by the Board, including as members ex officio:

The Chair of the Board  
The Vice-Chair of the Board  
The Chair of the Property and Finance Committee

All members must be external to the University: that is, not faculty, staff or students, and a minimum of six members must be members of the Board. To ensure that the Committee has the necessary expertise to fulfill its responsibilities, the Board may appoint up to two members who are not members of the Board of Governors. [Such members are appointed annually and may serve on the Committee for up to eight consecutive years.]

CARRIED (By Unanimous Consent)

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

Prior to considering the Report of the Senior Policy & Operations Committee, P. Jenkins provided a high-level overview of the recent work of the Committee.

BG.18-87 **Information Items Reported by the Senior Policy & Operations Committee**

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

- Committee appointments
- Membership of the University Discipline Appeal Committee (UDAC)

**REPORT OF THE AUDIT COMMITTEE** [Appendix V]

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

BG.18-88 **Audited Financial Statements for the year ended April 30, 2018**

It was moved by C. Karakatsanis, seconded by R. Konrad,

That the Board of Governors approve the draft audited combined financial statements for the University for the fiscal year ended April 30, 2018 (Annex 1, Section 1).

CARRIED

BG.18-89 **Financial Statements – Related Companies**

The following financial statements for related companies and other organizations of The University of Western Ontario for the fiscal year ended April 30, 2018, were provided for the information of the Board of Governors and are contained in Annex 1.

The University of Western Ontario Research and Development Park, as audited by the Company's auditors, KPMG, and as approved by the Directors of the Company on July 18, 2018.

The Siebens-Drake Research Institute, as audited by the Institute's auditors, KPMG, and as approved by the Institute's Board of Directors on Aug 15, 2018.

The University of Western Ontario Foundation Inc., as audited by the Foundation's auditors, KPMG, and as approved by the members of the board of The UWO Foundation Inc., July 30, 2018.

Ivey Business School Group of Companies, as compiled by Ivey's auditors, KPMG.

Ivey Business School Foundation and Ivey Business School Asia Limited, as audited by Ivey's auditors, KPMG, and as approved by the Board of Directors on September 10, 2018.

The Pension Plan for Members of the Academic Staff and The Pension Plan for Members of the Administrative Staff for the fiscal year ended December 31, 2017, as audited by the Pension Plan auditors, KPMG, and as approved by the Joint Pension Board on May 14, 2018.

**Report of the Provost's *ad hoc* Committee for Freedom of Expression**

<b>Contents</b>	<b>Consent Agenda</b>
<b>Policy on Freedom of Expression</b>	No

FOR APPROVAL

**Policy on Freedom of Expression**

**Recommended:** That the Board approve the Policy on Freedom of Expression, detailed in [Annex 1](#).

**Background:**

On August 30, 2018 the Ministry of Training, Colleges and Universities issued a statement that requires every publicly assisted college and university to develop and publicly post its own freedom of expression policy by January 1, 2019. This policy must meet a minimum standard specified by the government, as detailed in [Annex 2](#). If institutions fail to comply with government requirements to introduce and report on freedom of expression policies, or if they fail to follow their own policies once implemented, the ministry may respond with reductions to their operating grant funding, proportional to the severity of non-compliance.

In response, Andy Hrymak, Provost and Vice-President (Academic) struck an *ad hoc* committee to develop a freedom of expression policy for Western, in consultation with the campus community. The membership of the *ad hoc* committee is provided in [Annex 3](#).

The Terms of Reference for the Provost's Ad Hoc Committee on Freedom of Expression were:

To prepare a draft Freedom of Speech Policy which meets the government's stipulated minimum requirements, and to organize consultation in relation to this draft policy.

To recommend a draft policy to Senate to enable Senate to advise upon, and recommend for approval, a draft Freedom of Speech policy by the Board of Governors.

The Committee consulted widely with the University Community. This consultation process included four Campus Community Consultation Sessions hosted by members of the Committee, and two Town Halls. The Western Community was also invited to submit written comments via email to the Committee.

The Committee presented a preliminary Policy on Freedom of Expression to Senate for discussion at its October 19 meeting. At the meeting Senate was advised by the University Legal Counsel and the University Secretary that it does not have jurisdiction to approve the policy. The Committee reviewed all of the feedback provided by the Western Community, as well as by Senate, and submitted for Senate's consideration at the November 16 meeting the revised Policy on Freedom of Expression detailed in [Annex 1](#).

At the November 16 meeting, Senate debated whether it had concurrent jurisdiction to approve the draft Policy. At the November 19<sup>th</sup> meeting, Senate chose to adopt a motion which approved and recommended to the Board, the draft Policy. In relation to the content of the draft Policy, Senate unanimously supported the Policy detailed in [Annex 1](#).

Procedures that will accompany the Policy are provided for information only, in [Annex 4](#).

### **Freedom of Expression Policy**

Freedom of expression is essential to the pursuit of truth, the advancement of learning and the dissemination of knowledge. All members of the University community, including guests and visitors, have the right to freedom of expression, which includes the right to examine, represent, question, advocate for and comment on any issue without reference to prescribed doctrine. It also includes the right to criticize the University and society at large.

The exercise of free expression may generate controversy and disputes. The role of the University is to provide an open and inclusive environment in which debate, challenge and disagreement should be expected, and controversial and offensive ideas may be advanced. Although members of the University community are free to contest, criticize or even condemn the views expressed by others, they cannot prevent the freedom of others to express their views.

Of necessity, there are limits to freedom of expression as established by law and in recognition of the rights of others. This freedom does not extend to expression that is, for example, prohibited by Canada's criminal law, such as hate speech or incitement to violence; or which constitutes harassment or discrimination; or violates protected confidentiality interests. The University may be required to intervene when the exercise of freedom of expression exceeds these limits, threatens the physical safety of members of the University community or prevents the exercise of freedom of expression by others. Any such intervention must be interpreted and applied narrowly, and must be sensitive to the particular setting such as a classroom, residence or open space.

In the exercise of free expression, members of the University community are encouraged to consider the value of mutual respect and the possible impact of that expression on others. Informed, thoughtful, and respectful arguments and exchanges benefit the University community, even and particularly when the disagreement is profound.

The University recognizes that the legitimate exercise of free expression has the potential to shock, anger, intimidate, exclude and contribute to the marginalization of University community members. It can also make it difficult for some people or groups to exercise their own freedom of expression. The University strongly affirms its commitment to diversity, equity and inclusion. Accordingly, it is committed to providing a supportive environment, including counselling and health services, for those who are negatively affected by the exercise of free expression.

The right to free expression is complemented by the rights of freedom of association and assembly. The right to free expression extends to individuals cooperating in groups. University community members have the right to organize groups for any lawful activities and to hold and advertise meetings. They also have the right to engage in peaceful assemblies and demonstrations and to make reasonable use of University facilities in accordance with its policies.

This policy informs the specific details of several other University policies and is reflected in arrangements such as the Code of Student Conduct and the collective agreements between the University and various employee groups. This policy does not modify the University's commitment to academic freedom, for example as set out in the collective agreement between it and the University of Western Ontario Faculty Association and in the terms of employment with members of the Clinical Teachers Association of the University of Western Ontario.

The Ministry of Training, Colleges and Universities requires that a Policy on Freedom of Expression at a University or College must meet a minimum standard that includes the following:

- A definition of freedom of speech
- Principles based on the University of Chicago Statement on Principles of Free Expression:
  - *Universities and colleges should be places for open discussion and free inquiry.*
  - *The university/college should not attempt to shield students from ideas or opinions that they disagree with or find offensive.*
  - *While members of the university/college are free to criticize and contest views expressed on campus, they may not obstruct or interfere with the freedom of others to express their views.*
  - *Speech that violates the law is not allowed.*
- That existing student discipline measures apply to students whose actions are contrary to the policy (e.g., ongoing disruptive protesting that significantly interferes with the ability of an event to proceed).
- That institutions consider official student groups' compliance with the policy as condition for ongoing financial support or recognition, and encourage student unions to adopt policies that align with the free speech policy.
- That the college/university uses existing mechanisms to handle complaints and ensure compliance. Complaints against an institution that remain unresolved may be referred to the Ontario Ombudsman.

**Membership of the Provost's *ad hoc* Committee for Freedom of Expression**

Michael Milde, Dean, Faculty of Arts and Humanities  
Chair

Pam Bishop, Associate Professor and Associate Dean, Education  
President and Provost appointee

Colin Couchman, Director, Cyber Security and Business Services  
PMA appointee

Alison Hearn, Associate Professor, Information & Media Studies  
UWOFA appointee

Michael Lynk, Associate Professor, Law  
President and Provost appointee

Trenea Orchard, Associate Professor, Health Sciences  
UWOFA appointee

Stephen Pitel, Professor, Law  
UWOFA appointee

Mitchell Pratt, President, University Students' Council  
USC appointee

Mary Blake Rose, President, Society of Graduate Students  
SOGS appointee

Samuel Trosow, Associate Professor, Law and Information and Media Studies  
UWOFA appointee

Tiffany Trudgeon, Graduate Affairs Assistant, Education  
UWOSA appointee

- 1.00 In these Procedures, reference to “the Policy” shall mean the Freedom of Expression Policy.
- 2.00 These Procedures apply to complaints of non-compliance with the Policy.
- 3.00 Reference to an “individual” in these procedures shall also include a group of individuals.

### **Complaints**

- 4.00 The University’s Ombudsperson is available for any individual considering a complaint to consult about the Policy and the Procedures and the complaint process available to the individual.
- 5.00 An individual who wishes to make a complaint regarding non-compliance with the Policy may do so as follows:
  - (a) For a complaint against a student or student group, the individual shall file the complaint with the Associate Vice-President (Student Experience) who shall process, investigate and resolve the complaint in accordance with the Code of Student Conduct;
  - (b) For a complaint against an official student association, society or union, the individual shall file the complaint with the Provost and Vice-President (Academic) who shall process, investigate and resolve the complaint in accordance with applicable university policies and practices and government requirements;
  - (c) For a complaint against a faculty member or faculty association, the individual shall file the complaint with the Vice-Provost (Academic Planning) who shall process, investigate and resolve the complaint in accordance with the applicable terms of employment;
  - (d) For a complaint against a staff member or staff association or bargaining unit, the individual shall file the complaint with the Associate Vice-President (Human Resources) who shall process, investigate and resolve the complaint in accordance with the applicable terms of employment; or
  - (e) For a complaint against a guest of the University or member of the public, the individual shall file the complaint with the Provost and Vice-President (Academic) who shall process, investigate and resolve the complaint in accordance with applicable university policies and practices; or
  - (f) For a complaint against the University, the individual shall file the complaint with the Provost and Vice-President (Academic) who shall process, investigate and resolve the complaint in accordance with applicable university policies and practices. In the event that the complaint remains unresolved, the individual may refer the complaint to the Ontario Ombudsman.

**REPORT OF THE PROPERTY AND FINANCE COMMITTEE**

<b>Contents</b>	<b>Consent Agenda</b>
<a href="#">Scholarships, Awards, Prizes</a>	Yes
<a href="#">Report on Underwater Endowments</a>	Yes
<a href="#">Report of the Investment Committee</a>	Yes
<a href="#">Key Financial Indicators</a>	Yes

**FOR INFORMATION**

1. **Scholarships, Awards, Prizes**

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

See [Annex 1](#).

2. **Report on Underwater Endowments**

The Property and Finance Committee received the report on Underwater Endowments for information.

See [Annex 2](#).

5. **Report of the Investment Committee**

The Property and Finance Committee received the Report of the Investment Committee outlining the performance of the Operating and Endowment Portfolio and the recent activities of the Investment Committee.

See [Annex 3](#).

6. **Key Financial Indicators**

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

It was agreed at the Board retreat in 2008 that this report would be brought forward to the Board each year and would reflect the results of the fiscal period ending April 30<sup>th</sup>.

All indicators have been summarized and are accompanied by brief explanations of each indicator and how it is utilized.

See [Annex 4](#).

## New Scholarships and Awards

### FOR INFORMATION

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

#### Dr. Gérard Hébert Scholarship in Physics (Physics and Astronomy)

Awarded annually to full-time undergraduate students in third or fourth year of any module in Physics, based on academic achievement, commitment to research and community service. Applications may be obtained from the Department of Physics and Astronomy and must be submitted by September 30, with a maximum one-page statement that describes the student's research experience and community service. The Department of Physics and Astronomy will select one recipient in third year and one recipient in fourth year. This scholarship was established by a gift from Dr. Gérard Hébert (PhD '60).

Value: 2 at \$1,700

Effective Date: 2018-2019 academic year

#### Deral Johnson Legacy Award in Choral Music Conducting (Music)

Awarded annually to an undergraduate student in Year 2, 3 or 4 or a graduate student in the Don Wright Faculty of Music, who has strong academic achievements, and excels in choral music leadership. Candidates must complete a one-page statement outlining their plans for further education involving choral music or conducting by September 30th to the Dean's Office in the Don Wright Faculty of Music. Nominations by peers and/or faculty can also be submitted by September 30th to the Dean's Office. The scholarship committee in the Don Wright Faculty of Music will select the recipient. This award was established through generous donations from former students, friends and family of Professor Deral Johnson.

*Professor Deral Johnson was an influential choir conductor and educator. Under his 22 years of leadership, Western's choral area developed into one of the highest-achieving programs in the country. He conducted the 40-voice mixed choir, with distinction, winning numerous awards and influencing choir conductors and educators nationally and internationally until his retirement in 1991. Marie Johnson alongside her husband, Deral, was the calming and guiding presence, who accompanied the choirs and taught piano to many students. This award confirms the commitment to excellence in choral conducting as reflected in the legacy of Deral and Marie Johnson. Professor Deral Johnson died in 2010 at the age of 83.*

Value: 1 at \$1,000

Effective Date: 2018-2019 academic year

#### Michael Baldinelli Memorial Award in Engineering (Engineering)

Awarded annually to a full-time undergraduate student in Year 2 in the Civil Engineering program, based on demonstrated financial need and involvement in extracurricular and/or community activities. Online financial need applications are available through Student Center and are due by September 30. A separate award application must also be completed online through the Engineering Undergraduate Services' website including details regarding the student's extracurricular and/or community involvement (<http://www.eng.uwo.ca/undergraduate>) and submitted by September 30. The recipient will be selected by the Undergraduate Awards Committee in the Faculty of Engineering after the Registrar's Office has assessed financial need. This award will continue for up to four years (for those students registered in a concurrent degree program), as long as the student continues to maintain a 70% average and demonstrated financial need. Only one student will hold this award during any year. This award was established by Strik, Baldinelli Moniz Ltd in memory of Michael Baldinelli, the President of Strik, Baldinelli Moniz Ltd.

*Michael Baldinelli graduated with a Bachelor of Engineering Science degree in Civil Engineering from*

*Western in 1997 and a Masters of Engineering Science in 1999. Michael was a mentor to many young engineers in the London community and always brought the best out of each engineer he mentored. He believed in empowering the people around him, not only encouraging them to be the best professional they could be, but also to be stewards of their community. This award has been created to continue that legacy. Michael Baldinelli was the President and one of the founders of Strik, Baldinelli Moniz Ltd. Sadly, Michael died in 2018 at the age of 46.*

Value: 1 at \$7,500

Effective Date: 2018-2019 to 2021-2022 academic years (with a review to follow after this)

Konrad Group Digital Innovation Scholarship (Engineering)

Awarded annually to a full-time undergraduate student enrolled in third or fourth year in the Department of Electrical and Computer Engineering or in the concurrent Engineering and Computer Science program, based on academic achievement (minimum 80% average) and a career interest in technology. An online application outlining the candidate's interest in pursuing a career in technology must be submitted through the Engineering Undergraduate Services website (<http://www.eng.uwo.ca/undergraduate>) by September 30th. The recipient will be selected by the Undergraduate Awards Committee in the Faculty of Engineering. This award was established by Konrad Group.

Value: 1 at \$2,000

Effective Date: 2018-2019 to 2020-2021 academic years inclusive

Konrad Group Women in Technology Scholarship (Engineering)

Awarded annually to a full-time undergraduate female student enrolled in third or fourth year in the Department of Electrical and Computer Engineering or in the concurrent Engineering and Computer Science program, based on academic achievement (minimum 80% average) and a career interest in technology. An online application outlining the candidate's interest in pursuing a career in technology must be submitted through the Engineering Undergraduate Services website (<http://www.eng.uwo.ca/undergraduate>) by September 30th. The recipient will be selected by the Undergraduate Awards Committee in the Faculty of Engineering. This award was established by Konrad Group.

Value: 1 at \$2,000

Effective Date: 2018-2019 to 2020-2021 academic years inclusive

Dr. Michael Ott and Ott Family Award in Medicine (Schulich School of Medicine & Dentistry)

Awarded annually to a full-time undergraduate Doctor of Medicine (MD) student entering fourth year, based on academic achievement and demonstrated financial need. Online financial assistance applications are available through Student Center and must be submitted by September 30th. Preference will be given to a student who is planning to specialize in general surgery and/or oncology. Students are asked to submit an online application which includes a one-page statement outlining their interest in general surgery and/or oncology to the Undergraduate Medical Education Office by October 31. The recipient will be selected by a Committee composed of members from the Department of Medicine with the approval of the Progression & Awards Committee in the Schulich School of Medicine & Dentistry after the Office of the Registrar has assessed financial need. This award was made possible by a generous donation from Dr. Michael Ott (MD '01) and his family.

*Dr. Michael Ott graduated as a Medical Doctor from Western University in 2001. He completed his Residency at Western in 2006 and his Fellowship at Michigan State University. He is currently working as an Associate Professor in both the departments of Surgery & Surgical Oncology, LHSC, London, ON.*

Value: 1 at \$1,500

Effective Date: 2018-2019 to 2022-2023 academic years inclusive

Sunstar Award for Clinical Proficiency (Oral Systemic Link) (Schulich School of Medicine & Dentistry)  
Awarded annually to a third or fourth year undergraduate student in the Doctor of Dentistry (DDS) program who exhibits the highest degree of clinical proficiency when speaking with patients about the oral systemic link. Students in the first or second year of the International Trained Dentists program (ITD) are also eligible. Nominations from faculty must be submitted to the Director's Office in Dentistry by March 31st, with final selection made by the Examinations and Progression Committee in Dentistry at the Schulich School of Medicine & Dentistry. This award was established through the generosity of Sunstar Americas Inc.

Value: 1 at \$1,500  
Effective Date: 2018-2019 to 2022-2023 academic years inclusive

Dr. Chris Kan of British Columbia Dental Bursary (Schulich School of Medicine & Dentistry)  
Awarded annually to an undergraduate student in any year of the Doctor of Dental Surgery (DDS) program who has demonstrated financial need and is a non-resident of Ontario. Preference will be given to a student from British Columbia. Online financial need assistance applications must be submitted through Student Center by October 31st. The Office of the Registrar will select the recipient. The bursary was established with a generous donation from Dr. Chris Kan (DDS '98), originally from British Columbia.

Value: 1 at \$2,000  
Effective Date: 2018-2019 to 2022-2023 academic years inclusive

Donald K. Johnson MBA Scholarship (Ivey Business School)  
Awarded annually to full-time students entering the Master of Business Administration Program at the Ivey Business School, based on academic achievement and demonstrated community leadership. Final selection of the recipients will be made by the MBA Scholarship Review Committee with at least one member of the selection committee holding membership in the School of Graduate and Postdoctoral studies. Recipients will be notified at the time of acceptance into the program. This scholarship was established by Donald K. Johnson, O.C., (MBA '63, LLD '07).

Value: 4 at \$31,250  
Effective Date: May 2020 to April 2029

**Report on Underwater Endowments**

**FOR INFORMATION**

The University’s policy with respect to the management of endowments permits a temporary draw down of endowment capital outlined in policy number 2.11, as follows:

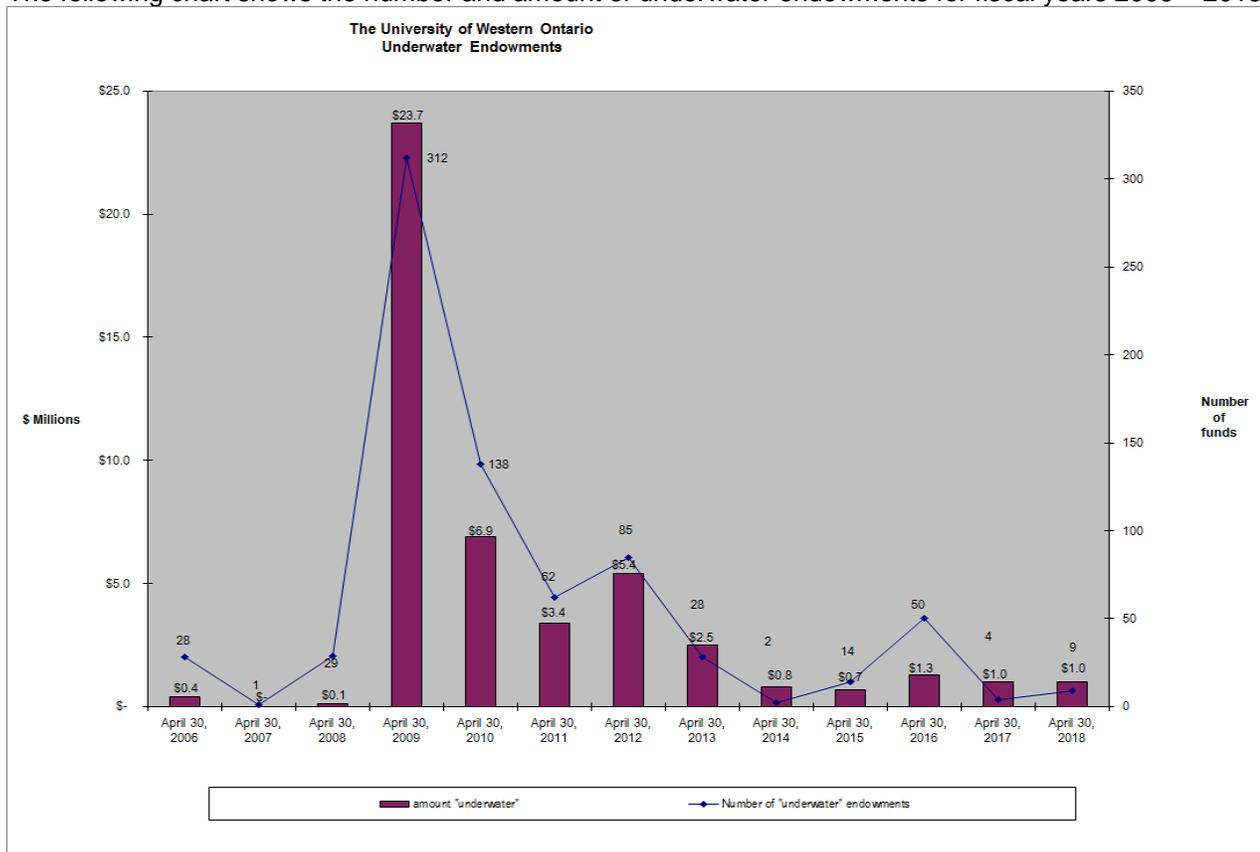
“In any particular year, should accumulated investment returns be insufficient to fund the amount made available for spending, endowment capital will be used, with the expectation that such amounts will be recovered from future investment returns.”

An endowment becomes underwater when the current market value of the fund is less than the original donated amount.

After a relatively quiet year in calendar 2017, when the S&P 500 posted positive returns every month of the year in local currency and achieved the lowest annual volatility since the inception of the index in 1926, volatility struck back in early 2018. This had a negative impact on market returns for the fiscal year ending April 30th, 2018, although most equity markets posted positive returns. The Operating and Endowment Fund generated a 6.3% return net of fees for fiscal 2018.

Western now administers 2,077 endowed accounts with a market value of \$746 million (\$678 million at April 2017). Of the 2,077 endowments, there are 9 that are underwater by a total of \$1,040,928 (.140% of the endowed market value). Two of those are part of the Schulich group of endowments and are underwater by \$1,024,928 (.137% of the endowed market value). These endowments are administered outside of Investment Payout Policy 2.11. The balance of \$16,000 is spread over 7 endowments and represents only .002% of the total endowment value.

The following chart shows the number and amount of underwater endowments for fiscal years 2006 – 2018



Fiscal 2019 is off to a good start with the Operating & Endowment portfolio earning 4.13% to September 30, 2018.

## Report of the Investment Committee

### FOR INFORMATION

This report outlines the performance of the Operating and Endowment portfolio and the recent activities of the Investment Committee.

### Performance

The performance of the portfolio for the past four years was as follows:

<u>Asset Class</u>	Annual June 2018	Annual June 2017	Annual June 2016	Annual June 2015	Annualized for Four years Ending June 2018
<b>Equities:</b>					
Canadian	12.39%	13.18%	2.44%	3.30%	7.71%
US	14.00	15.94	3.50	17.48	12.59
Non North American	8.33	26.53	-9.74	12.76	8.68
Private	18.88	19.23	12.36	25.86	18.98
<b>Fixed Income</b>	1.80	0.79	5.09	6.26	3.46
<b>Real Estate</b>	8.36	8.26	6.94	7.68	7.81
<b>Absolute Return Strategies</b>	8.52	8.81	9.18	8.92	8.86
<b>Infrastructure</b>	9.48	13.40	18.82	12.28	13.44
<b><i>Total Fund Return</i></b>	<u>9.15%</u>	<u>14.10%</u>	<u>2.15%</u>	<u>10.25%</u>	<u>8.83%</u>
<b><i>Policy Return</i></b>	<u>8.89%</u>	<u>11.89%</u>	<u>1.00%</u>	<u>7.51%</u>	<u>7.25%</u>

### Returns in Relation to the Real Rate of Return Objective

One of the Investment Committee's objectives is to earn a 4% real rate of return over the long term (i.e., to earn 4% over the rate of inflation, as measured by the Consumer Price Index). Inflation has averaged 1.5% per year for the four year period and 1.5% per year for the ten year period.

For the four years ending June 30, 2018, the annualized real rate of return was 7.3%. For ten years ending June 30, 2018, the annualized real rate of return for the portfolio was 6.4%.

### Value added by Active Management

Another of the Investment Committee's objectives is to earn the return produced by the asset mix policy based on the returns of the market indices plus a premium to reflect the additional fees related to active management.

Over the four years ending June 30, 2018, the actual annualized return for the portfolio was 8.8% and the return generated by the market indices for the portfolio was 7.3% (the policy return). Over the ten years ending June 30, 2018, the actual annualized return for the portfolio was 7.8% and the return generated by the market indices for the portfolio was 6.8%. The objective was met for both of these periods.

Please refer to the attached pages for additional information related to total fund value added and the real returns for periods ending June 30, 2018.

The table below provides the classifications and market value of the assets held at June 30, 2018:

	Market Value	Target Asset Mix			Actual Asset Mix
		Minimum	Target	Maximum	
<b>Equities</b>					
<i>Canadian</i>	275,287,264	15.0%	20.0%	25.0%	20.3%
<i>US</i>	216,890,340	15.0%	20.0%	25.0%	16.0%
<i>EAFE</i>	313,742,760	15.0%	20.0%	25.0%	23.2%
<i>Private</i>	78,097,700	0.0%	5.0%	10.0%	5.7%
<b>Total Equities</b>	<b>884,018,064</b>	<b>60.0%</b>	<b>65.0%</b>	<b>70.0%</b>	<b>65.2%</b>
<b>Fixed Income</b>					
<i>Core Fixed Income</i>	125,505,238	5.0%	10.0%	30.0%	9.2%
<i>Commercial Mortgages</i>	67,208,422	0.0%	5.0%	10.0%	5.0%
<b>Total Fixed Income</b>	<b>192,713,660</b>	<b>10.0%</b>	<b>15.0%</b>	<b>35.0%</b>	<b>14.2%</b>
<b>Real Assets</b>					
<i>Real Estate</i>	66,098,466	0.0%	5.0%	10.0%	4.9%
<i>Infrastructure</i>	143,452,996	5.0%	10.0%	15.0%	10.6%
<b>Total Real Assets</b>	<b>209,551,462</b>	<b>5%</b>	<b>15%</b>	<b>20%</b>	<b>15.5%</b>
<b>Diversifiers</b>					
<i>Cash</i>	41,114,607	0.0%	0.0%	10.0%	3.0%
<i>Absolute Return Strategies, Market Neutral Strategies</i>	32,011,353	0.0%	5.0%	10.0%	2.4%
<b>Total Diversifiers</b>	<b>73,125,960</b>	<b>0%</b>	<b>5%</b>	<b>15%</b>	<b>5.4%</b>
<b>SSgA Dynamic Strategic Hedging</b>	<b>(4,534,033)</b>				<b>-0.3%</b>
<b>Grand Total</b>	<b>1,354,875,113</b>				<b>100.0%</b>

The following chart summarizes the total investments held at June 30, 2018:

Investment Portfolio	Value Invested
<b>Short term</b>	<b>370.3</b>
Operating:	
Obligations	325.0
Surplus	295.1
Total Operating	620.1
Endowed	734.8
<b>Total Operating &amp; Endowed Portfolio</b>	<b>1,354.9</b>
<b>Segregated Investment</b>	<b>2.0</b>
<b>Total Investments</b>	<b>1,727.2</b>

**Update on Investment Committee Activities**

- The Asset mix was reviewed and in light of asset class ranges and market conditions the Committee was in support of rebalancing the portfolio, reducing the equity exposure and directing it to a new short term bond strategy.
- The review of our investment consulting services was a focus. The Committee has made progress in determining the best solution for Western in terms of providing assistance for private markets, public markets and general consulting services.
- The Working Group on Responsible Investing has continued to work on the Terms of Reference. A draft should be ready for Investment Committee review and approval at the December 2018 meeting.

# UWO Operating - Combined

## Total Fund Real Returns – June 30, 2018

A Real Return of 7.3% over the last 4 years and well above the 4% Real Objective in all annualized time periods

	1 Year	2 Years	3 Years	4 Years	5 Years	6 Years	7 Years	8 Years	9 Years	10 Years	20 Years
UWO Annualized Returns	9.2	11.6	8.4	8.8	11.0	11.5	10.0	10.6	10.4	7.8	6.8
CPI (Inflation)	2.5	1.7	1.7	1.5	1.7	1.6	1.6	1.8	1.7	1.5	1.9
Real Return	6.7	9.9	6.7	7.3	9.3	9.9	8.4	8.8	8.7	6.4	4.9
	Yr Ending 6/30/2018	Yr Ending 6/30/2017	Yr Ending 6/29/2016	Yr Ending 6/30/2015	Yr Ending 6/30/2014	Yr Ending 6/30/2013	Yr Ending 6/29/2012	Yr Ending 6/30/2011	Yr Ending 6/30/2010	Yr Ending 6/30/2009	
UWO Annual Returns	9.2	14.1	2.2	10.3	20.1	14.2	1.0	15.0	8.6	-12.4	
CPI (Inflation)	2.5	1.0	1.5	1.0	2.4	1.2	1.5	3.1	1.0	-0.3	
Real Return	6.7	13.1	0.7	9.2	17.7	13.0	-0.5	11.9	7.7	-12.1	

# UWO Operating - Combined

## Total Fund Value Added – June 30, 2018

Good value added from active management in all annualized time periods beyond the last year!

	1 Year Annualized	2 Years Annualized	3 Years Annualized	4 Years Annualized	5 Years Annualized	6 Years Annualized	7 Years Annualized	8 Years Annualized	9 Years Annualized	10 Years Annualized
UWO Annualized Return (1)	9.2	11.6	8.4	8.8	11.0	11.5	10.0	10.6	10.4	7.8
Policy Return (2)	8.9	10.4	7.2	7.3	9.3	9.9	8.5	9.3	9.3	6.8
Value Added	0.3	1.2	1.2	1.6	1.7	1.6	1.5	1.2	1.1	1.0

	Yr Ending 6/30/2018	Yr Ending 6/30/2017	Yr Ending 6/29/2016	Yr Ending 6/30/2015	Yr Ending 6/30/2014	Yr Ending 6/30/2013	Yr Ending 6/29/2012	Yr Ending 6/30/2011	Yr Ending 6/30/2010	Yr Ending 6/30/2009
UWO Annual Return (1)	9.2	14.1	2.2	10.3	20.1	14.2	1.0	15.0	8.6	-12.4
Policy Return (2)	8.9	11.9	1.0	7.5	18.1	12.6	0.4	15.4	8.6	-12.8
Value Added	0.3	2.2	1.2	2.7	2.0	1.5	0.6	-0.5	0.0	0.4

### Policy Mix as of June 30

S&P/TSX Composite	20%	20%	20%	20%	20%	20%	20%	20%	20%	20%
S&P 500	6%	5%	5%	5%	5%	5%	5%	5%	5%	5%
S&P 500 Hedged Currency	4%	6%	11%	11%	11%	11%	11%	11%	11%	10%
Russell 3000	6%	6%	0%	0%	0%	0%	0%	0%	0%	0%
S&P 400 Hedged Currency	5%	4%	4%	4%	4%	4%	4%	4%	4%	5%
MSCI EAFE	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%
MSCI EAFE Hedged Currency	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%
Total Equity	60%	60%	60%	60%	60%	60%	60%	60%	60%	60%
FTSE TMX Bond Universe (3)	18%	18%	18%	18%	25%	25%	25%	40%	40%	40%
MSCI All Country World (ACWI)	5%	5%	5%	5%	5%	5%	5%	0%	0%	0%
90-Day LIBOR	3%	3%	3%	3%	5%	5%	5%	0%	0%	0%
Infrastructure (CPI + 5)	10%	10%	10%	10%	0%	0%	0%	0%	0%	0%
Real Estate (4)	5%	5%	5%	5%	5%	5%	5%	0%	0%	0%

### Notes:

(1) All returns are before deducting investment managers' fees.

(2) The UWO Policy Return is the return that would have been earned (before investment managers' fees) by investing the portfolio in index funds in proportion to the target or policy asset mix.

(3) Currently allocation is 10% FTSE TMX Bond Universe, 5% using a combination of (60% FTSE TMX ST / 40% FTSE TMX MT), and 2.5% FTSE TMX ST Bond Index. Includes hedge fund and private equity prior to July 2010

(4) Current 5% allocation consists of 2.5% REALpac / IPD Canada All Property Index and 2.5% REALpac / IPD Canada All Industrials Index

### **Key Financial Indicators as of April 30, 2018**

#### **FOR INFORMATION**

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

It was agreed at the Board retreat in 2008 that this report would be brought forward to the Board each year and would reflect the results of the fiscal period ending April 30<sup>th</sup>.

All indicators have been summarized on the attached template accompanied by brief explanations of each indicator and how it is utilized in [Appendix 1](#).

FIDUCIARY RESPONSIBILITY - KEY FINANCIAL INDICATORS

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
<b>POLICY COMPLIANCE</b> Capital Debt Policy 2.30	Quarterly Report on Capital Debt (P&F - September, January, March, June)	<b>Compliance Ratios:</b> Net Assets-to-Debt Ratio Debt Burden <b>Monitoring Ratios:</b> Debt per FTE Student Debt to Revenues available for repayment Floating rate debt between 0% - 50% of total debt	> 0.5X 5% 45% 0-50%	Actual at April 30/18:
				2.2 2.2% \$ 11,369 36% 0%
Ratio on Non-endowed Funds (also an indicator of Financial Health)	Quarterly Ratio Report on Non-Endowed Funds (P&F - September, January, March, June) (Investment Committee)	Target Ratio of Investments to Obligations	1.08	1.92
<b>FINANCIAL HEALTH / SUSTAINABILITY</b>				
Credit Rating	Annual	External credit rating - Standard & Poor's	AA Stable	AA Stable: February 2018
<b>Financial Sustainability Metrics (NEW)</b>				
Net Income/Loss Ratio	SMA - Annual	2016-17 10.9%	2017-18	10.5%
Net Operating Revenues Ratio	SMA - Annual	2016-17 17.6%	2017-18	14.7%
Primary Reserve Ratio (days)	SMA - Annual	2016-17 232	2017-18	273
Interest Burden Ratio	SMA - Annual	2016-17 1.2%	2017-18	1.3%
Viability Ratio	SMA - Annual	2016-17 265.6%	2017-18	232.1%
<b>STEWARDSHIP &amp; MONITORING</b>				
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	\$81.5
Deferred Maintenance	Annual Budget (P&F - April)	Comparison annually to 2% target	2%	Budget 2.5%
Report on Endowments	Annual (P&F - October)	Endowment Performance Endowment per FTE  Rank of Endowment/FTE per CAUBO Investment Survey Rank - Endowments > \$100M per CAUBO Investment Survey	4% \$19,598 at 12/31/16 24 9	One year 6.3% \$23,673 at 12/31/17 19 8

<b>STEWARDSHIP &amp; MONITORING (Continued)</b>				
Report of the Investment Committee	Quarterly <i>(P&amp;F - September, January, March, June)</i>	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 <i>(based on notes to the Financial Statements)</i>	2017 \$473.5M	\$495.3

<b>TYPE OF INDICATOR</b>	<b>FREQUENCY &amp; REPORT</b>	<b>PERFORMANCE MEASURE</b>	<b>TARGET/ MAXIMUM</b>	<b>OUTCOME</b>
<b>PERFORMANCE</b>				
Financial Report (Operating Budgets)	Quarterly <i>(P&amp;F - September, January, March, June)</i>	Performance - Actual versus budget for Operating Budgets Surplus/(Deficit)	\$12.6M	\$13.8M
Statutory Financial Statements - Combined	Annual <i>(P&amp;F - September)</i>	Excess of revenues over expenses (expenses over revenues)	2017 \$139.9M	\$131.6M
		Carryforward Reserve	2017 \$166.8M	\$186.2M
		Operating Reserve	\$7.5M	\$81.5
Ancillary Financial Report	Semi-Annual <i>(P&amp;F - January, June)</i>	Budget versus actual revenues and expenses for Student Fee Funded units, Ancillaries, Academic Support Units and Associated Companies Surplus/(Deficit)	\$7.8M	\$12.9M
Fundraising	Quarterly <i>Development &amp; Fundraising Committee Property &amp; Finance Committee</i>	Performance against fundraising targets	2016-17 2017-18	\$57.0M
				\$70.1M

## **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 quarterly 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 Quarterly 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 quarterly 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, 2018, the ratio of investments to obligations for non-endowed funds was 1.92. 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 21, 2018, 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 sound financial performance
- Healthy 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 Advanced Education and Skills Development (MAESD) (previously the Ministry of Training, Colleges and Universities (MTCU)) expressed a desire to develop indicators across several areas, including financial sustainability, as outlined in the SMA template. In spring 2015, MAESD asked 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 MAESD 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 MAESD 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 proposed 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 MAESD

#### 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.

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

	12-13	13-14	14-15	15-16	16-17	17-18
McMaster	6.5%	8.9%	7.9%	3.0%	11.8%	
Ottawa	-0.2%	6.2%	6.2%	-1.4%	4.5%	
Ryerson	7.5%	7.4%	3.4%	6.3%	5.1%	
Toronto	5.4%	7.5%	10.1%	7.2%	13.0%	
Waterloo	6.2%	5.6%	3.2%	3.6%	5.4%	
Western	6.6%	7.9%	6.6%	4.0%	10.9%	10.5%
York	-0.3%	0.4%	2.0%	2.2%	3.3%	
<b>Average by Group (Large)</b>	<b>4.5%</b>	<b>6.3%</b>	<b>5.6%</b>	<b>3.6%</b>	<b>7.7%</b>	
<b>Sector Average</b>	<b>3.7%</b>	<b>4.8%</b>	<b>3.5%</b>	<b>2.5%</b>	<b>5.1%</b>	

### 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.

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

	12-13	13-14	14-15	15-16	16-17	17-18
McMaster	102	120	130	176	205	
Ottawa	126	133	143	115	122	
Ryerson	61	85	54	60	57	
Toronto	140	137	160	166	193	
Waterloo	144	146	139	141	143	
Western	148	173	190	205	232	273
York	70	96	106	105	117	
<b>Average by Group (Large)</b>	<b>113</b>	<b>127</b>	<b>132</b>	<b>138</b>	<b>153</b>	

<b>Sector Average</b>	<b>75</b>	<b>87</b>	<b>92</b>	<b>94</b>	<b>106</b>	
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### 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.

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

	12-13	13-14	14-15	15-16	16-17	17-18
McMaster	167.8%	198.8%	220.7%	167.0%	202.2%	
Ottawa	177.2%	198.5%	219.5%	185.5%	93.5%	
Ryerson	37.2%	59.8%	41.1%	48.1%	51.8%	
Toronto	128.1%	129.8%	154.9%	170.7%	206.6%	
Waterloo	1299.4%	783.3%	873.8%	1281.1%	3518.7%	
Western	133.9%	169.6%	194.6%	219.5%	265.6%	232.1%
York	62.8%	66.3%	72.1%	73.3%	68.2%	
<b>Average by Group (Large)</b>	<b>286.6%</b>	<b>229.4%</b>	<b>253.8%</b>	<b>306.5%</b>	<b>629.5%</b>	

<b>Sector Average</b>	<b>130.6%</b>	<b>119.7%</b>	<b>134.2%</b>	<b>154.7%</b>	<b>277.8%</b>	
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### 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).

$$\text{Interest Burden Ratio} = \frac{\text{Interest Expense}}{\text{Total Expenses - Depreciation}}$$

	12-13	13-14	14-15	15-16	16-17	17-18
McMaster	1.1%	1.0%	1.0%	1.2%	1.5%	
Ottawa	1.3%	1.3%	1.2%	1.2%	1.5%	
Ryerson	1.8%	1.8%	1.6%	1.7%	1.5%	
Toronto	1.7%	1.6%	1.6%	1.5%	1.5%	
Waterloo	0.2%	0.2%	0.2%	0.1%	0.1%	
Western	1.4%	1.2%	1.7%	1.3%	1.2%	1.3%
York	2.0%	2.1%	2.5%	2.4%	2.6%	
<b>Average by Group (Large)</b>	<b>1.4%</b>	<b>1.3%</b>	<b>1.4%</b>	<b>1.4%</b>	<b>1.4%</b>	

<b>Sector Average</b>	<b>2.5%</b>	<b>2.4%</b>	<b>2.3%</b>	<b>2.3%</b>	<b>2.2%</b>	
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### 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 in 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).

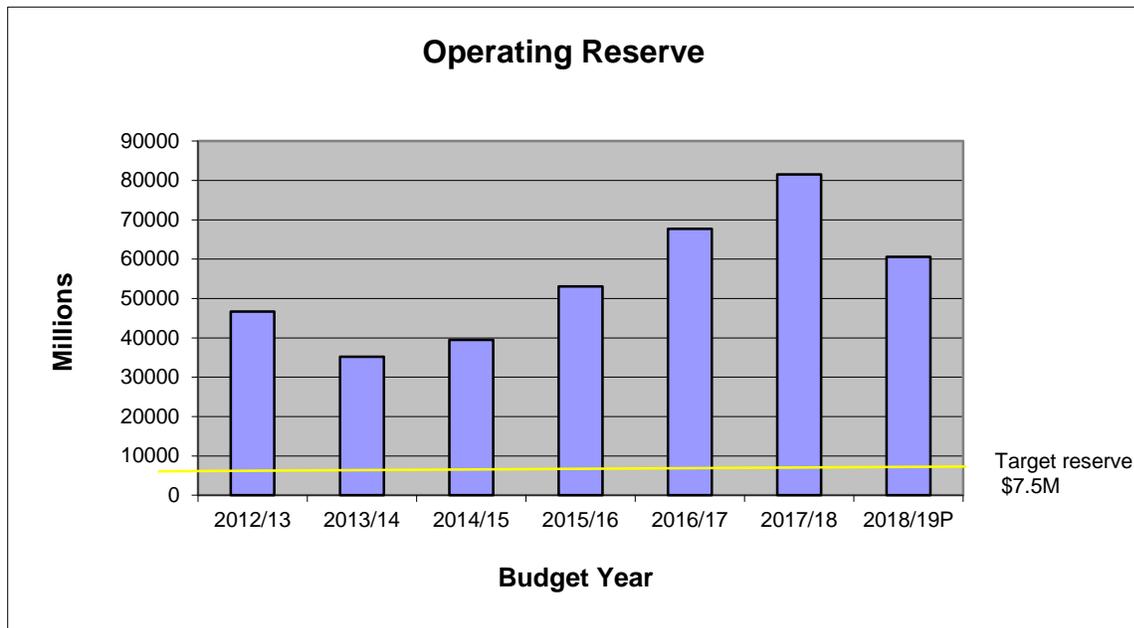
$$\text{Net Operating Revenues Ratio} = \frac{\text{Cash Flow from Operating Activities}}{\text{Total Revenues}}$$

	12-13	13-14	14-15	15-16	16-17	17-18
McMaster	7.6%	12.5%	14.7%	7.1%	14.5%	
Ottawa	7.3%	7.9%	8.6%	6.4%	2.4%	
Ryerson	6.4%	11.3%	8.1%	10.9%	9.1%	
Toronto	9.1%	7.9%	12.9%	11.6%	12.8%	
Waterloo	5.4%	5.4%	8.3%	5.1%	7.1%	
Western	13.5%	12.2%	13.3%	9.6%	17.6%	14.7%
York	6.3%	4.9%	6.5%	4.1%	4.1%	
<b>Average by Group (Large)</b>	<b>7.9%</b>	<b>8.9%</b>	<b>10.4%</b>	<b>7.8%</b>	<b>9.7%</b>	

<b>Sector Average</b>	<b>7.1%</b>	<b>8.0%</b>	<b>7.5%</b>	<b>6.6%</b>	<b>9.0%</b>	
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### OPERATING RESERVE

The Board of Governors has set a minimum level for the operating reserve at \$7.5M for the current four-year planning cycle. The 2018/19 operating and capital budgets project the operating reserve at \$60.6 M at April 30, 2019.



### 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 \$52.1M to maintenance expenditures in 2018-19, representing 2.5% 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 (MTCU).

## 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, 2018 was \$746.5M, an increase of \$67.5M or about 10%.

## 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, 2017

**Annualized returns for periods ending December 31, 2017**

	1-Yr	2-Yr	3-Yr	4-Yr	5-Yr	10-Yr
S&P/TSX	9.10%	14.93%	6.59%	7.57%	8.63%	4.65%
S&P 500 (in CAD)	13.83%	10.92%	14.37%	16.69%	21.24%	11.12%
MSCI EAFE (in CAD)	17.36%	7.25%	11.17%	9.37%	13.48%	4.90%
FTSE TMX Bond Universe	2.52%	2.09%	2.56%	4.09%	3.01%	4.67%
FTSE TMX 91-Day T-Bills Index	0.55%	0.53%	0.57%	0.65%	0.72``%	1.01%

With the positive market returns of 2017, new gifts and net of the allocation for spending, there was positive growth in our endowments.

### Total Endowments

As of December 31, 2017, Western had endowments of \$735.5 million. Western has the 8<sup>th</sup> largest Canadian university endowment, which is up one spot from last year. With total assets in the Operating

& Endowment Fund of \$1,324 million at the end of 2017, Western is in 5th place when all assets are reported.

The following table compares the 10 largest Canadian university endowments at the end of 2017 and 2016. Over the last five years, Western endowments have grown by 13.5% compounded annually, which puts Western in 5<sup>th</sup> place among all Canadian universities.

**Ten Largest Canadian University Investment Pools  
As of December 31, 2017**

	University	Endowment Value (millions)		% Change
		2017	2016	
1	Toronto	\$2,537	\$2,290	11%
2	British Columbia	\$1,826	\$1,583	15%
3	McGill	\$1,632	\$1,553	5%
4	Alberta	\$1,376	\$1,263	9%
5	Queen's	\$1,071	\$985	9%
6	Calgary	\$947	\$849	12%
7	McMaster	\$781	\$702	11%
8	Western University	\$736	\$623	18%
9	Manitoba	\$719	\$663	8%
10	Dalhousie	\$618	\$575	7%
Average change:				11%

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 was \$354 million in total assets (including both endowment and operating assets) in 2016. The table below compares Western returns with those of the universities in the same group. Western's returns were above median over every investment horizon and in the first quartile over horizons of one to four years. Compared to the entire universe of university endowments, Western's returns are in the first quartile over all investment horizons.

**CAUBO Universe of the Largest University Investment Pools  
Annualized Return as of December 31, 2017**

	1-Yr	2-Yr	3-Yr	4-Yr	5-Yr	10-Yr
95 <sup>th</sup> Percentile	12.9%	10.6%	9.9%	10.2%	12.6%	8.5%
75 <sup>th</sup> Percentile	11.3%	10.1%	9.1%	9.6%	11.8%	7.3%
Median	9.7%	9.1%	8.6%	9.5%	11.2%	7.0%
25 <sup>th</sup> Percentile	9.0%	8.7%	7.8%	8.5%	10.5%	6.7%
5 <sup>th</sup> Percentile	7.5%	6.1%	7.0%	7.7%	9.3%	5.3%
<b>Western</b>	<b>11.8%</b>	<b>10.1%</b>	<b>9.2%</b>	<b>9.8%</b>	<b>11.7%</b>	<b>7.2%</b>

## EMPLOYEE FUTURE BENEFITS

### Employee Future Benefits – Obligation and Expense As a Percent of Total Expenditures 2013 through 2018

	<u>Obligation</u>	<u>Expense</u>	<u>Total Expenses</u>	<u>Obligation %</u>	<u>Expense %</u>
	(in millions)	(in millions)	(in millions)		
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%
2013	\$345.8	\$21.7	\$ 1,010	34.2%	2.1%

## 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 quarterly 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.

**REPORT OF THE GOVERNANCE & BY-LAWS COMMITTEE**

Contents	Consent Agenda
Principles of Engagement (formerly Responsibilities) for Members of the Board of Governors	No
Principles of Engagement for the Board Chair	No
Amendments to Special Resolution No. 10 – President & Vice-Chancellor	Yes
Amendments to Special Resolution No. 3 – Banking	Yes
Board Election Schedule for Spring 2019	Yes

FOR APPROVAL

1. **Principles of Engagement (formerly Responsibilities) for Members of the Board of Governors**

**Recommended:** That the Board of Governors approve the Principles of Engagement for Members of the Board of Governors, as shown in [Annex 1](#).

**Background:**

The Principles of Engagement for Members of the Board of Governors, as detailed in [Annex 1](#), are intended to replace the Responsibilities of Board Members Statements enacted by the Board in 1997. It is proposed that the statements are described as “Principles of Engagement” to ensure that they are considered within the legal framework established by the University of Western Ontario Act (UWO Act) and the Board’s By-laws. These Principles establish a framework of commitment, by which all Board members agree to undertake their responsibilities and conduct their actions as members of the Board.

2. **Principles of Engagement for the Board Chair**

**Recommended:** That the Board of Governors approve the Principles of Engagement for the Board Chair, as shown in [Annex 2](#).

**Background:**

The Principles of Engagement for the Board Chair, as detailed in [Annex 2](#), establish a framework of commitment, by which the Board Chair agrees to undertake his/her responsibilities and conduct his/her actions as Chair of the Board of Governors.

3. **Amendments to Special Resolution No. 10 – President & Vice-Chancellor**

**Recommended:** That the Board of Governors approve the revisions to Special Resolution No. 10 – President & Vice-Chancellor, as shown in [Annex 3](#).

**Background:**

Minor changes are proposed to highlight the President & Vice-Chancellor’s role in regards to (i) the service mission of the University, and (ii) strategic leadership.

FOR INFORMATION

4. **Amendments to Special Resolution No. 3 – Banking**

Administrative changes were made to Special Resolution No. 3 – Banking, as shown in [Annex 4](#), to reflect changes in titles for the Associate Vice-President (Financial Services) and Financial Officer, Endowed & Restricted Funds.

5. **Board Election Schedule for Spring 2019**

The Board Election Schedule for Spring 2019 is provided for information in [Annex 5](#).

## PRINCIPLES OF ENGAGEMENT FOR MEMBERS OF THE BOARD OF GOVERNORS

**Effective Date:** \*

**Revised:** \*

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The following describes the individual roles and responsibilities of members of the Board of Governors (“Governors”).

### ROLE

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

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

### DUTIES AND RESPONSIBILITIES

Governors must:

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

## MEMBERS OF THE BOARD OF GOVERNORS

More specifically, Governors are responsible for the following:

### **Oversight**

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

### **Outreach**

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

### **Bicameral Governance**

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

### **Board Development and Evaluation**

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

### **Preparation**

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

### **Attendance and Participation**

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

### **Exercise of Due Diligence**

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

### **Key Principles of Ethical Conduct**

Governors must demonstrate a commitment to the highest ethical standards. Consistent with the University's values, including academic freedom, collegiality and civil discourse, the following principles are intended to complement other applicable statutes, policies, guidelines and other materials within the University to guide considerations and conduct. They are not intended to be static, encompassing rules.

## MEMBERS OF THE BOARD OF GOVERNORS

### **Respect for Others**

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

### **Conflict of Interest**

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

A conflict can arise when one's position on the Board can reasonably be seen to unfairly advance one's own personal benefit involving:

- Business or financial interests;
- Employment;
- Family; or
- Personal relations.

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

### **Confidentiality**

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

### **Communication**

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

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

### **SKILLS AND KNOWLEDGE**

Governors should have the following skills and knowledge:

- Familiarity with budgets and budgeting and the importance of ensuring the financial health of the institution;
- Ability to quickly and objectively assess and analyze information in order to reach decisions;
- Understanding of the communities in which the University operates;
- Appreciation of requirements for working as a team;
- Understanding the broad context and perspective for Board decision making;
- Understanding of how large organizations function, preferably in a unionized setting;
- Understanding the need for longer term strategic planning to ensure the continued renewal and assessment of the role and mission of an organization;

## MEMBERS OF THE BOARD OF GOVERNORS

- Understanding the University in the context of the full range of educational opportunities provincially, nationally and internationally;
- Understanding the need for the University to operate within the perspective of a global economic and learning environment;
- Ability to assess the quality of service being delivered by the University;
- Ability to deal with conflicting goals and competing interests in a public setting; and
- Bring a diverse skill set to the policy and operational responsibilities of the Board's committees.

## PRINCIPLES OF ENGAGEMENT FOR THE BOARD CHAIR

**Effective Date:** \*

**Revised:** \*

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### ROLE

The principal role of the Board Chair is to provide leadership to the Board of Governors. The Board Chair is accountable to the Board, acts as a direct liaison between the Board and President, and represents the Board internally and externally, including acting as the spokesperson for Board decisions.

### DUTIES AND RESPONSIBILITIES

In addition to the duties and responsibilities of an individual Governor, the Board Chair is responsible for fulfilling other duties as set out in the University of Western Ontario Act, 1982 [as amended in 1988], the By-Laws of the Board of Governors, and the following:

#### Working with the University President

- Act as a liaison between the University President and the Board;
- Foster a constructive and harmonious relationship between the Board and administration through periodic contact with the President;
- Act as a sounding board, counsellor and confidant for the President, including helping to review strategies, define issues, maintain accountability, and build community relationships;
- Review and approve the President's bi-annual expenses;
- Keep informed generally of the activities of the University and administration; and
- Support, through the Office of the President, other members of the senior management team.

#### Board Operations

- With the President and University Secretary's assistance, develop and set the Board meeting agendas and oversee pre-meeting information packages;
- Preside over all Board meetings;
- Ensure proper minutes are recorded and presented to subsequent Board meetings;
- With the President and University Secretary, facilitate and assist in the coordination of the activities of Board committees;
- With the University Secretary, resolve any conflicts of interest involving Governors;
- Serve as the Chair of the Board's Senior Policy and Operations Committee; and
- Mentor Governors in relation to, and ensure adherence with, the Principles of Engagement for Members of the Board of Governors.

#### Board Effectiveness

- Ensure the Board fulfills its governance responsibilities as set out in the UWO Act and Board By-Laws;
- Ensure Board meetings are conducted in an efficient, effective and focused manner;
- Maintain the boundaries between Board and University administration responsibilities;

## BOARD CHAIR

- Ensure Governors are properly informed and that sufficient and timely advance distribution of all background information is provided to enable Governors to form appropriate judgments;
- At meetings, encourage participation of all Governors and promote a spirit of collegiality where robust questioning and discussion are encouraged;
- Build consensus and develop teamwork within the Board;
- Foster ethical and responsible decision-making by the Board and Governors;
- Ensure that each Governor is contributing to the Board's work;
- Be available to Governors for questions, counsel and discussions related to University matters;
- Provide, with the University Secretary's assistance, new Governors with information on their duties and responsibilities and encourage ongoing Governor education;
- Ensure the Board has cohesion of direction and purpose at a policy and strategic level; and
- Keep the Board up-to-date on all significant developments.

### Relationship with Government and Other Stakeholders

- Support the President in interactions between the University and government;
- Ensure the Board and President are alert to the University's obligations to government; and
- Represent the Board at meetings with government and other stakeholders.

### Appointments, Performance and Re-Appointments

- In consultation with the Board and the Senior Policy and Operations Committee consider the optimal Board composition and desired attributes in new Governor appointees to strengthen the Board;
- Work with the Senior Policy and Operations Committee regarding new Governor appointments, performance and re-appointments;
- Lead the Board evaluation process within the framework approved by the Governance and By-Laws Committee; and
- Lead the President's annual assessment.

### SKILLS AND KNOWLEDGE

All skills and knowledge required of an individual Governor as outlined in the *Principles of Engagement for Members of the Board of Governors*, plus:

- Strategic planning;
- Financial acumen;
- Risk management;
- Familiarity with bicameral governance models and University governing bodies;
- Familiarity with the post-secondary landscape;
- Knowledge of how to conduct a constructive meeting;
- Ability to facilitate and an appreciation of teamwork;
- Ability to lead discussions that underpin strategic issues;
- Communication skills to represent the University if necessary before community groups, the media, and all levels of the University;
- Ability to deal with and effectively resolve conflicting goals and competing interests in a public setting; and
- Understanding of the importance of equity and diversity and the role that the Board plays in reflecting the diversity of Canadian society and Western.



**Board of Governors  
Special Resolutions**

**President & Vice-Chancellor**

**Special Resolution:** No. 10

**Effective Date:** November 29, 2018

**Revised:** September 26, 1991; April 27, 2000

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**Office**

1.00 There shall be a President & Vice-Chancellor who is the chief executive officer of the University.

**Powers and Duties**

2.00 The President & Vice-Chancellor shall be accountable to the Board of Governors and the Senate for the overall integrity of the University, including:

- (a) creating an atmosphere which will contribute to excellence in the endeavours of the University and fulfilment of the University's **missions in** teaching, **and** research, **and service missions**
- (b) the sound and effective management of the University's human, financial, and physical resources
- (c) providing **strategic and** effective leadership in the University's various planning, academic, research, development and fund raising activities

3.00 The President & Vice-Chancellor, as the Chief Executive Officer of the University, shall have the authority and be responsible for administering the internal and external affairs of the University in keeping with policies set by the Board and Senate, including:

- (a) exercising general supervision over and direction of the operation of the University including its academic programs, research, faculty, staff, students, and business and external affairs
- (b) acting as chief spokesperson of the University
- (c) representing the University in the local, provincial, national, and international communities
- (d) serving as a member, *ex officio*, of the Board of Governors and of such committees and subcommittees of the Board of Governors as shall be determined by the Board
- (e) serving as Chair of the Senate, *ex officio*, and member of such committees and subcommittees as shall be determined by the Senate

**President & Vice-Chancellor**

- (f) making recommendations to the Board of Governors on the appointment, functions, duties, and powers of as many Vice-Presidents as the Board and the Senate may consider necessary, Deans, Department Chairs, University Librarian, Registrar, and Secretary of the Senate, in accordance with policies and procedures established by the Board on the recommendation of the Senate
  - (g) approving, on behalf of the Board, academic and administrative staff changes, including initial appointments, as authorized by the Board
  - (h) exercising general supervision over the use of University properties to promote the orderly conduct and safety of persons entering upon the lands and premises of the University
  - (i) making recommendations to the Board of Governors and/or the Senate on (1) any undertaking the incumbent considers advantageous to University, or (2) any matter connected with the administration of the University and the promotion of its affairs
- 4.00 The President & Vice-Chancellor shall have such other powers, duties and functions assigned to the position by the University of Western Ontario Act and as may be assigned by the Board.

**Delegation**

- 5.00 The President & Vice-Chancellor may delegate presidential authority during the period of any temporary absence to any other officer of the University in accordance with the By-Laws of the Board
- 6.00 The President & Vice-Chancellor may delegate such powers, duties and functions of the office as the incumbent sees fit, but remains responsible for the actions of such delegates. In delegating presidential authority to act, the President & Vice-Chancellor shall prescribe conditions governing the exercise of any delegated power, duty and function, including the power of sub-delegation.



**Board of Governors  
Special Resolutions**

**Banking**

**Special Resolution:** No. 3

**Effective Date:** November 29, 2018

**Revised:** April 21, 2016

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1. **General**

- (a) Bank accounts in the name of The University of Western Ontario shall be maintained at the Bank of Montreal, herein referred to as the Bank, Main Branch, 270 Dundas Street, London, Ontario, and elsewhere and in such other financial institutions as the Property and Finance Committee may from time to time determine.
- (b) Any one of Group "A", together with any one of Group "B", shall have full power for and in the name of the University to make and confirm arrangements or agreements with the Bank as to advances and loans, including overdrafts, to or for the University and to manage, transact and settle all manner of banking business whatsoever, and to adjust and settle accounts between the University and the Bank.

**GROUP "A"**

Vice-President (Operations & Finance)

Associate Vice-President (**Financial Services**) (~~Finance & Facilities~~)

**GROUP "B"**

Controller

Director, Treasury Services

2. **Number of Signatures Required**

Cheques issued against bank accounts and other withdrawals therefrom shall bear the signatures of two persons as authorized in this resolution whose signing authority shall be subject to the restrictions herein stated.

3. **Signing Officers for Cheques**

- (a) Any one of Group "A" hereunder may sign cheques issued against bank accounts or other withdrawals therefrom, in any amount, together with any one of Group "B" hereunder.

- (b) In the event that the University implements Organized Closure procedures as a result of the Middlesex-London Health Unit raising the pandemic alert level to phase 6, any one of Group “A” OR Group “B” hereunder may sign cheques issued against bank accounts or other withdrawals there from, in any amount.

**GROUP “A”**

Vice-President (Operations & Finance) \_\_\_\_\_

Associate Vice-President (**Financial Services**) (~~Finance & Facilities~~) \_\_\_\_\_

Controller \_\_\_\_\_

Director, Treasury Services \_\_\_\_\_

**GROUP “B”**

Director, Financial Information Systems \_\_\_\_\_

Director, Research Finance \_\_\_\_\_

Associate Vice-President (Human Resources) \_\_\_\_\_

Financial Officer, **Endowed & Restricted Funds** ~~Special Funds~~ \_\_\_\_\_

4. **Facsimile Signatures**

- (a) The signature of authorized signing officers may be facsimile signatures given by a cheque-signing machine or by other mechanical means, but no cheque bearing a facsimile signature or signatures shall be issued or presented to the Bank for an amount exceeding the sum of \$100,000 for each cheque, but the University shall, however, remain liable and responsible to the Bank for any and all cheques bearing such facsimile signatures and honored or paid by the Bank, whatever the amount thereof.
- (b) The Bank is authorized and directed to pay any and all cheques drawn on the aforesaid accounts and purporting to be cheques of the University bearing the signatures authorized by the preceding paragraphs and the Bank shall not be liable for any cheque or cheques which may have been irregularly or improperly drawn through the use of a cheque-signing machine or other mechanical means and paid or cashed by the Bank.

5. **Verbal/Facsimile Messages**

The Bank may act on oral instructions and/or facsimile transmission on University letterhead subject to procedures approved by the Board of Governors and attached hereto as [Annex 1](#).

**6. Transfer Deposit Accounts**

Transfer deposit accounts may be opened in the name of The University of Western Ontario on the joint authority of any one of Group "A" together with any one of Group "B" as listed in Section 1.(b) for such special purposes as will facilitate the administration of funds of the University. The sole means of removal of funds from transfer deposit accounts shall be by transfer to the general accounts of the University or to trust accounts held by an authorized agency.

**7. Advice to Bank**

A certified copy of this resolution and certified specimens of the signatures and facsimile signature of the officers hereby authorized shall be delivered to, and may be acted upon, by the Bank until notice to the contrary shall have been given to the Bank.

**8. Trois-Pistoles French Immersion School**

An account may be maintained at the Caisse populaire Desjardins, Trois-Pistoles, Québec, to facilitate payment of expenses at Trois-Pistoles French Immersion School, such account to be subject to the following provisos:

- (a) The title of the account shall be "Trois-Pistoles French Immersion School - The University of Western Ontario".
- (b) The terms and conditions of the banking resolution shall apply and shall read as though the words "the bank" as defined therein had reference to the Caisse populaire Desjardins, Trois-Pistoles, Québec, and
- (c) Any one of Group "A" hereunder may sign cheques issued against this bank account or other withdrawals therefrom, in any amount, together with any one of Group "B" hereunder.

**GROUP "A"**

Director, Western Centre for Continuing Studies

\_\_\_\_\_

Director of Trois-Pistoles French Immersion School

\_\_\_\_\_

Controller, The University of Western Ontario

\_\_\_\_\_

**GROUP "B"**

Administrative Assistant for Trois-Pistoles French Immersion School

\_\_\_\_\_

Director, Financial Information Systems  
The University of Western Ontario

\_\_\_\_\_

Secretary to the Administrative Assistant for Trois-Pistoles French Immersion School

\_\_\_\_\_

Annex 1 – SPECIAL RESOLUTION NO. 3 – Banking

**BANKING TRANSACTIONS – VERBAL/FACSIMILE MESSAGES**

The University of Western Ontario hereby directs the Bank of Montreal (The “Bank”) to act on instructions for banking transactions submitted either verbally (orally) or by facsimile transmission on the University’s letterhead (the “Messages”), subject to the terms hereof. In consideration of the Bank so doing, the University has:

1. Requested that the Bank institute a Call Back Arrangement (“the Call Back Arrangement”) to verify all Messages which purport to transfer funds to third parties. The Call Back Arrangement will involve the Bank calling an authorized signing officer (who did not initiate the payment order) for the account being debited.

Any one of the following authorized signing officers is permitted to verify the Message:

Vice-President (Operations & Finance)  
Associate Vice-President **(Financial Services)** ~~(Finance & Facilities)~~  
Director, Treasury Services  
Controller  
Director, Financial Information Systems  
Director, Research Finance  
Financial Officer, **Endowed & Restricted Funds** ~~Special Funds~~

2. Authorized the Bank to act on all Messages, provided that authentication by Call Back has taken place.
3. Directed the Bank to decline to act if the Call Back Arrangement does not result in authentication, or if the Bank doubts the authenticity of any Message.
4. Acknowledged that all Messages acted upon by the Bank and confirmed by Call Back will, in the absence of gross negligence or wilful misconduct, be deemed conclusively to be valid instruction, whether or not authorized by the University or whether or not accurately transmitted to the Bank.
5. Agreed to indemnify and save the Bank harmless from and against any and all liabilities, costs, charges, losses, damages, demands, complaints, and expenses which the Bank may incur, sustain or suffer, other than pursuant to its own gross negligence or wilful misconduct, arising from or by reason of the Bank acting or declining to act upon any Messages given, in accordance with this agreement as the case may be, including without limitation legal fees and disbursements reasonably incurred by the Bank. This indemnity is in addition to any other indemnity provided by the University to the Bank.



Western

## Board of Governors Election Schedule - Spring 2019

Elections will be held for **one faculty representative, one administrative staff representative, and one representative of the undergraduate student constituency**, as outlined below. The term of the faculty and administrative staff representatives will be for four years (July 1, 2019 - June 30, 2023). The term of the undergraduate student representative will be for two years (July 1, 2019 - June 30, 2021).

<b>Faculty and Administrative Staff Constituencies</b>	
Nominations Open	9:00 a.m., Monday, January 7
Nominations Close	4:00 p.m., Thursday, January 17
Posting of Nominations	Friday, January 18
Balloting on the Web - Polls Open	8:00 a.m., Tuesday, January 29
Balloting on the Web - Polls Close	8:00 p.m., Wednesday, January 30
Posting of Results	Thursday, January 31

<b>Undergraduate Student Constituency</b>	
Nominations Open	9:00 a.m., Monday, January 7
Nominations Close	4:00 p.m., Thursday, January 17
Mandatory All Candidates' Advisory Meeting (Organized by the USC - Place TBA)	5:00 p.m., Friday, January 18
Posting of Nominations	Friday, January 18
Campaign Period begins	12:01 a.m. Monday, January 21
Campaign Period ends	11:59 p.m., Sunday, February 3
Balloting on the Web - Polls Open	8:00 a.m., Monday, February 4
Balloting on the Web - Polls Close	8:00 p.m., Tuesday, February 5
Posting of Results (Room 4101 STVH and web)	Wednesday, February 6

**REPORT OF THE SENIOR POLICY & OPERATIONS COMMITTEE**

<b>Contents</b>	<b>Consent Agenda</b>
<b>Committee Appointments</b>	Yes
<b>Annual Report of the Code of Student Conduct</b>	Yes

**FOR INFORMATION**

1. **Committee Appointments**

On behalf of the Board of Governors, the following committee appointments were approved by the Senior Policy & Operations Committee, with terms as indicated:

- Grace Parraga as the Board's representative to the Board of Directors for King's University College for 2018-19, for the term October 17, 2018 to January 31, 2019.
- Justin Shapiro as the Board's representative for the Alcohol Policy Review Committee for 2018-19, for the term October 17, 2018 to January 31, 2019.

2. **Annual Report of the Code of Student Conduct**

The Code of Student Conduct is a Board policy that deals with non-academic offences committed by students. It is administered through the office of the Associate Vice-President (Student Experience). The annual report of the adjudicated cases is attached as [Annex 1](#).



## Code of Student Conduct

Annual Report to the Western Board of Governors  
For the period May 1, 2017 – April 30, 2018

Prepared by Dr. Jennifer Massey, Associate Vice-President (Student Experience)

This is the seventeenth report of actions taken under the terms of the Code of Student Conduct since the Code was enacted by the Board of Governors. The Office of the Associate Vice-President (Student Experience) continues to work closely with the University’s Legal Counsel, Dean’s offices, and Campus Community Police Service to ensure all matters involving the Code are handled according to the established procedures for record-keeping, communication, and follow-up.

The information presented spans from May, 1, 2017 to April 30, 2018. There were 58 Code incidents, involving 69 students that came to the attention of, and were adjudicated by, the Acting Associate Vice-President (Student Experience). The table below highlights the 33 incidents that resulted in formal Code Proceedings and were issued sanctions. Several incidents were successfully resolved informally. An informal resolution specifies an agreement and any requirements the student must fulfill, such informal resolutions have included student participation in focused activities with clear learning outcomes.

INCIDENT	NUMBER OF STUDENTS	SANCTION	APPEAL PROCESS
Misconduct against person (Harassment)	1	Probation for remainder of education at Western University. Restricted participation in campus activities. Educational Sanction	
Misconduct against person (Threats and Harassment)	1	Two year suspension. Restricted from contact with complainant	
Misconduct against person (Assault)	1	Probation for remainder of education at Western University. Restricted from contact with complainant. Educational Sanction	
Disruption to University Activities	1	Formal Warning	
Misconduct against person (Assault)	1	One year Probation. Restricted movement on campus. Educational Sanction	
Misconduct against person (Harassment)	1	Probation for one year. Educational Sanction	
Misconduct Involving property (Dispelling a fire extinguisher)	1	Probation for one year.	
Furnishing false information	1	Required review of file prior to future admission to Western University	

INCIDENT	NUMBER OF STUDENTS	SANCTION	APPEAL PROCESS
Illegal use, and possession of drugs; Misconduct against Person (Harassment)	1	Probation for one year. Educational Sanction.	Student appealed decision. UDAC denied appeal
Misconduct Involving Property (Theft)	1	Probation for one year. Restricted activities on campus.	
Misconduct Involving Property (Damage)	1	Required review of file prior to future admission to Western University.	
Misconduct against Person (Harassment)	1	Formal Warning	
Misconduct against Person (Harassment)	1	Probation for remainder of education at Western University. Restricted from contact from complainant. Educational Sanction	Student appealed decision. UDAC denied appeal
Misconduct Involving Property (Damage)	1	Ongoing	
Misconduct Involving Property (Theft)	1	Formal Warning	
Misconduct Against Person (Assault)	1	Required review of file prior to future admission to Western University.	
Misconduct Involving Property (Damage)	2	Probation of six months. Student required to pay restitution.	
Misconduct Involving Property (Unauthorized entry) Disruption to University activities	1	Formal Warning	
Misconduct Against Person (Assault)	1	One year Probation. Educational Sanction	
Misconduct Against Person (Assault)	1	One year Probation. Educational Sanction	
Misconduct Against Person (Harassment)	1	One year Probation. Educational Sanction	
Possession Drugs, Illegal distribution of drugs	1	One year probation	
Misconduct Involving Property (Theft)	1	One year Probation. Educational Sanction	
Misconduct Against Person (Harassment)	1	Educational Sanction	
Misconduct Against Person (Assault)	1	One Year Probation. Restricted use of alcohol while on campus. Educational Sanction	
Misconduct Against Person (Assault)	1	One year Probation. Educational Sanction	
Misconduct Against Person (Assault)	1	One Year Probation. Restricted use of alcohol while on campus. Educational Sanction	
Misconduct Involving Property (Damage)	8	Students required to pay restitution.	

INCIDENT	NUMBER OF STUDENTS	SANCTION	APPEAL PROCESS
Misconduct Against Person (Threats, Endangerment of others)	1	Probation for remainder of education at Western. Required review of file prior to future admission to Western University.	
Misconduct Involving Property (Damage)	1	Formal Warning	
Misconduct Against Person (Threats)	1	Code proceedings suspended. Student voluntarily withdrew from University	
Misconduct Against Person (Assault)	1	One year probation. Restricted movement on campus	
Misconduct Against Person (Threats)	1	One Year Probation. Restricted movement on campus. Restricted use of alcohol while on campus.	

### **Appointment of New Associate Vice-President (Student Experience)**

During the academic year of 2017- 2018 sanctions were delivered under the Code of Conduct by Dr. John Doerksen, Acting Associate Vice-President (Student Experience). Dr. Jennifer Massey joined Western in August 2018.

### **Revision of the Code**

After a consultative process, Western University Code of Student Conduct was revised effective April 26, 2018. The revised version of the Code of Conduct centralizes the complaint, and sanctioning process to the Office of AVP (Student Experience). Ongoing consultation with relevant faculties and campus partners will continue to occur throughout the Code Process. The revised Code of Student Conduct also incorporates a standard of conduct for students while using electronic or digital communication, including the use of social media sites.

### **Adjustments in Service Delivery**

With increased reports of sexual violence, the complexity of cases continues to rise, necessitating increased consultation and collaboration with relevant stakeholders to maintain the safety of our students on campus and provide our students with the supports they require to achieve success throughout the Code process. Such cases have called for continuous care, caution and compassion in the review of facts and adjudication.

With a focus of incorporating the principles of restorative justice into the sanctioning process, our goal is to facilitate learning experiences for students to carry forward into adulthood. Our hope is that with thoughtful and intentional intervention, meaningful and lasting change will occur. Educational sanctions that have been incorporated over the past year have ranged from written apologies, educational seminars, reflection papers and awareness programs. Moving forward, the office will continue to develop appropriate infrastructure and protocols to effectively and efficiently respond to incidents of concern on our campus.

**REPORT OF THE AUDIT COMMITTEE**

<b>Contents</b>	Consent Agenda
<b>Harassment and Discrimination Matters Annual Report</b>	Yes

**FOR INFORMATION**

1. **Harassment and Discrimination Matters Annual Report**

Committee members were provided with the Annual Report on Harassment and Discrimination Matters as outlined in [Annex 1](#).

# Equity & Human Rights Services

## Annual Report—May 1, 2017 to April 30, 2018

### *Harassment and Discrimination Matters*

**Equity & Human Rights Services (EHRS)** is available to all members of Western’s community. This Annual Report is prepared by EHRS as per the Non-Discrimination/Harassment Policy, (MAPP 1.35), section 12.

EHRS facilitates the development, implementation and ongoing management/coordination of Western’s policies and programs relating to discrimination and harassment.

EHRS offers the following services:

- Confidential consultation, support, and information available to all Western students, staff, faculty and post-doctoral scholars
- Support, education and advice to Administrative leaders and Academic leaders
- Culture and climate reviews, as appropriate
- Workshops and presentations

#### CONTACTS

Over the past academic year, EHRS recorded a total of **437** contacts. **193** of these were from individuals who believed they have been subjected to, or had witnessed, behaviour that may fall under the Policy. The remaining **244** contacts were: requests for assistance from **104** Academic or Administrative Leaders (i.e., those with the authority and responsibility to address concerns); requests for information and/or assistance by **91** third-parties (often friends, coworkers or persons in non-authority roles seeking assistance to support others); and, **49** general requests for information.

#### INDIVIDUAL CONTACTS

**Tables I** and **Ia** display the number of consultations by issue for the 193 individuals who contacted EHRS in relation to a concern they were directly experiencing. **Table II** displays the role at

Western of those individuals contacting our office. Individuals may contact the office in relation to more than one ground.

All individuals reporting concerns to EHRS are provided with advice. If the matter falls under the Non-Discrimination/Harassment Policy, individuals are given the option to request alternate resolution or file a formal complaint and request investigation. However, it is common for individuals, having had the opportunity to voice their concerns and seek advice from EHRS, to attempt to resolve the situation themselves.

In the 2017-18, EHRS offered some form of alternate resolution in relation to **10** matters. Alternate resolution includes mediations, facilitations, educational sanctions (in coordination with Housing), and EHRS-led inquiries to support the proper application of the Policy.

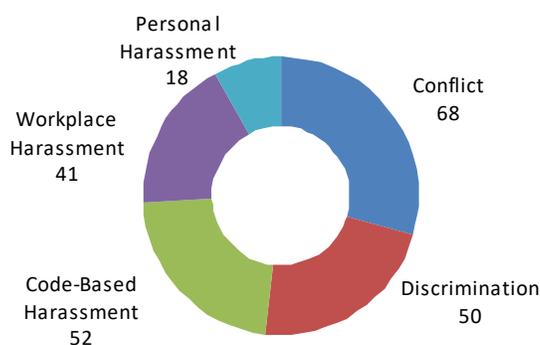
The office of the Associate Vice President (Human Resources) receives and administers formal complaints. This past year, **27** complaints were received and **21** investigated (1 is outstanding) under the Non-Discrimination and Harassment Policy.

#### ACADEMIC OR ADMINISTRATIVE LEADER SUPPORT

Western’s Policy requires Academic or Administrative Leaders to report any incidents which **may be** related to harassment and discrimination to EHRS, as well as to involve EHRS in any unit-based attempts at resolving or mediating potential harassment.

**Table III** displays the top issues reported by the **104** Academic and Administrative Leaders who contacted our office during the past year. Understanding the issues our leaders are facing assists us to determine where our office’s focus should be in designing and delivering support and resources.

**TABLE I: Individual Consultations by Issue (by #)**



**TABLE Ia: Code-Based Discrimination & Harassment Grounds (by #)**

Religion	1
Age	1
Family	3
Sexual Orientation	6
Gender Identity / Gender Expression	16
Disability (includes accommodation concerns)	18
Race	19
Sex (includes sexual harassment and discrimination based on sex)	37

**TABLE II: Individual Consultations—Role at Western**

ROLE	#
Undergraduate	49
Graduate	40
Faculty	29
Staff	61
Other	14
<b>TOTAL</b>	<b>193</b>

**A note regarding conflict**

Some form of conflict is present in most – if not all – concerns that come to the attention of EHRS. Conflict may be present along with harassment and discrimination concerns. However, some concerns do not fall within the scope of the Policy and present as interpersonal issues, misunderstandings about role or job clarity, or organizational structure. EHRS recognizes the significant detrimental effects the unresolved conflict can have in the work and academic setting as well as to one’s own well-being.

**A note regarding safety**

EHRS is consistently mindful of concerns relating to potential violence or threats to individuals’ safety. When appropriate, we refer or report such concerns to Campus Police (CCPS). EHRS referred to or contacted CCPS on **7** occasions this past year.

**EDUCATION AND OUTREACH**

EHRS conducts workshops, provides materials and other education and outreach assistance to various colleagues and groups across campus. This year, EHRS provided education and training to over **2000** Western members.

**TRENDS AND HIGHLIGHTS**

EHRS continues to emphasize the need for continue attention to Western’s academic accommodation policies. Achieving consistent and well-understood practices across all campus departments should be a priority in the coming year(s).

We saw an uptick in concerns regarding social media this year. In other words, calls were received about posts made by, or attributed to, Western’s members. We recognize that in today’s world, academic and employment lives are sometimes affected by online activities. EHRS will continue to work with campus partners (Communications, Human Resources, Student Experience) to develop consistent approaches to addressing matters that appear on social media.

We continued to see an increase in matters relating to gender identity and gender expression. EHRS continues to strongly encourage a review of Western’s policies and practices in relation to gender. As part of this, the development of a clear practice that allows individuals (whether employees and/or students) to seamlessly navigate their various roles at Western using the name that reflects their identity is needed.

**TABLE III: Academic/Administrative Leaders -Top Issues**

ISSUE	#	Total #
<b>Code-Based Discrimination and Harassment</b>		<b>67</b>
Race	17	
Sex	26	
Religion ( <i>incl. accommodation</i> )	3	
Disability ( <i>incl. accommodation</i> )	10	
Sexual Orientation	7	
Gender Identity/Expression	8	
Age	-	
<b>Workplace Harassment</b>		<b>17</b>
<b>Conflict</b>		<b>20</b>
<b>Personal Harassment</b>		<b>6</b>

Again this year, we note the need for a broader cross-campus strategy in support of diversity and inclusion. EHRS hopes to work with key stakeholders and partners to develop an approach that recognizes the intersectionalities and diverse needs of our community. Many of Western’s policies and procedures could benefit from a review focused on equity and diversity. EHRS is excited to partner with Faculty Relations in ensuring compliance with Western’s Canada Research Chair program.

**CONCLUSION**

EHRS wishes to express our appreciation to all those we interact with in an effort to assist with resolution of matters. We look forward to continuing to support all students, staff and faculty members on a campus which respects, accepts, nurtures, and celebrates its diversity.

**FOR FURTHER INFORMATION, PLEASE CONTACT:**

**Equity & Human Rights Services**  
**Western University**  
**Somerville House, Room 2319**  
**London, ON N6A 3K7**

**equity@uwo.ca** (*for consultation and advice*)

**diversity@uwo.ca** (*for resources/training*)

**www.westernu.ca/equity**

*Western University sits on traditional territory. Equity & Human Rights Services acknowledges the Attawandaran (Neutral) peoples who settled the Southwestern Ontario region alongside the Algonquin and Haudenosaunee people, as well as the three other longstanding Indigenous groups of this region: the Anishinaabe Peoples, the Haudenosaunee Peoples and the Leni-Lunaape Peoples.*

**Supplementary Report to Audit Committee – November 2018**

In past years, the Audit Committee has inquired whether Equity & Human Rights Services has noticed any trends in the types of matters/concerns coming to our attention.

Tables 1s and 2s below provide data, based on the structure of the current Non-Discrimination and Harassment Policy (began in Dec 2011), showing who contacted our office (Table 1s) and types of concerns raised (Table 2s).

**Table 1s  
Contacts (2011-18)**

	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18
<b>Individual Contacts</b>	<b>111</b>	<b>132</b>	<b>164</b>	<b>167</b>	<b>193</b>	<b>177</b>	<b>193</b>
<i>Undergrad</i>	18	39	17	37	42	60	49
<i>Graduate</i>	23	33	40	43	51	27	40
<i>Faculty</i>	19	13	28	20	31	26	29
<i>Staff</i>	47	35	66	59	50	57	61
<i>Other</i>	4	12	13	8	19	7	14
<b>Acad/Admin Leaders</b>	<b>64</b>	<b>85</b>	<b>100</b>	<b>128</b>	<b>142</b>	<b>107</b>	<b>104</b>
<b>3<sup>rd</sup> Party</b>	<b>30</b>	<b>20</b>	<b>48</b>	<b>42</b>	<b>61</b>	<b>67</b>	<b>91</b>
<b>General info/resources</b>	<b>76</b>	<b>60</b>	<b>40</b>	<b>28</b>	<b>54</b>	<b>55</b>	<b>49</b>
<b>TOTAL</b>	<b>281</b>	<b>297</b>	<b>352</b>	<b>365</b>	<b>450</b>	<b>406</b>	<b>437</b>

**Table 2s  
Consultations by Issue raised by Individual Contacts (2011-18)**

Issue	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18
<b>Discrimination &amp; Code-Based Harassment</b>	<b>21</b>	<b>25</b>	<b>43</b>	<b>43</b>	<b>60</b>	<b>52</b>	<b>50</b>
<i>Sex (incl S.Orientation)</i>	24	23	26	34	36	35	37
<i>Race</i>	5	16	17	14	22	25	19
<i>Disability</i>	14	8	23	34	36	24	18
<i>Religion</i>	-	-	5	5	9	1	1
<i>Gender</i>	-	2	3	4	6	4	16
<i>Family</i>	-	1	-	5	7	2	3
<i>Age</i>	2	-	-	-	3	4	1
<b>Workplace Harassment (employees)</b>	<b>41</b>	<b>25</b>	<b>53</b>	<b>44</b>	<b>48</b>	<b>46</b>	<b>44</b>
<b>Personal Harassment (non-employees)</b>	<b>14</b>	<b>24</b>	<b>13</b>	<b>14</b>	<b>21</b>	<b>23</b>	<b>18</b>
<b>Conflict</b>	<b>18</b>	<b>46</b>	<b>43</b>	<b>49</b>	<b>55</b>	<b>64</b>	<b>68</b>

Note: A consultation may involve more than one concern. Each issue is recorded separately.

**ITEMS REFERRED BY SENATE**

<b>Contents</b>	<b>Consent Agenda</b>
<p><b>Report of the Academic Colleague</b></p> <p><b>Academic Administrative Appointments</b></p>	<p>Yes</p> <p>Yes</p>

**FOR INFORMATION**

1. **Report of the Academic Colleague**

The Report of the Academic Colleague on the October 2018 meeting is attached as [Annex 1](#).

2. **Academic Administrative Appointments**

The Office of Faculty Relations provided the following list of academic administrative post(s) approved on behalf of the Board of Governors during the month of October, 2018.

Name	Department/School	Faculty	Admin Post	Effective Date	End Date
Candace Gibson		Schulich	Acting Vice Dean (Basic Medical Sciences)	September 1-2018	June 30-2019
Paul Cooper	Clinical Neurological Science	Schulich	Clinical Department Chair	October 1-2018	December 31-2018
Davy Cheng		Schulich	Acting Dean	October 31-2018	June 30-2019

## **Report to Senate of the Academic Colleague, Council of Ontario Universities**

**Erika Chamberlain, November 2018**

### FOR INFORMATION

There was a meeting of the COU Academic Colleagues and full Council on October 18 in Toronto. The following agenda items may be of particular interest to Senators.

Freedom of Expression: the primary topic of discussion at the Council meeting was freedom of expression at universities. While there was general agreement on the content of the policies that universities are drafting in response to the provincial government's request, Council members stressed that the real test of the policies will be in their implementation and in reporting to HEQCO.

The Academic Colleagues noted that individual faculty members will often be on the front lines of implementing the policies in the classroom, and that resources and support should be available to enable them to deal with the difficult situations that may arise. Colleagues shared various experiences where questions of "competing rights" have arisen, including: the discussion of controversial artwork that may offend certain religious beliefs; male students complaining about the granting of conference travel funding for women in STEM; and a teacher candidate being advised not to reveal that her parents were same-sex partners, given the provincial government's rollback of the sex-ed curriculum. We also discussed how social media and online communications can often lead to the rapid escalation of disputes among campus community members.

Tuition Framework: the current provincial tuition framework expired this year. COU is advocating that it be extended for another year on the same terms (ie, average 3% increase).

International Enrolment: across the sector, universities have experienced a 17% growth in the enrolment of international first-year students this year. Given the enrolment corridor that was introduced for domestic students last year, domestic enrolment has remained flat.

Ongoing Uncertainties: it is not yet clear how the new provincial government will deal with initiatives of the Liberal government, such as SMAs and sexual violence policies. However, the government has rolled back most of the provisions that were in Bill 148 (the Fair Workplaces, Better Jobs Act).

Recent financial reports indicate that labour costs are the provincial government's leading expenditure, and it will be looking for efficiencies moving forward.