

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

BOARD OF GOVERNORS MEETING

1:00 p.m., Thursday, June 25, 2020
Meeting to be held electronically via Zoom

Members of the public who wish to attend the open session of the Board of Governors meeting are invited to contact the University Secretariat at secretariat-covid19@uwo.ca

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

1. Adoption of Agenda – Open Session
2. Report of the President (Alan Shepard)
3. Unanimous Consent Agenda – **Appendix I**
Includes [Open Session Minutes of the Meeting of April 23, 2020](#)
4. Business Arising from the Minutes
5. Reports of Committees:
 - Property & Finance Committee – **Appendix II** (Catherine Karakatsanis)
 - Senior Policy and Operations Committee – **Appendix III** (Rick Konrad)
 - Governance and By-Laws Committee – **Appendix IV** (Sarah Shortreed)
 - Audit Committee – **Appendix V** (Susan Bennett)
 - McIntosh Gallery Committee – **Appendix VI** (James Patton)
6. Items Referred by Senate – **Appendix VII** (Alan Shepard)
7. Questions from Members
8. Other Business
9. Adjournment to Confidential Session

SUMMARY OF AGENDA ITEMS – June 25, 2020 – OPEN SESSION

Adoption of Agenda	ACTION
Report of the President	INFORMATION
Unanimous Consent Agenda – Appendix I	ACTION
Minutes of the Meeting of April 23, 2020 – Open Session	ACTION

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

Scholarships, Awards, and Prizes	INFORMATION
Radiation-Induced Chemistry Research Chair	INFORMATION
Antonios Mamandras Chair in Graduate Orthodontics	INFORMATION
2019-20 Operating Budget as at April 3, 2020	INFORMATION
Semi-Annual Ratio Report on Non-Endowed Funds	INFORMATION
Ancillary Financial Report	INFORMATION

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

Committee Appointments	INFORMATION
Annual Report of the Code of Student Conduct	INFORMATION
Annual Report on Gender-based and Sexual Violence	INFORMATION

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

Revisions to the Terms of Reference of the McIntosh Gallery Committee (Special Resolution 1-H)	ACTION
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Report of the Audit Committee – [Appendix V](#)

Campus Community Police Service – 2020 Annual Report	INFORMATION
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Report of the McIntosh Gallery Committee – [Appendix VI](#)

Director's Report: McIntosh Gallery Pandemic Action Plan May 6, 2020	INFORMATION
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Items Referred by Senate – [Appendix VII](#)

Proposal to Establish the Western Institute for Neuroscience (Research)	ACTION
Faculty of Arts and Humanities and Faculty of Social Science – Proposed Name Change: The Department of Women's Studies and Feminist Research to the Department of Gender, Sexuality, and Women's Studies	ACTION
Faculty of Social Science – Proposed Name Change: The Department of Geography to the Department of Geography and Environment	ACTION
Annual Report of the Working Group on Information Security (WGIS) – 2019	INFORMATION
Reports on Promotion, Tenure and Continuing Appointment	INFORMATION
Report of the Academic Colleague	INFORMATION
Academic Administrative Appointments	INFORMATION

Questions from Members	
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REPORT OF THE PRESIDENT

To: Board of Governors

From: Alan Shepard

Date: June 18, 2020

Re: President's Report for June 25 Meeting

Dear Governors:

This report summarizes some noteworthy developments since my last written report to the Board of April 14, 2020. There has been much good news to celebrate at Western, despite our ongoing preoccupation with the challenges posed by COVID-19. We continue to post our most up-to-date information for the community on [Western's COVID-19 website](#), and I will outline more details about our pandemic planning and response at our Board meeting.

Anti-racism working group update: The working group I struck in January to look at the issue of racism on our campus submitted its draft report to me on May 19. The report is thoughtful, thorough, compelling and especially poignant in light of all that is unfolding in the world at this time. The report contains strong recommendations for action, and I have taken time to digest and discuss them with my senior team. We are developing plans to share the report with the community (including Senate and the Board) and to announce our response at a virtual town hall scheduled for June 24. Board member **David Simmonds** has kindly agreed to moderate the town hall. We owe a debt of gratitude for the important work done by this group of student, staff and faculty colleagues, and I look forward to sharing and acting on their report.

THE Impact Rankings name Western among world's top universities: One day prior to our last Board meeting, *Times Higher Education* ranked Western 5th in Canada and 26th in the world among 766 universities from 85 countries based on an assessment of our social and economic impact measured against the United Nations' Sustainable Development Goals. The goals were adopted by UN member states in 2015 as a call to action to end poverty, protect the planet and ensure that all people enjoy peace and prosperity by 2030. While there are inherent limitations with any rankings table, we can be encouraged by this good news and its positive reflection of our collective efforts to address global issues through our teaching and research. Western ranked among the top 50 globally in 11 of the 17 categories, including Zero Hunger (7); No Poverty (10); Partnership on the Goals (12); and Peace, Justice and Strong Institutions (18).

Western moves up in QS World University Rankings: Western researchers were tops in Canada for research output for the second year in a row, according to the Quacquarelli Symonds (QS) World University 2021 rankings released June 10. Western rose eight spots this year in the overall rankings, placing 203rd among top universities. At home, we placed 8th in Canada and 4th in Ontario. The rankings include more than 1,000 global universities and uses a methodology that assesses each institution on six metrics: academic reputation, employer reputation, citations per faculty, faculty-student ratio, international faculty, and international students. Western rose year-over-year on scores related to both citations per faculty and international faculty. We ranked 59th in the world for citations per faculty (based on more than 250,000 citations and 19,000 papers) and first in Canada, while placing 132nd in the world for international faculty, and 4th in Canada.

Bell partners with Western on 5G research initiative: On June 11, Bell Canada announced it will invest \$2.7M and deploy 5G network equipment and infrastructure throughout Western's campus as part of a research partnership designed to create smarter cities and communications systems, better manage business continuity, and more. The partnership will create an advanced 5G research centre that involves faculty from multiple disciplines, including the Faculties of Engineering and Science and the Ivey Business School. Research will focus on 5G applications such as virtual and augmented reality, autonomous vehicles, multi-access-edge computing, batteries and small cells, machine learning, artificial intelligence, and other technologies employed in the fields of communications, medicine, agriculture, transportation, and others. We are grateful for Bell's partnership and for the leadership of alumnus **Wade Oosterman** (MBA'86), Bell's Vice Chair and Group President.

Labatt family invests in nursing education and research: Former Chancellor **Arthur Labatt** and his wife **Sonia** announced a \$5M donation May 13, adding to their already substantial philanthropic legacy of support for Western's School of Nursing. The family's latest gift will establish an endowed research chair, the Arthur Labatt Family Chair in Nursing Leadership and Health Equity, that will leverage community partnerships to explore ways to reduce health disparities locally and globally. Western will match \$2M of the Labatts' gift to establish a \$4M endowment in support of the new chair. The balance of the donation will support the Centre for Research on Health Equity and Social Inclusion (\$1.5M), create a \$1M fellowship to support early-career nursing researchers, and provide \$500,000 for the purchase of new virtual-reality teaching technology. We thank Arthur and Sonia for their incredible generosity and ongoing dedication to Western.

Student Relief Fund impact: The \$2.6M relief fund Western established in April to help students facing urgent financial challenges resulting from the pandemic has since aided about 3,400 students. Funds have been distributed to help students with urgent needs ranging from food, rent and travel, to access to technology, health and wellness requirements, and other urgent unforeseen circumstances. We thank all community members who supported the fund through personal donations, including the Professional and Managerial Association (PMA), University Students' Council, and the Alumni Association for their special contributions.

FINA presentation: On June 2, [I spoke to the House of Commons' Standing Committee on Finance \(FINA\)](#) regarding the impact of COVID-19 on our sector and Western's response to the pandemic. The invitation to speak to FINA was my second this year, the first being an opportunity to present February 4 regarding federal Budget 2020 and priorities for the postsecondary sector. I spoke briefly and responded to questions from panel members—including London North MP, **Peter Fragiskatos** and Elgin-Middlesex-London MP, **Karen Vecchio**—on several matters: thanking the government for its generous investments in support of postsecondary students and university-led research; highlighting the scope of Western's response to COVID-19, including our own financial support for students and research, the donation of PPE and free accommodation for front-line health care workers, and our community's massive effort to transition thousands of courses to online platforms; and, touching on our plans for the fall term. I also signaled Western's capacity to support Canada in a post-pandemic world, focusing on our continued ability to attract international talent and suggesting how a federal infrastructure program could bolster our research into solving global challenges such as climate change.

Accolades: Congratulations to the following campus community members who, among others, have been recognized with special honours in recent months:

- Colleagues involved with 75 unique projects across Western's Faculties of Engineering, Health Sciences, Education, Science, Social Science, Business and Medicine & Dentistry were awarded more than \$13.8M by the *Natural Sciences & Engineering Research Council's Discovery Grant program*.
- Colleagues leading 13 projects across the Faculties of Medicine & Dentistry, Health Sciences, Business, Science, Social Science, Information & Media Studies, and Law were awarded funding from the first phase of Western's \$1M *Surviving Pandemics Catalyst Grant program*, which supports interdisciplinary research into disease outbreaks.
- **Rachel Margolis** (Sociology) named among co-investigators awarded \$2.5M by the Social Sciences and Humanities Research Council of Canada (SSHRC) to fund a national study of family-leave policies in an effort to create more consistent and equitable systems for all Canadian families with children.
- **Gordon McBean** (Geography) and **Bipasha Baruah** (Women's Studies & Feminist Research) were named among 31 nationwide recipients of Knowledge Synthesis Grants from the Social Sciences and Humanities Research Council, supporting studies focused on the impact of climate change.
- **Vicki Esses** (Psychology) awarded \$2.196M from Immigration Refugees and Citizenship Canada to advance her research aimed at promoting welcoming communities for newcomers to Canada through the Pathways to Prosperity project.

- **Shawn Li** (Biochemistry), **Jason Gilliland** (Geography) and **Claudio Martin** (Physiology and Pharmacology) were named among 15 grant recipients from the \$20M *Ontario COVID-19 Rapid Research Fund*, which focuses on areas of research such as vaccine development, diagnostics, drug trials and development, and social sciences.
- **Ivan Coyote** was named the Alice Munro Chair in Creativity in Western's Faculty of Arts and Humanities. The Munro Chair position, which honours Canadian short story writer and Western alumna **Alice Munro**, DLitt'76, aims to inspire student writers and foster creative expression. Coyote follows the inaugural Chair holder, Nino Ricci.
- Undergraduate student **Lena Schreyer** (Science) were named among the 2020 cohort of 3M National Student Fellows. The prestigious scholarship awarded by the Society for Teaching and Learning in Higher Education recognizes postsecondary students for their leadership in their communities and schools.
- PhD candidate **Vanessa Ambtman-Smith** (Geography) and **Justine Fletcher** (Medicine) were named 2020 recipients of the Dr. Valio Markkanen Award of Excellence, presented annually to Indigenous graduate and undergraduate students, recognizing academic excellence, contribution to Indigenous communities, and commitment to Western's campus community through engagement outside of the classroom.
- **Sarah Gallagher** (Physics & Astronomy) and **Mark Daley** (Computer Science) were appointed steering committee members to the Government of Canada's CanCOVID network, linking health-care professionals, university researchers and policy makers with the goal of unifying Canadian efforts against COVID-19.
- More than \$2.7M was awarded to 20 Western scholars across seven Faculties and Schools by the Social Sciences & Humanities Research Council Insight Grants program.
- **Gail Atkinson** (Earth Sciences) was awarded the Harry Fielding Reid Medal by the Seismological Society of America for her lengthy career as one of the world's most revered seismologists.
- **Ruth Lanius** (Psychiatry) and McMaster University researcher Margaret McKinnon were awarded \$990,000 by the Canadian Institutes of Health Research to development treatments for public safety personnel suffering post-traumatic stress disorder resulting from front-line work during major crises, like the COVID-19 pandemic.
- Alumnus **Tiff Macklem** (MA'84, PhD'89) was named Governor of the Bank of Canada for a seven-year term beginning June 3. Macklem, who recently served as Dean of the University of Toronto's Rotman School of Management, succeeds another Western alumnus, **Stephen S. Poloz** (MA'79, PhD'82, Economics).

- Alumnus and former Bank of Canada Governor **Stephen S. Poloz** (MA'79, PhD'82, Economics), was appointed Chair of the Advisory Council of Ivey's Lawrence National Centre for Policy and Management. The Centre also named fellow Western alumni **Perrin Beatty** (BA'71, LLD'13), President and CEO of the Canadian Chamber of Commerce, as a new advisory council member, and *Maclean's* magazine senior writer **Paul Wells** (BA'89) as a new Fellow to the Centre.
- Alumna **Heather Joy Ross** (LLB'84) was awarded the Law Society of Upper Canada's Medal for Outstanding Service.

Leadership update: On April 27, I was pleased to announce **Lesley Rigg** has been named Western's next Vice-President (Research), effective August 1, 2020 to June 30, 2025. She will also be appointed Professor of Geography with tenure. Dr. Rigg is currently Dean of the Faculty of Science at the University of Calgary. Prior to joining Calgary in 2015, where she has been renewed for a second term as dean, Lesley served in progressively senior roles at Northern Illinois University, including Vice President for Research & Innovation Partnerships.

In recent months, we've also announced new appointments, or appointment extensions, for nine other senior leaders, including:

- Acting Vice-Provost & Associate Vice-President, Indigenous Initiatives, **Candace Brunette-Debassige** (term beginning May 1, 2020 through December 31, 2020)
- Acting Associate Vice-President (Research), **Jacquelyn (Jacquie) Burkell** (current term extended to July 1, 2021)
- Acting Associate Vice-President (Research), **Kevin Shoemaker** (current term extended to July 1, 2021)
- Acting Dean of Social Science, **Joan Finegan** (current term extended to August 31, 2020)
- Acting Dean of Education, **Kathryn (Kathy) Hibbert** (current term extended to December 31, 2020)
- Acting Vice-Provost (Academic Planning, Policy & Faculty), **Margaret McGlynn** (term beginning July 1, 2020 through June 30, 2021)
- Special Advisor to the Provost, Faculty Employment Equity, **Karen Campbell** (term beginning July 1, 2020 through June 30, 2021)
- Special Advisor to the President, **Sarah Prichard** (term beginning August 1, 2020 through June 30, 2021)
- Acting University Secretary, **Amy Bryson**

We thank all these leaders for their ongoing dedication and service to Western as we continue to transition through a period of significant change and renewal on our campus. In the meantime, the work of selection committees for the following senior positions remain underway: Dean of Education, Dean of Social Science, Vice-Provost (Academic Planning, Policy & Faculty), and Vice-Provost & AVP (Indigenous Initiatives). Committees have also been struck for the Deans of Health Sciences and the Don Wright Faculty of Music. A selection committee for the University Secretary will be struck when Senate reconvenes in September.

Investing to Address Climate Change: A Charter for Canadian Universities

June 2020

Climate change is now recognized as one of the defining challenges facing humanity. It is already leading to profound social, economic and environmental changes in Canada and around the world. Universities have a responsibility to act constructively to address this challenge.

Indeed, by leveraging their many assets, universities can devise comprehensive strategies to address climate change. As educators, our teaching has the power to enhance understanding of the principles of sustainability. As knowledge producers across a wide range of disciplines, our research is essential in advancing knowledge about climate change and helping identify effective, evidence-based solutions. As major owners of property and facilities, we have an important opportunity to reduce the carbon emissions arising from our own operations. And, as stewards of long-term investments, we have a responsibility to manage our capital in ways that accelerate the transition to a low-carbon economy and protect our stakeholders from the growing risks associated with climate change.

There is a growing consensus that climate change will have significant implications for investment management. Climate-related risks are now recognized as having material consequences for businesses in every corner of the economy, with regulators encouraging individual companies to disclose these risks in a more transparent and comprehensive way.¹ This development is part of a larger shift towards responsible investing, which takes into account a broad set of environmental, social and governance (ESG) factors.²

At the same time, those industries and businesses that are well-positioned to take advantage of the shift to clean, renewable energy and low-carbon economic activities present potentially attractive and more impactful investment opportunities.

Prudent practice now requires institutional stewards of long-term investments to adopt processes that take into account material climate-related investment risks. Failure to do so may constitute a dereliction of fiduciary duty by investment managers, who have an obligation to serve the best long-term interests of beneficiaries.

¹ Final Report: Recommendations of the Task Force on Climate-Related Financial Disclosures, Financial Stability Board, June 2017 (<https://www.fsb-tcfd.org/publications/final-recommendations-report/>); Final Report of the Expert Panel on Sustainable Finance – Mobilizing Finance for Sustainable Growth, Government of Canada, 2019 (<https://www.canada.ca/en/environment-climate-change/services/climate-change/expert-panel-sustainable-finance.html>)

² See for example <https://utam.utoronto.ca/responsible-investing/>; https://mcgill.ca/boardofgovernors/files/boardofgovernors/13_gd19-29_camsr_report.pdf and https://www.cdpq.com/sites/default/files/medias/pdf/en/ra/id2018_rapport_investissement_durable_en.pdf

Moreover, such a responsible investing approach will also foster the transition to a low-carbon economy, by directing capital to investments in promising areas that are poised to offer alternative, more sustainable solutions. Furthermore, by applying a responsible investing framework to their entire portfolio, investors ensure that the carbon-emitting behaviour of *all* businesses and sectors of the economy are subjected to equal and rigorous scrutiny.

Universities have a duty to manage their long-term investment portfolios in ways that acknowledge and account for these developments. With these considerations in mind, the signatories to this charter pledge to abide by the following principles and practices, and encourage other Canadian universities to do the same:

1. Adopt a responsible investing framework to guide investment decision-making, in line with recognized standards such as the UN-supported Principles of Responsible Investment (UN-PRI). Such a framework should:
 - a. Incorporate ESG factors into investment management practices
 - b. Encourage active engagement with companies to foster disclosure of ESG (including climate) related risks, and adoption of operational practices that reduce carbon emissions and foster ESG-positive behaviour more broadly
2. Regularly measure the carbon intensity of our investment portfolios, and set meaningful targets for their reduction over time
3. Evaluate progress towards these objectives on a regular basis, and share the results of such assessments publicly
4. Ensure that the performance evaluation of our investment managers takes into account their success in achieving such objectives, alongside the other criteria for assessing their performance

Signatories:

McGill University
University of Toronto
University of British Columbia
Dalhousie University
University of Guelph
Université Laval
University of Ottawa
University of Manitoba

McMaster University
Université de Montréal
Queen's University
Simon Fraser University
University of Victoria
University of Waterloo
Western University

Advisory Committee:

Mark Carney
Pauline D'Amboise
Michael Sabia
Barbara Zvan

UNANIMOUS CONSENT AGENDA

FOR APPROVAL

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

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

Minutes

1. Open Session Minutes of the April 23, 2020	ACTION
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Report of the Property & Finance Committee – Appendix II

2. Scholarships, Awards, and Prizes	INFORMATION
3. Radiation-Induced Chemistry Research Chair	INFORMATION
4. Antonios Mamandras Chair in Graduate Orthodontics	INFORMATION
5. 2019-20 Operating Budget as at April 30, 2020	INFORMATION
6. Semi-Annual Ratio Report on Non-Endowed Funds	INFORMATION
7. Ancillary Financial Report	INFORMATION

Report of the Senior Policy and Operations Committee – Appendix III

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

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

10. Revisions to the Terms of Reference of the McIntosh Gallery Committee (Special Resolution 1-H)	ACTION
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Report of the Audit Committee – Appendix V

11. Campus Community Police Service – 2020 Annual Report	INFORMATION
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Report of the McIntosh Gallery Committee – Appendix VI

12. Director's Report: McIntosh Gallery Pandemic Action Plan May 6, 2020	INFORMATION
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Items Referred by Senate – Appendix VII

13.	Faculty of Arts and Humanities and Faculty of Social Science – Proposed Name Change: The Department of Women’s Studies and Feminist Research to the Department of Gender, Sexuality, and Women’s Studies	ACTION
14.	Faculty of Social Science – Proposed Name Change: The Department of Geography to the Department of Geography and Environment	ACTION
15.	Annual Report of the Working Group on Information Security (WGIS) – 2019	INFORMATION
16.	Reports on Promotion, Tenure and Continuing Appointment	INFORMATION
17.	Report of the Academic Colleague	INFORMATION
18.	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

APRIL 23, 2020

The meeting was held at 1:00 p.m. via Zoom videoconference.

PRESENT: R. Konrad, Chair
K. Kwan, Secretary

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

By Invitation: A. Blackburn-Evans, A. Bryson, R. Chelladurai, K. Cole, P. Eluchok,
A. Hrymak, L. Logan, L.A. McKivor, J. O'Brien, T. Rice, M. Ruddock, S. Prichard

Regrets: E. Holder

Land Acknowledgement

D. Keddy read a Land Acknowledgement.

Chair's Remarks

The Chair expressed his sincere gratitude to faculty, staff, students, and the Board of Governors for supporting the University and the London community during the COVID-19 pandemic.

A moment of silence was observed in honour of the victims of the Nova Scotia mass shooting.

BG.20-27

REPORT OF THE PRESIDENT

The Report of the President, distributed with the agenda, consisted of the following topics: Schulich Leaders Scholarship Program, Budget 2020 presentation to House of Commons' Standing Committee on Finance, United Way campaign achievement, anti-racism working group update, accolades for campus community members who were recognized with special honours, and leadership review and selection updates.

The President expressed his appreciation to the Western community for their collaborative efforts in response to the COVID-19 pandemic. He reported that the University successfully pivoted to an emergency delivery of virtual course content, allowing thousands of students to complete their degrees. Encouragingly, enrollments for the virtual summer term are roughly on par with the

previous year. The President reported that approximately 450 students, many of whom are international, currently remain in residence halls. These students have been dispersed across all residence halls to allow for social distancing.

The President acknowledged the impressive commitment by the Federal government of \$9 billion for support programs to aid Canadian students. He also acknowledged the Federal government's additional \$1 billion commitment for vaccines and other health-related COVID matters. The President reported that the Acting Vice-President (Research) and her team are working to ensure that Western researchers are poised to take advantage of public funding for research, as it is made available.

The President said that the University is aware of the stresses in the community. He reported that a Student Relief Fund was created in the early days of the crisis to respond to the immediate needs of students. He also noted that Employee Assistance Programs are available for staff, and that the University is trying to provide flexibility for staff working at home.

The President reported that Western has had great engagement with the local community. Some of this work to date has included producing medical face shields, making residence halls available for health care workers, working closely with local hospitals, and launching the 'Master the Entrepreneur Skillset' 6-week virtual masterclass free of charge for Western alumni, students, faculty and staff. At the national and international level, the President reported that a number of faculty have won grants for vaccine research and for research on the social impact of the pandemic. He also announced that Western led in the creation of an online platform to bring Canadian researchers together.

Lastly, the President welcomed A. Blackburn-Evans, who began in her role as Western's new Chief Communications Officer on April 6. He thanked T. Rice for his extraordinary efforts in the interim role.

BG.20-28 **UNANIMOUS CONSENT AGENDA** [Appendix I]

It was moved by J. Toswell, seconded by H. Usher,

That the 14 items listed in Appendix I, Unanimous Consent Agenda, be approved or received for information.

CARRIED

BG.20-29 **Minutes of the Previous Meeting**

The open session minutes of the meeting of January 23, 2020 were approved as circulated.

BG.20-30 **Business Arising from the Minutes**

There were no items noted as business arising from the January 23, 2020 minutes.

REPORT OF THE PROPERTY & FINANCE COMMITTEE [Appendix II]

Prior to considering the Report of the Property & Finance Committee, C. Karakatsanis provided the Board with a high-level overview of the work of the Committee.

BG.20-31

2020-21 University Operating and Capital Budgets

It was moved by K. Mequanint, seconded by C. Rorabeck,

That the Board of Governors approve the 2020-21 University Operating and Capital Budgets as shown in Appendix II, Annex 1 and the proposed Program Specific Fees and Other Supplemental Fees for 2020-21 as shown in Appendix II, Annex 2.

A. Hrymak, Provost & Vice-President (Academic) presented the 2020-21 University Operating and Capital Budgets detailed in Appendix II, Annex 1. The slides from his presentation are attached as **Appendix 1**. He reported that the \$841-million budget – the second in a two-year budget planning cycle – includes one-time spending for strategic priorities and new student supports in light of COVID-19. He said the budget would also provide flexibility in the coming months regarding how to use carryforward funds, if needed, in the short-term to address issues that may arise from the pandemic.

Among the priorities and new initiatives for this year are \$122 million in one-time allocations that include:

- A \$13.5-million student support fund to take the form of scholarships, bursaries, work-study, summer research opportunities and residence accommodation subsidies;
- Expanding interdisciplinary initiatives and activities that transcend academic disciplines and create new areas of scholarships, and restructuring the process so it becomes more helpful to champions of interdisciplinary work;
- Seed funding for the Western Academy for Advanced Research, set to launch in 2021, which will bring together research and scholarship with leaders from outside the university to help solve pressing issues;
- An additional \$10 million to support the continuation of the Western Research Chairs program in order to highlight and promote exceptional research.
- Adding an Office of Indigenous Initiatives with additional base funding and permanent staffing in community relations, admissions, enrolment planning, curriculum and pedagogy advising and elders-in-residence and in support of the principles of reconciliation;
- Supporting the university-wide data strategy initiative as a path to equip students, faculty and staff with greater data acumen, and to support data-funded research.

A. Hrymak noted that the University continues to prioritize projects from past budget years, including:

- Support for further development of Western Entrepreneurship as a cross-campus ecosystem;
- An efficiency and innovation fund aimed at generating revenue and reducing structural costs;
- Strategic expansion of Engineering in enrollment, faculty/staff complements and facility expansion and renewal;
- An Innovation and Collaboration Hub for Advanced X-Ray Imaging and Intervention in the Robarts Research Institute;
- Growth of Endowed Matching Chairs program; and,
- Key capital projects that will be underway as physical distancing measures allow.

A. Hrymak explained that the budget assumes that provincial grant funding and federal research support funding will remain unchanged. As mandated by the province, domestic tuition will remain

frozen at 2019-20 levels, after having been rolled back 10% at the start of the school year. International student tuition will increase by 8% for first-year students and by 4% for upper-year students in most undergraduate programs.

A member informed the Board that there has been a constant rumble of unhappiness at Senate regarding transfers from the operating budget to the capital budget. A. Hrymak noted that the capital budget informs how the University is able to support some of the University's longer-term aspirations in terms of academic planning. He said that operating budget transfers are only one component of capital budget expenditures. A. Hrymak directed Board members to the April Senate minutes for a record of the extensive responses provided on this topic.

The Board member also noted that there was considerable discussion at Senate regarding the way in which research is funded. The member informed the Board that some Senators think there is an underlying issue with how money flows to research. S. Prichard, Acting Vice-President (Research) said that the budget supports research in a number of ways. She reported that 26-30% of the budget is allocated to research, and that this figure would be higher if one examined in detail what flows through the faculties rather than through the central organization.

A Board member asked for clarification on the Board's role in setting the reserve level. R. Chelladurai, Associate Vice-President (Planning, Budgeting & Information Technology) explained that the Board is asked to consider what the appropriate reserve level should be at the end of every multi-year cycle.

A Board member expressed concern regarding the transfers from the operating budget to the capital budget. He noted that the operating budget is largely student-funded and suggested that there should be other sources of funding for capital expenditures. A. Hrymak clarified that capital projects are not funded solely by the operating transfers. He also reminded the Board that many buildings support the academic mission of the University. The Board member provided examples of specific capital projects in the budget that do not support the academic mission of the University (e.g., multi-level parking structure) and asked if these could be deferred. A. Hrymak clarified that some capital projects in the budget are only notionally sketched out and have not been authorized to go to next stages of construction. He said that these projects could be deferred if the University needed the resources for other funding (e.g., transfers to the faculties or library).

A Board member asked for clarification on funding for deferred maintenance. R. Chelladurai explained that the \$15.5 million annual maintenance transfer is a base amount in the budget used for Maintenance, Modernization, and Infrastructure (MMI). Additional one-time allocations are made for major projects.

A Board member noted that some Grade 12 students in the community are planning on repeating their final year of high school in light of the interruption caused by COVID-19. A. Hrymak indicated that the University recognizes this concern and is working to put supports in place for those students. Western will offer a free program that will allow Grade 12 students to complete a self-assessment on Grade 12 courses that have been identified as key to success. Western will also provide tutoring services to help students gain confidence and be successful in their first year at Western.

Noting that the budget assumes a 7.5% reduction in revenue from international tuition, a Board member asked if the University had considered a potential loss in revenue in domestic student tuition. A. Hrymak said that the University is taking into account the many factors that will affect students' confidence and decision-making on continuing their university studies. He reported that the University will monitor enrollments and will move more resources to students, if needed.

A Board member asked if there would be any adjustment in tuition if the University's course offerings are virtual for the fall semester. A. Hrymak clarified that tuition will not vary depending

on the modality of delivery. The Board member also asked if students would have the opportunity to opt out of residence depending on the availability of in-person classes. A. Hrymak said that the University is looking at a number of different scenarios. One scenario includes a rolling start, with students moving into residences as they are able to join on campus over the course of the fall semester.

A Board member raised the issue of traffic concerns around campus, notably at the intersection of Western Road and Sarnia Road, and asked if consideration had been given to improving the safety of this location. L. Logan, Vice-President (Operations & Finance) reported that discussions are underway between the University and the City regarding short-term strategies. A full redevelopment of the intersection is likely years away.

A Board member applauded administration on their prudent and well thought out response to the COVID-19 pandemic.

A member urged the Board to keep in mind from a governance perspective the importance of allowing administration the flexibility to react in real time and to take advantage of any opportunities that present themselves during the COVID-19 pandemic.

The question was called and CARRIED.

BG. 20-32 **Student Fee-Funded Units, Ancillaries and Academic Supports**

It was moved by K. Gibbons, seconded by H. Usher,

That the Board of Governors approve the 2020-21 budgets for Student Fee-Funded Units, Ancillaries, and Academic Units summarized in the report entitled "Student Fee-Funded Units, Ancillary Units, Academic Support Units, and Associated Companies".

CARRIED

BG. 20-33 **Student Organization Fee Proposals for 2020-21**

It was moved by K. Mequanint, seconded by G. Dick,

That the organization fees for the University Students' Council for 2020-21 shown in Appendix II, Annex 3, Table 2 (full-time undergraduates) and Table 3 (part-time undergraduates) be approved, as requested by the USC.

That the organization fees for the Society of Graduate Students for 2020-21 as shown in Appendix II, Annex 3 Table 2 (full-time graduate Students – three terms) and Appendix II, Annex 3, Table 3 (part-time graduate students) be approved as requested by SOGS.

That the organization fees for the Honours Business Administration Association for 2020-21 shown in Appendix II, Annex 3, Table 2, note b, be approved as requested by HBAA.

That the organization fees for the Master of Business Administration Association for 2020-21 shown in Appendix II, Annex 3, Table 2 be approved as requested by the MBAA.

CARRIED

BG.20-34 **Annual Report and Recommendations of the Student Services Committee**

It was moved by G. Dick, seconded by C. Stephenson,

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

CARRIED

A Board member applauded the Student Services Committee for the care and clarity with which they presented the material. She noted that she was pleased to see that the Committee had been Co-Chaired by the President of the University Student Council (USC) and the President of the Society for Graduate Students (SOGS).

BG.20-35 **Information Items Reported by the Property & Finance Committee**

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

- Investment Committee Membership:
 - D. Porter reappointed for a two-year term, ending February 28, 2022
 - J. Knowles reappointed to a three-year term ending May 30, 2023
- Scholarships, Awards, and Prizes
- Western University Standard and Poor's University Credit Rating
- Experiential Learning Innovation Scholars

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

BG.20-36 **Information Items reported by the Senior Policy and Operations Committee**

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

- Committee Appointments:
 - Henri Boyi, Gerald Wright, Catherine Elliot Shaw and Thy Phu to the McIntosh Gallery Committee as members-at-large, effective February 1, 2020 until January 31, 2023.

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

BG.20-37 **Information Items reported by the Fund Raising and Donor Relations Committee**

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

- Fund Raising Activity Quarterly Report to January 31, 2020

ITEMS REFERRED BY SENATE [Appendix V]

BG.20-38 **Renewal of the Articulation Agreement between Western University, Brescia University College, Huron University College, King's University College, and Fanshawe College regarding the transfer of credit for students in the General Arts and Science Program**

It was moved by A. Shepard, seconded by K. Sullivan,

That Board of Governors approve the renewal of the Articulation Agreement between Western University, Brescia University College, Huron University College, King's University College, and Fanshawe College regarding the transfer of credit for students in the General Arts and Science program, effective March 1, 2020, as shown in Appendix V, Annex 1.

CARRIED

BG.20-39 **Information Items Referred by Senate**

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

- 2020-21 University Operating and Capital Budgets
- 2020 Entrance Standards for Undergraduate First-Year Admissions
- Five-Year Enrolment Projections
- Report on Year One Class and Entering Averages
- Vice-Provost's Annual Report on Faculty Recruitment and Retention February 2020
- Report of the Academic Colleague
- Western Libraries Annual Report 2018/19

ADJOURNMENT

The meeting adjourned to the confidential session at 2:30 p.m.

R. Konrad
Chair

L.A. McKivor
Associate University Secretary

Budget 2020-21

Board of Governors
April 23, 2020

Context / Background

Internal Planning Parameters

- Moving to Second Year of 2-Year Planning Period
- A Year Ago (i.e. Year 1)
 - Domestic Tuition Rolled Back 10% -- estimated \$43M base revenue loss over two years
 - Internal Budget Planning Included:
 - 3% Inflationary Budget Adjustment (IBA)
 - Selective Investments through APF/SUPF
 - Funding for Strategic Priorities
 - Tuition Revenue Sharing with Faculties
 - Additional 2.5% reduction in each of 2 years

Internal Planning Parameters

- For Year 2 – as of Mid-February 2020
 - Year 1 Assumptions and Parameters in place
 - Completed Planning Process for Year 2
 - Unit and University Budget Plans Developed
 - Faculty and Support Unit Recommendations provided February 6th and 20th respectively
 - University Budget Developed – end of February
- March 2020 – COVID-19
 - Enrolment and Revenue Uncertainties

External Context

- Mid-February 2020 – Revenue Parameters
 - Domestic Tuition Rolled-back 10% in 2019-20 and held flat in 2020-21
 - No formal word on Government Grants
 - Corridor System in place
 - Our assumption – no change in grant levels
- March 2020 – COVID-19
 - Pressures on the Province; Economic Downturn
 - Concerns about Future Grant Funding Levels

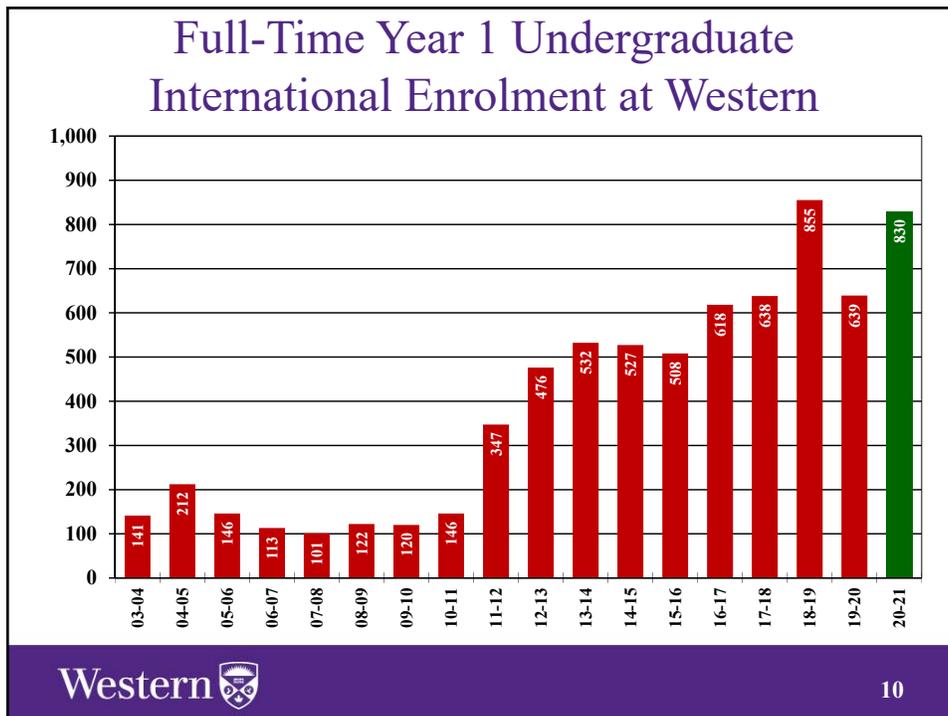
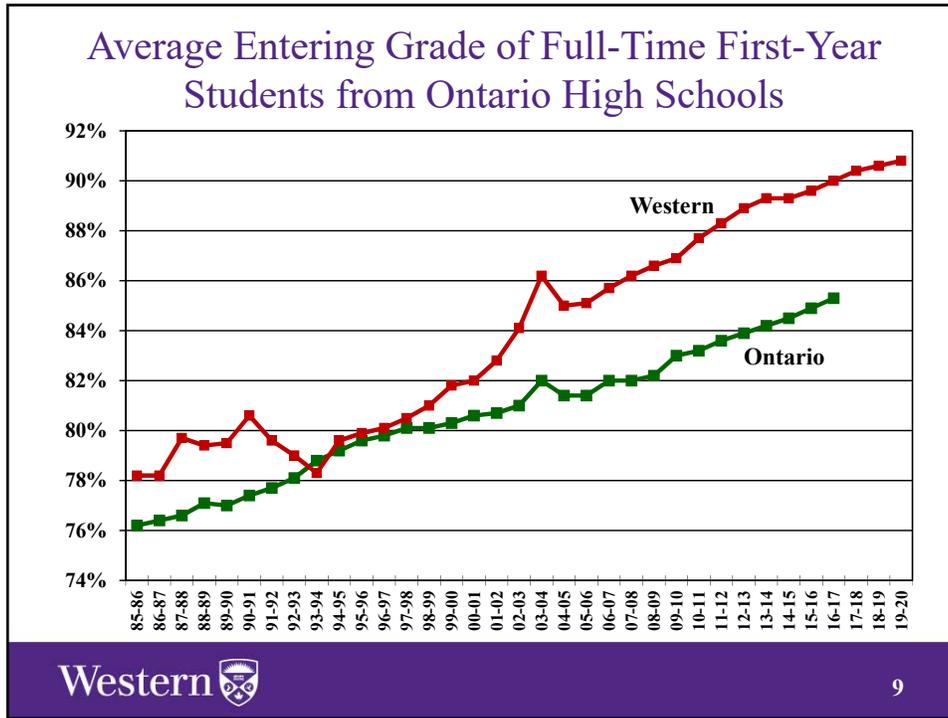
Our Recommendations

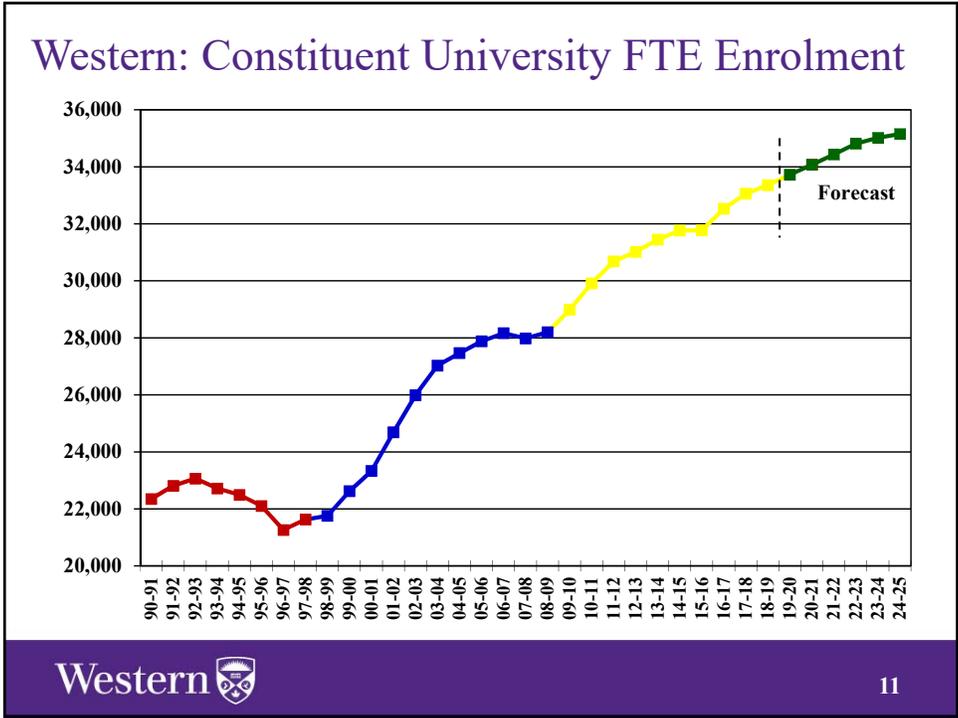
- With Revenue Risks as background
- Continue with Budget Plan for 2020-21 – which has the ability respond to possible lower revenues, by deferring one-time expenditures as needed
- Assume 7.5% reduction in int'l undergrad tuition revenue
- The Operating Reserve will also allow us to manage through any revenue downturn (for next year)
- If the Revenue Issues continue past next year, then we will have to make adjustments in future years
- This approach will allow our units to move forward with planning for 2020-21

Enrolments: The Main Driver of Operating Revenues

SUEPP-approved Enrolment Forecasts For 2020-21 Budget Planning Purposes

- Undergraduate
 - First-year class of 5,430
 - Which includes International intake of 830
 - Based on input from Deans and academic/educational quality considerations
- Graduate
 - As per the Plans submitted by the Faculties
- **COVID-19 could impact these plans**

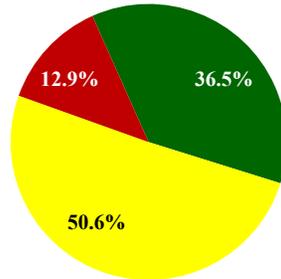




The 2020-21 Operating Budget

Western  12

Projected 2020-21 Operating Revenues (Total = \$807.5M)



■ Govt Grants
 ■ Tuition
 ■ All Other

Our Strategic Priorities

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

Investments and New Initiatives in this Budget

Investment / New Initiative	Investment	Strategic Plan Pillars
NEW Office of Indigenous Initiatives	\$760K Base	2, 3
Long-Range Space/Plan: University Community Hub, Science/Medicine ID Facilities, Medical School Facilities, Pedestrian-friendly Campus, Energy Conservation, Sports Dome	\$65.5M One-Time	1, 2
COVID-19 Related Student Financial Support Programs	\$13.5M One-Time	2
Continuation of Western Research Chair Program	\$10M One-Time	1, 2
Interdisciplinary Initiatives (IDIs)	\$2.9M One-Time	1, 2
The Western Academy for Advanced Research	\$1M One-Time	1, 2, 3
University-wide Data Strategy Initiatives	\$1M One-Time	1, 2, 3
Strategic Expansion of Engineering: Multi-Year Self-Funding Plan	\$11M One-Time; \$912K Base	1, 2, 4

Summary of the 2020-21 Operating Budget (Table 2)

- **Revenue Forecast** = \$ 807.5M
 – Increase of 1.4%
- **Expenditure Plan** = \$ 841.9M
 – Increase of 5.2%
- **Projected In-Year Position** = \$ -34.4M
- **Projected Operating Reserve** = \$ 56.7M

The 2020-21 Capital Budget

Overview of the 2020-21 Capital Budget

- Supports Long-Range Space Plan (Page 33, Table 13)
- Major Projects – underway or upcoming (Category 1)
 - Modernization of Thames Hall
 - Weldon Library Modernization
 - Biomedical Research Facility: Phase 1 of Medical Project
 - Public Health & Family Medicine Building 3rd Floor Completion
 - Indigenous Learning Spaces
 - Ivey Spencer Leadership Centre Renewal / Expansion
 - Entrepreneurship and Innovation Centre
 - Pedestrian-friendly Campus Initiatives
- Preliminary Planning underway for Category 2 Projects
 - University Community Hub, Science/Medicine ID Facilities
 - Future Medical School Phases, Sports Facilities

Overview of the 2020-21 Capital Budget

- **Total Spending of \$130.7M** (Table 14, line 10)
 - \$44.5M for New Construction (Table 17, line 10)
 - \$33.7M for Major Renovations (Table 17, line 18)
 - \$52.5M for All Other Expenditures
 - Utilities and Infrastructure
 - Modernization of Academic Facilities
 - General Maintenance and Modernization
 - Housing and Ancillary Projects

END

REPORT OF THE PROPERTY & FINANCE COMMITTEE

Contents	Consent Agenda
MAPP 2.26: Statement of Investment Objectives, Policies & Governance - Revisions to Policy	No
MAPP 2.14: Disclosure of Information on Western Investments – Revisions to Policy	No
Budget and Fees Update and Recommendation <ul style="list-style-type: none"> • 2020-21 Program-Specific Tuition and Fees and Other Supplemental Fees 	No
Scholarships, Awards, and Prizes	Yes
Radiation-Induced Chemistry Research Chair	Yes
Antonios Mamandras Chair in Graduate Orthodontics	Yes
2019-20 Operating Budget as at April 30, 2020	Yes
Semi-Annual Ratio Report on Non-Endowed Funds	Yes
Ancillary Financial Report	Yes

FOR APPROVAL

1. **MAPP 2.26: Statement of Investment Objectives, Policies & Governance – Revisions to Policy**

Recommended: That the Board of Governors approve the revised Statement of Investment Objectives, Policies & Governance for the Short-Term Portfolio, the Mid-Term Portfolio and the Operating and Endowment Fund as shown in [Annex 1](#).

Background:

Western’s Statement of Investment Objectives, Policies and Governance (SIOP&G) for the Short-Term Portfolio, the Mid-Term Portfolio and the Operating and Endowment Fund provides a framework for the prudent investment of the investment portfolios which belong to the University and outlines the roles and responsibilities of those who make decisions regarding the Portfolios. The Board last approved changes to this policy in June 2019.

On May 28, 2020, the Investment Committee, a subcommittee of the Property & Finance Committee, approved a revised SIOP&G. The main changes that led to this updated SIOP&G are:

- An asset mix review conducted by Mercer, the University’s new investment consultant;
- A revised Responsible Investing Policy;
- The introduction of a line of credit to manage short-term liquidity needs.

This report summarizes the main changes made to the document.

Section 5 – Investment Objectives and Policies – Operating & Endowment Fund

- Subsection 5.2: the expected return and standard deviation of the Fund were revised as of March 31, 2020.
- Subsection 5.3:

- a commitment to invest 5% to 10% of the Fund in sustainable investment strategies was added (also included in Subsection 7.8);
- the new asset mix is 60% Equities, 15% Fixed Income, 20% Real Return Strategies and 5% in Diversifiers (previous 65% Equities, 15% Fixed Income, 15% Real Return Strategies and 5% Diversifiers);
- private debt was added to the list of investment strategies (also described in Subsection 6.1).
- Subsection 5.4:
 - the rebalancing policy was updated for the target mix and allowable drift. The allowable drift for strategic asset classes is +/-7.5%, while it is +/-5% for subclasses;
 - some clarifying language related to rebalancing and oversight was added.
- Subsections 5.9 and 5.10: a line of credit to manage short-term liquidity needs is introduced. The facility would be restricted for use in the Fund and is available to help manage rebalancing, capital calls, or currency hedging so the Fund does not become a forced seller under certain circumstances.

Section 7 – Responsible Investing

- Subsection 7.2 clarifies that Western's Responsible Investing Policy has two components: 1) an ESG framework that applies to every external investment manager and 2) a pro-active allocation of capital to solutions-based investments that are considered progressive.
- Subsection 7.8 is new and describes Western's Sustainable Investment Strategy. Access to clean water, carbon footprint reduction and pollution abatement will be the initial areas of interest. Investment themes may include: clean and renewable energy, water treatment solutions, waste management solutions.

2. MAPP 2.14: Disclosure of Information on Western Investments – Revisions to Policy

Recommended: That the Board of Governors approve the revised MAPP 2.14 policy as shown in [Annex 2](#).

Background:

MAPP 2.14 – Disclosure of Information on Western Investments

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

The recasting required minor editorial changes and allowed for the inclusion of procedures to the policy. The substantive changes are highlighted below:

General

- Structural change to separate policy and procedure.

Policy

- Policy amended to update authorities and who may respond to certain disclosure requests.
- The investment staff may now respond to certain disclosure requests related to investment holdings (previously addressed by the President or Vice-President (Operations & Finance)).
- The President and Vice-President (Operations & Finance) (previously just the President) will be responsible to manage all other requests in accordance with the policy.

Procedures

- Procedures were added to address who constitutes the investment staff and to document the flow requests should follow. The Procedures are provided for information in [Annex 3](#).

A copy of the existing MAPP 2.14 is attached as [Annex 4](#) for comparison purposes.

2020-21 Program Specific Fees and Other Supplemental Fees

Recommended: That the Board of Governors approve the revised Program Specific Fees and Other Supplemental Fees for 2020-21 as shown in [Annex 5](#), Table 1.

Background:
See [Annex 5](#).

FOR INFORMATION

3. **Scholarships, Awards, and Prizes**

At its meeting on June 2, 2020, the Property & Finance Committee approved on behalf of the Board of Governors, the Terms of Reference for new scholarships and awards as outlined in [Annex 6](#).

Background:
See [Annex 6](#).

4. **Radiation-Induced Chemistry Research Chair**

At its meeting on June 2, 2020 the Property & Finance Committee approved a motion that the Radiation-Induced Chemistry Research Chair be established and appointed within the Faculty of Science.

Background:
See [Annex 7](#).

5. **Antonios Mamandras Chair in Graduate Orthodontics**

At its meeting on June 2, 2020 the Property & Finance Committee approved a motion that the Antonios Mamandras Chair in Graduate Orthodontics be established and appointed within the Schulich School of Medicine & Dentistry

Background:
See [Annex 8](#).

6. **2019-20 Operating Budget as at April 30, 2020**

The 2019-20 Operating Budget as at April 30, 2020 is provided in [Annex 9](#).

7. **Semi-Annual Ratio Report on Non-Endowed Funds**

The Semi-Annual Ratio Report on Non-Endowed Funds is provided in [Annex 10](#).

8. **Ancillary Financial Report**

The Ancillary Financial Report is provided in [Annex 11](#).

Policy 2.26 - Statement of Investment Objectives, Policies and Governance

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

Revised ~~May 2019~~ June 2020

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Section 1 Purpose and Background

1.1 Introduction

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

1.2 Description of Portfolios

The Fund consists of two components:

- i) endowed assets that are invested to generate income sufficient to meet the payout rate established by the Board of Governors (the “**Board**”) under Investment Payout Policy (“[Policy 2.11](#)”) to fund endowed chairs and scholarships, among others (the “**Endowed Portfolio**”); and
- ii) excess cash related to non-endowed funds (the “**Operating Portfolio**”).

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

The University also holds two additional portfolios:

- a Short-Term Portfolio (STP) generally invested in a bank account, a money market fund and a high-interest savings account; and
- a Mid-Term Portfolio (MTP) invested mainly in liquid stocks and fixed income securities.

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

Section 2 Statement of Investment Committee Beliefs

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

- A governance framework is essential to achieve success in managing investments and consists of:
 - i) a diverse, independent and experienced Investment Committee to mentor, monitor and counsel University Administration;
 - ii) written investment objectives, policies and governance guidelines to facilitate efficient operations;
 - iii) acknowledgment and delegation of responsibilities amongst four levels of fiduciaries:
 - Board of Governors (“**Board**”) – approves policies and is ultimately responsible for results attained;
 - Property and Finance Committee (“**P&F**”) – recommends policies to the Board;
 - Investment Committee (the “**Committee**”) – designs policies and oversees implementation thereon; and
 - University Administration (“**Administration**”) - implements policy directly and through contracted agents.
 - iv) establishment of risk management policies, commensurate with the Portfolios’ circumstance, which attempt to address the greatest investment risks within the Portfolios. However, it must be recognized that in order to attain the stated objectives, some risk is essential within the Portfolios.
 - A broadly diversified portfolio which includes, among other vehicles, as appropriate, cash, bonds, equities and less liquid non-traditional investments such as private equity, **private debt**, real assets and absolute return strategies are the best way to achieve required nominal and real returns and is a prudent and cost-effective method of reducing risk.
 - Cash is generally the asset class with the lowest expected long-term returns and should be minimized, except for the STP.
 - Bonds provide a steady income stream and often experience lower volatility when equity performance is volatile.
 - Equities provide dividend income and/or potential capital growth and are expected to outperform bonds by a risk and volatility premium.
 - Equity premiums are dynamic and unpredictable; hence, diversification by market, investment manager and style is preferred.
-

- Non-liquid and non-traditional investments, particularly in private equity, **private debt**, real estate and infrastructure, provide income and potential capital growth but generally require more specialized knowledge than public equities and have higher management fees.
 - Active portfolio managers are expected to add value above their respective benchmark after taking into account related fees, particularly in less efficient markets such as Canadian, Non-North American equities and non-traditional investments, including private markets. Active portfolio management is defined as any strategy where a manager uses proprietary knowledge to outperform a benchmark, as opposed to only replicating the benchmark return.
 - Portfolio return objectives and pursuits thereon must be evaluated on a net-of-fees basis.
 - Portfolio rebalancing according to asset range guidelines is a procedure that maintains equity/bond exposures at risk policy levels.
 - Due to the size of the Portfolios, it is more economical to use external investment managers (“**Managers**”). Managers should preferably be researched by the investment consulting community in order to be considered for managing a portion of the Portfolios.
 - The Committee should remain mindful of the size of the Portfolios’ holdings with a particular Manager in relation to the size of the Manager’s assets under management.
 - Liquidity needs will vary between the Fund, STP and the MTP. The Fund has a long duration with low liquidity needs and, as a result, can hold some of its assets in illiquid investments (e.g. non-traditional investments, including: real estate, private equity, **private debt**, infrastructure and hedge funds) with an objective to achieve additional diversification and an additional liquidity risk premium. The STP and the MTP have high and moderate liquidity needs, respectively, and as such, investments in illiquid asset should be minimized.
 - Attempting to achieve investment return advantages through market timing practices, such as frequent asset allocation changes, poses unacceptable risks to the Fund and the MTP. It is extremely difficult to repeatedly time the market through ongoing changes to the equity/bond mix and in individual elements of each portfolio. The Committee should be mindful of market cycles and while not attempting to engage in market timing practices, should consider modest portfolio rebalancing with market cycles in mind.
 - Most University operating costs and obligations are denominated in Canadian dollars; hence, some foreign currency hedging is desirable to reduce risk.
 - The Committee recognizes that environmental, social and governance factors may have an impact on corporate performance over the long-term, although the impact can vary by industry. Western’s Responsible Investing Policy is covered in Section 7.
 - As described in Section 6.4, members of the Committee will advise the Committee Chair of any conflicts of interest that arise.
 - The above investment beliefs should be reviewed on an annual basis.
-

Section 3 Investment Objectives and Policies – Short-Term Portfolio

3.1 Portfolio Objectives

- i) to preserve capital and minimize risk in order to meet the University's liquidity needs;
- ii) to obtain a reasonable level of return commensurate with risk, terms and liquidity.

3.2 Risk Tolerance

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

3.3 Liquidity

Liquidity needs are high given that the STP is used to fund day-to-day operations. Only investments that can settle into cash within a short period of time should be used.

Section 4 Investment Objectives and Policies – Mid-Term Portfolio

4.1 Portfolio Objectives

- i) to outperform the FTSE 91-Day T-Bill Index by 300 basis points over a 3 to 5 year period.
- ii) to generate investment returns that can be used to make additional allocations in relation to University priorities and needs.

4.2 Risk Tolerance

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

4.3 Asset Mix Policy

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

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

- Equity
- Interest rate (duration)
- Credit

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

Equities

- Canadian equities
- Global equities

Fixed Income

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

The allocation to each individual mandate is limited to 30% of the MTP market value. This constraint is in addition to the asset mix policy in section 4.4.

The table below shows the risk factors that each strategic asset class is exposed to:

Risk Factor Exposure

Strategic Asset Class	Risk Factors
Equities (Growth)	
Canadian Equities Global Equities	Equity Size (Small cap) Value / Growth
Fixed Income (Interest Sensitive)	
Core Fixed Income Corporate Bonds Commercial Mortgages	Interest rate Credit Deflation

4.4 Rebalancing Policy

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

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

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

4.5 Exposure to Non-Canadian Currencies

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

4.6 Measurement of Investment Returns

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

- The overall objective is to achieve a rate of return in excess of the FTSE 91-Day T-Bills + 300 basis points over a 3 to 5 year period, with a level of risk, as measured by the standard deviation of returns, ranging from 3% to 7%.
- The Managers are expected to achieve the performance objectives included in their mandates over the relevant time horizon.

4.7 Liquidity

Liquidity requirements for the MTP are moderate. In a normal environment, assets will not be taken out of the MTP to meet obligations. A significant portion of the portfolio should be convertible into cash in a relatively short timeframe, given the nature of the obligations that the MTP is backing.

Section 5 Investment Objectives and Policies – Operating & Endowment Fund

5.1 Fund Objectives

- i) To maintain the purchasing power of the Fund after payout over the long-term. The required return, at a minimum, should meet (after fees) the University Investment Payout [Policy 2.11](#).
- ii) to earn the return produced by the asset mix policy (Section 5.3), based on the return of the market indices, plus a premium to reflect active portfolio management. The premium should at least cover the cost of active management; and
- iii) to meet the following payout requirements:

For the Endowed Portfolio

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

For the Operating Portfolio

- b) Pay the 30-day Treasury bill rate less an established administrative fee to a portion of the non-endowed funds, as outlined in [Policy 2.11](#). Such portion of the Operating Portfolio includes the Capital Fund, Ancillaries, and Trust Funds but do not include Research Funds.
 - c) Pay the amounts required for the Supplemental Pension Plan and for Term Endowments as outlined in [Policy 2.11](#).
 - d) Pay an allocation to the University, subject to availability and restricted to one-time allocations. Allocations will not be made to fund general operations of the University.
 - e) Fund the initial and future allocations to the Major Strategic Opportunities Fund (“**MSOF**”), subject to the **Major Strategic Opportunities Fund Policy 2.31**
 - f) When investment returns exceed the above obligations and are in excess of the reserve requirements (as defined later in this document), the Board may make additional allocations in relation to University priorities and needs.
-

5.2 Risk Tolerance

The required real rate of return over time can only be achieved by accepting a level of volatility in returns from quarter to quarter and from year to year. The current expected asset mix policy return on the portfolio is ~~6.6~~ ~~7.0~~ ~~6.7~~ % and the expected standard deviation of returns is ~~11.1~~ ~~10.8~~ ~~11.0~~ % (see note 1 below). As a result, we expect that annual policy returns will fall within a range of minus ~~4.5~~ ~~3.8~~ ~~4.3~~ % to plus 17. ~~8~~ ~~7~~ % about 67% of the time and that annual returns will fall outside of this range about 33% of the time.

5.3 Asset Mix Policy

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

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

The university is committed to invest 5% to 10% of the portfolio in sustainable investment strategies, including but not limited to strategies trying to find solutions to the world environmental and climate change issues. Allocations to sustainable opportunities can be made through an allocation within equities, fixed income or real assets.

The current target asset mix policy is ~~65~~ 60% in Equities, 15% in Fixed Income, ~~15-20~~ % in Real Assets and 5% in Diversifiers. The asset mix policy is based on an optimization model that was externally developed and vetted by the Committee. This model projects investment return and risk based on historic relationships among the asset classes. To achieve the return objective, the portfolio has a substantial weight in growth assets.

1 Source: Mercer as of ~~December 31, 2018, June 30, 2019, March 31, 2020.~~

The table below shows the risk factors that each strategic asset class is exposed to:

Risk Factor Exposure

Strategic Asset Class	Risk Factors
Equities (Growth)	
Canadian Equities U.S. Equities EAFE Equities Global Equities Long/short Equities Private Equity	Equity Size (Small cap) Liquidity Value / Growth Foreign exchange
Fixed Income (Interest Sensitive)	
Core Fixed Income Commercial Mortgages Private Debt	Interest rate Credit Deflation Liquidity Foreign exchange
Real Assets	
Real Estate Infrastructure Commodities	Inflation Liquidity Foreign exchange
Diversifiers	
Absolute Return Strategies Market Neutral Strategies Cash	High yield credit spread Liquidity

5.4 Rebalancing Policy

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

Fund Rebalancing Policy

Strategic Asset Class	Target Mix	Allowable Drift	Range ¹
Equities²			
<i>Canadian Equities</i>	12.5%	+/- 5%	7.5% to 17.5%
<i>U.S. Equities</i>	17.5%	+/- 5%	12.5% to 22.5%
<i>EAFE Equities</i>	17.5%	+/- 5%	12.5% to 22.5%
<i>Private Equity</i>	12.5%	+/- 5%	7.5% to 17.5%
Total Equities	60%	+/- 7.5%	52.5% to 67.5%
Fixed Income			
<i>Core Fixed Income</i>	5%	+/- 5%	0% to 10%
<i>Commercial Mortgages</i>	5%	+/- 5%	0% to 10%
<i>Private Debt</i>	5%	+/- 5%	0% to 10%
Total Fixed Income	15%	+/- 7.5%	7.5% to 22.5%
Real Assets			
<i>Real Estate</i>	10%	+/- 5%	5% to 15%
<i>Infrastructure</i>	10%	+/- 5%	5% to 15%
Total Real Assets	20%	+/- 7.5	12.5% to 27.5%
Diversifiers			
<i>Cash</i>	0%	-0%, +10%	0% to 10%
<i>Absolute Return Strategies, Market Neutral Strategies</i>	5%	+/- 5%	0% to 10%
Total Diversifiers	5%	+/- 7.5%	2.5% to 12.5%

Strategic Asset Class	Target Mix	Allowable Drift	Range
Equities			
<i>Canadian Equities</i>	20%	+/- 5%	15% to 25%
<i>U.S. Equities</i>	20%	+/- 5%	15% to 25%
<i>EAFE Equities</i>	20%	+/- 5%	15% to 25%
<i>Private Equity</i>	5%	+/- 5%	0% to 10%
Total Equities	65%	+/- 5%	60% to 70%
Fixed Income			
<i>Core Fixed Income</i>	10%	-5%, +25%	5% to 30%
<i>Commercial Mortgages</i>	5%	+/- 5%	0% to 10%

¹ The Fund may fall outside of these ranges as it transitions towards the new target mix. Temporary deviations are allowed.

² Global equity strategies will be allocated to the appropriate region for compliance.

Total Fixed Income	15%	-5%, +25%	10% to 35%
Real Assets			
Real Estate	5%	+/- 5%	0% to 10%
Infrastructure	10%	+/- 5%	5% to 15%
Total Real Assets	15%	-10%, +5%	5% to 20%
Diversifiers			
Cash	0%	-0%, +10%	0% to 10%
Absolute Return Strategies, Market	5%	+/- 5%	0% to 10%
Total Diversifiers	5%	-5%, +10%	0% to 15%

The Administration may, at all times, rebalance the portfolio towards the target weights without prior approval of the Investment Committee, provided that the rebalancing is less than 2.5% of the Strategic Asset Class.

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

5.5 Target Ratios for the Operating Portfolio

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

The investment earnings objective is expected to exceed the payout requirements over time for the Operating Portfolio. Indeed, a fundamental premise is that investment returns in excess of the payout requirements will be generated to meet other important University needs.

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

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

5.6 Endowed Portfolio Payout Policy

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

5.7 Exposure to Non-Canadian Currencies

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

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

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

5.8 Measurement of Investment Returns

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

- The overall objective is to achieve the required rate of return over the long-term on the Fund, with an acceptable level of risk. The real rate of return is monitored on a 4 year annualized basis.
- The Managers are expected to achieve the performance objectives included in their mandates over the relevant time horizon.

5.9 Liquidity

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

- i) the availability of short-term and mid-term assets;
 - ii) the ratio of assets to obligations for the Operating Portfolio;
 - iii) any upcoming contributions to the University operating and capital budgets;
 - iv) internal loans; **and**
 - v) **borrowing within the Fund.**
-

5.10 Borrowing

In order to meet short-term liquidity needs arising from activities such as rebalancing, capital calls or currency hedging, the Fund may consider using line(s) of credit, secured by the Fund's assets. Draws on the credit facilities will have a combined limit of 5% of the Fund and should be repaid within 90 days. Short-term borrowing is restricted for use within the Fund, and is not available for general University operations.

Section 6 General Investment Guidelines and Operational Matters

6.1 Eligible Investments

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

Equities

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

Fixed Income

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

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

Real Assets

Real Asset investments include real estate, infrastructure and commodities.

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

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

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

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

Diversifiers

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

Cash and cash equivalents include the following securities:

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

3 Infrastructure investments projects include water, utilities, toll roads, bridges, tunnels, communications and airports, etc.

- Floating-rate notes issued by Canadian or foreign issuers; and
- High interest savings accounts.

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

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

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

6.2 Manager Structure

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

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

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

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

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

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

6.3 Cash Flow Management

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

- i) to maximize the funds that are available for external management in the Fund, while maintaining sufficient short-term and mid-term investments outside of the Fund to meet the University's working capital requirements;
- ii) to generally maintain a positive cash balance throughout each year in order to meet the University's liquidity needs, investing temporary excess cash either in the STP or MTP;
- iii) to only borrow funds for short periods of time to support operating purposes. A line of credit is maintained for operating needs **in the amount of up to \$20 million;** and
- iv) to ensure, as much as reasonably possible, that the funds allocated to Managers are not subject to short-term cyclical variations as a result of the University's cash flow needs.

6.4 Conflict of Interest

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

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

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

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

6.5 Proxy Voting

The exercise of voting rights acquired through any investment is delegated to the Managers with the instruction to vote in favour of any proposal which, in their opinion, will accrue and enhance the investment value of the relevant security, and against any proposals which will unduly increase the risk level or reduce the investment value of the relevant security to the detriment of the Fund or the MTP. However, when it would be in the University's best interest to do so, the University reserves the right to exercise its voting rights.

If the Manager firm, or any employee or associate of the Manager firm, has any direct or indirect pecuniary interest in any matter on which the Fund or the MTP has a right to vote, it must be brought to the attention of the Committee which has discretion to:

- i) instruct the Manager to exercise the voting right in line with the principles described above, on the grounds that the relevant pecuniary interest is not material; or,
- ii) instruct the Manager how to cast the Fund's or MTP's vote, having considered the principles described above; or,
- iii) authorize the Fund's and MTP's custodian/trustee to exercise the voting right in line with the principles described above.

6.6 Securities Lending

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

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

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

6.7 Derivatives Usage

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

6.8 Valuation of Infrequently Traded Instruments

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

Section 7 Responsible Investing

7.1 Introduction

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

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

7.2 Responsible Investing Strategy

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

The definition of RI, which is included in the WGRI Terms of Reference, is twofold:

- a) it will reference using Environmental, Social, Governance (“ESG”) factors as an integral part of the process;**
- b) it will involve being pro-active by allocating capital to solutions-based investments that are considered progressive (see section 7.8 for a definition of Western’s Sustainable Investment Strategy).**

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

7.3 Monitoring Managers

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

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

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

companies' management practices in contributing to the long-term health of each investee company.

7.4 Engaging Companies

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

7.5 Divestment

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

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

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

7.6 Advocacy and Collaboration

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

7.7 Disclosure

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

7.8 Sustainable Investment Strategy

Western recognizes the role of Responsible Investing in achieving a forward-looking Operating & Endowment Fund for the benefit of future generations.

To help steer its responsible investing strategy, Western is guided by the United Nations Sustainable Development Goals ("SDGs"). These 17 goals have been developed to confront major issues.

Western takes a broad and dynamic approach to sustainable investing, however a few issues have surfaced as being critical to its stakeholders. These include:

- Access to clean water
- Carbon footprint reduction
- Pollution abatement

Solving those issues presents new opportunities for investors and there is a growing number of businesses providing solutions to these problems and add to the University's long-term investment returns

Western is committing to invest a portion of its Operating & Endowment Fund (5% to 10% over the next five years) in companies providing solutions along the following themes:

- Clean and renewable energy
- Water treatment solutions
- Waste management solutions

These investments will be funded from the Operating & Endowment Fund public equity investments.

By focusing on those investment themes, Western would ensure that its investments will contribute to the following SDGs:

- 6) Clean water and sanitation
- 7) Affordable and clean energy
- 13) Climate action

The University reserves the right to select the appropriate investment vehicle to implement its strategy, in order to take advantage of all the opportunities available. These may include, in addition to publicly traded equities:

- Fixed income (such as green bonds)
- Natural resources (such as farmland and timber)
- Infrastructure assets
- Private equity

The selected investment strategies must demonstrate the pursuit of a lower carbon footprint, than is represented in global investment markets.

Section 8 Governance

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

8.1 Property and Finance Committee

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

- i) makes recommendations to the Board on investment policies and governance as recommended by the Investment Committee;
- ii) appoints members of the Investment Committee; and
- iii) reports investment activities to the Board.

8.2 Investment Committee

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

- i) establishes and regularly reviews investment policy, objectives and strategy;
- ii) appoints Managers and retains a fund measurement service and other investment consultants as appropriate; and
- iii) regularly reviews the Portfolios and the performance of the Managers and takes action as may be deemed appropriate.

8.3 Administration

- i) ensures compliance with legal and University requirements;
- ii) rebalances the Portfolios by transferring funds among managers and asset classes appropriate according to policies approved by the Committee and reports such activity to the Committee;
- iii) manages University cash flows **and any short-term borrowing of the Fund** in accordance with the objectives and policies outlined in Section 6 **and 5.10** of this document. Reports to the Committee about the University's cash flows and short-term investing activities on a periodic basis;

- iv) executes investment decisions made by the Committee;
- v) reports to the Committee on the performance of individual managers and of the Portfolios. Keeps the Committee informed of all other issues and developments relative to the management of the University Portfolios;
- vi) works closely with and directs the Consultant, the Custodian and the Managers as appropriate;
- vii) reports to the Committee on other University activities that have an impact on the investment portfolio;
- viii) periodically meets with each member of the Committee to discuss any concerns, additional information requirements and suggestions for improvement;
- ix) maintains an awareness of progressive investment management policies and practices at other Canadian and US universities;
- x) reports to the Committee and to the P&F on the ratio of investments to obligations for the non-endowed portion of the portfolio; and
- xi) makes recommendations to the Committee concerning terminating Managers and hiring new Managers.

8.4 Managers

- i) manage a specific investment mandate according to a set of investment guidelines and maintain compliance to those guidelines;
- ii) aim to achieve a performance objective;
- iii) report to the University on performance by providing attribution analysis, but also on changes at the firm in terms of organizational structure, personnel and investment process; and
- iv) vote proxies on behalf of the University according to proxy voting guidelines.

8.5 Custodian

- i) holds assets owned directly by the University and provides monthly valuation of those assets;
- ii) executes instructions provided by authorized representatives of Administration; and
- iii) coordinates securities lending, if any.

8.6 Investment Consultant

- i) assists the Committee in the development of governance structures, policies and procedures;
- ii) assists the Committee in identifying the objectives and risks to be managed and in implementing the appropriate asset mix;
- iii) provides research on emerging investment strategies;
- iv) maintains research on Managers employed by the University;
- v) assists with manager searches by giving the University access to its database of Managers, narrowing the universe, providing performance analysis, preparing questionnaires and attending finalist meetings;
- vi) provides quarterly opinions on the Fund's and MTP's performance;
- vii) informs the Committee on successful, seasoned, and state-of-the-art investment management technologies where relevant and appropriate; and
- viii) attends Committee meetings, at the invitation of the Investment Committee Chair.

8.7 Performance Measurement Consultant

- i) provides performance measurement services and analytical services through research reports, data and/or database(s) to be delivered by electronic means or hard copy format;
- ii) provides total fund, individual Manager and asset class return on a monthly basis; and
- iii) provides quarterly performance reports that include capital market commentary, market indexes, asset class summary by class and Manager, returns over selective time periods by class and Manager, returns attribution analysis, and comparative analysis measurement for active Managers.



POLICY 2.14 - Disclosure of Information on Western Investments

Policy Category:	Financial
Subject:	Disclosure of Information on Western Investments
Approving Authority:	Board of Governors
Responsible Officer:	Vice-President (Operations & Finance)
Responsible Office:	Financial Services
Related Procedures:	Procedures related to the Disclosure of Information on Western Investments
Related University Policies:	N/A
Effective Date:	June 25, 2020
Supersedes:	October 21, 1977

I. PURPOSE

The purpose of the policy is to define the responsibilities and accountabilities associated with the disclosure of information on Western investments.

II. DEFINITIONS

Disclosure requests: Requests that come from members of the University community or from recognized organizations in the University community which are not frivolous or made in bad faith. Members of the university community include students, faculty, staff, donors and alumni.

III. POLICY

- 1.0 Investment staff are authorized to respond to disclosure requests to the extent of advising that the University has, or does not have, an investment in a particular company or of providing a list of the companies in which the University has an investment.
- 2.0 All other requests will be referred to the Senior Policy & Operations Committee of the Board of Governors with the recommendations of the President and Vice-President, Operations & Finance.
- 3.0 This policy is not intended to restrict the interchange of information with investment dealers, bankers, etc. in the normal conduct of the investment management function.



PROCEDURE FOR POLICY 2.14 - Disclosure of Information on Western Investments

- 1.0 As outlined in **Policy 2.14**, investment staff are authorized to respond to certain requests for disclosure of information on Western Investments. Investment staff are the Director, Investments and Associate Director, Investments.
- 2.0 All requests received should be directed to investment staff to determine whether the request falls outside of their authorization to respond. Prior to a response being provided, the investment staff shall notify the Associate Vice-President (Financial Services) and Vice President (Operations & Finance) of the request.
- 3.0 The investment staff shall provide all other requests to the President or Vice-President (Operations & Finance) for review and recommendation in accordance with **Policy 2.14**.



POLICY 2.14 – Disclosure of Information on UWO Investments

Policy Category: Financial

Supersedes: October 21, 1977

POLICY

- 1.00 The President or the Vice-President (Operations & Finance) is authorized to respond to *bona fide* requests to the extent of advising that the University has, or does not have, an investment in a particular company or of providing a list of the companies in which the University has an investment. *Bona fide* requests are defined as those which come from members of the University community or from recognized organizations in the University community.
- 2.00 Requests which are not deemed by the President or the Vice-President (Operations & Finance) to be *bona fide* as defined above or which extend beyond company names will be referred to the Senior Operations Committee of the Board of Governors with the recommendation of the President.
- 3.00 This policy is not intended to restrict the interchange of information with investment dealers, bankers, etc. in the normal conduct of the investment management function.

2020-21 Program Specific Fees and Other Supplemental Fees

As part of the University budget approval process, the Board of Governors approved a number of course-specific and program-related fees as well as other supplemental fees at its meeting on April 23, 2020. We are now presenting two items on the status of the approved fees; one for recommendation and the other as an update.

1. Recommendation – University Health Insurance Plan (UHIP) for International Students

In April (at budget approval time), we did not have the UHIP fee rates and had indicated “TBD” in the fee tables. We now have the finalized UHIP fee rates and are requesting Board approval for the proposed fees as shown in Table 1 below:

Table 1

		2019-20	2020-21
Undergraduates, Full-time and Part-time	<i>12 month term</i>	636.00	720.00
Graduates, excluding MBA	<i>per term</i>	212.00	240.00
Graduates, MBA	<i>12 month term</i>	636.00	720.00
Exchange students	<i>per term</i>	212.00	240.00

2. Update – possible cancellation and realignment of some fees

Since the time of the Board’s approval of the University budget, we have been working with the Faculties on finalizing course offerings and delivery modes for the 2020-21 academic year. The outcome of this planning is that a major portion of our courses will be delivered virtually in the upcoming fall and winter terms. As a result of this move to virtual offerings, we are now reviewing the applicability of some course-specific or program-related fees, such as field trip fees and placement/internship fees. In the coming weeks, as an outcome of this review we anticipate that some fees may be cancelled and/or realigned between courses.

Therefore, we would like to inform the Board of Governors that a small number of the fees approved in April may be cancelled or realigned between courses. There will be no increase to any of the previously-approved fees nor will there be new fees introduced.

New Scholarships, Awards, and Prizes

Congress of Black Women of Canada – London Chapter Scholarship (Any Undergraduate Program)

Awarded annually to a full-time undergraduate student in Year 2, 3 or 4, in any program, based on academic achievement (minimum 80% average) and demonstrated financial need. Preference will be given to a student studying in a STEAM discipline (Science, Technology, Engineering, Arts and Humanities, or Mathematics) who is also interested in service to the African Canadian community. Online financial assistance applications must be submitted through the Student Center by September 30th. Students must declare their interest in service to the African Canadian community on the financial assistance application. The Office of the Registrar will select the recipient. This scholarship was established with a generous gift from the Congress of Black Women of Canada – London Chapter.

Value: 1 at \$1,300

Effective Date: 2020-2021 to 2023-2024 academic years (with value to be reviewed after this)

The Congress of Black Women – London Chapter, is a community organization focused on the needs and interests of Black women and their families. Their aim is to address the social, economic and cultural issues and needs of all Black women. Higher education has been one of the cornerstones of their work, with this scholarship established to carry on this legacy.

Clara and Angelo LaSelva Graduate Scholarship in Political Science (Political Science)

Awarded annually to a full-time graduate student in a Masters or PhD program in Political Science, based on academic achievement. Preference will be given to a student in the first year of their program specializing in the history of political thought, contemporary political theory, or the intersection between political theory and another field of political science. The Political Science Graduate Awards Committee will select the recipient. At least one member of this committee must hold membership in the School of Graduate and Postdoctoral Studies. Exceptional PhD students may receive this scholarship twice; Masters students may receive it only once. This scholarship was established by the LaSelva family in memory of their parents, Clara and Angelo LaSelva.

Value: 1 at \$10,000

Effective Date: May 2020

Clara and Angelo LaSelva (of Castellion del Biferno, Italy and St. Catharines, Ontario) took great pride in the fact that several of their children and grandchildren attended Western.

Dean of Engineering's International Entrance Scholarship (Engineering)

Awarded annually to an international full-time undergraduate student entering Year 1 in the Faculty of Engineering, based on academic achievement. The Office of the Registrar will select the recipient. This scholarship was made possible by a generous gift from Jane and Tim Kwan (BESc '73).

Value: 1 at \$2,500

Effective Date: 2020-2021 to 2024-2025 academic years inclusive

Sorgini Eye Institute Award (Schulich School of Medicine & Dentistry)

Awarded annually to a full-time student entering Year 1 in the Doctor of Medicine (MD) program in the Schulich School of Medicine & Dentistry, based on demonstrated financial need. Candidates must complete an online financial assistance application form, which is available through Student Center by September 30th. The Office of the Registrar will select the recipient. Preference will be given to a student from an area designated as high physician need by the Ministry of Health. This award was established through a generous gift from Dr. Curtis Sorgini (MD '84), and his family.

Value: 1 at \$8,000

Effective Date: 2020-2021 academic year

Berman Family Graduate Nursing Award in Health Equity (Nursing)

Awarded annually to a graduate student in the Nursing Doctoral degree program, based on academic achievement. Preference will be given to a doctoral student whose dissertation focuses on health equity in the areas of poverty and inequality; discrimination, violence and marginalization; working conditions/employment security; legacies of colonialism and contemporary realities; and/or health policy and services. The recipient will be selected by the Scholarship Committee in the School of Nursing, Faculty of Health Sciences, of which at least one representative is a member of the School of Graduate and Postdoctoral Studies. The recipient of this award will be offered a 1-year voluntary residency with the Centre for Research on Health Equity and Social Inclusion. This residency is optional and not a requirement to receive the award. The residency is unpaid and can be taken in conjunction with the recipient's doctoral studies. This award was established through the generosity of Dr. Helene Berman and Mark Flink, in honour of Dr. Berman's parents, Elaine and Eugene, and her sister Nancy.

Value: 1 at \$1,000
Effective Date: May 2020

The Berman family have dedicated their lives to humanitarian causes. Elaine and Eugene Berman were both social workers who were active in many social justice issues, and Nancy was a teacher in New York City and a human rights advocate until her untimely death at the age of 23. Dr. Helene Berman has conducted research in the area of violence in the lives of women and children, and is the Founding Academic Director of the Centre for Research on Health Equity and Social Inclusion (CRHESI), a community and academic partnership led by the Faculty of Health Sciences. Dr. Berman is also Distinguished University Professor Emerita at the Arthur Labatt Family School of Nursing at Western University.

Starok Christakis Award in Medicine (Schulich School of Medicine & Dentistry)

Awarded annually to a student in third or fourth year of the Doctor of Medicine (MD) program, based on academic achievement and demonstrated financial need. Preference will be given to a student involved in extracurricular activities. Online financial assistance applications must be completed through Student Center by September 30th. In addition, candidates must also submit an online application to the Undergraduate Medical Education Office by October 31st outlining their involvement in extracurricular activities. The recipient will be selected by the Undergraduate Medical Education Awards Committee in the Schulich School of Medicine & Dentistry after the Office of the Registrar has assessed financial need. This award was established with a generous gift from Dr. Monique (Starok) Christakis (MD '90).

Value: 1 at \$2,000
Effective Date: 2020-2021 academic year

Dr. Monique Christakis is a musculoskeletal radiologist at Sunnybrook Hospital in Toronto. Originally from Windsor, she attended Western for Medical school. Her parents were immigrants to Canada and although they always supported education, they didn't have the financial means to support Monique at University. Dr. Christakis understands the financial struggle medical school presents. She believes in a balance in life and hard work, both in and out of school.

Andrew N. Hrymak Scholarship and Gold Medal in Biomedical Engineering (Engineering)

Awarded annually to the undergraduate student in the final year of the Biomedical Engineering program who receives the highest aggregate marks for courses in the Biomedical Engineering program, provided they obtain first-class standing in their work in the final year. The Undergraduate Awards Committee in the Faculty of Engineering will select the recipient. The recipient is not eligible for a second gold medal. This scholarship and gold medal were established by many generous gifts from alumni, faculty, staff and students of Western Engineering to honour Andrew Hrymak's successful tenure as Dean of Engineering from 2009 to 2018.

Value: 1 at \$1,500 and Gold Medal

Effective Date: 2020-2021 academic year

Dr. Andrew Hrymak holds a BEng degree from McMaster University and a PhD from Carnegie Mellon University. Dr. Hrymak began his term as Dean of Western Engineering in 2009. Under his leadership, Western Engineering saw an increase in undergraduate and graduate enrolment, industry partnerships, alumni activities and outreach initiatives. He also oversaw the building of the Amit Chakma Engineering Building and the WindEEE Dome at the Advanced Manufacturing Research Park.

Winds, Brass and Percussion Entrance Award (Don Wright Faculty of Music)

Awarded annually to full-time undergraduate students entering as first year Bachelor of Music Majors in the Don Wright Faculty of Music who are specializing in winds, brass or percussion, based on academic and musical achievement. The scholarship and awards committee in the Don Wright Faculty of Music will select the recipients. This award was established through a generous gift from Dr. Colleen Richardson.

Number and value will vary, minimum \$500 (\$2,400 available each year)

Effective Date: 2020-2021 to 2024-2025 academic years inclusive

Caroline E. Stark Bursary in Nursing (Nursing)

Awarded annually to a full-time undergraduate student, in any year, in the School of Nursing, based on demonstrated financial need. Online applications are available through Student Center and must be submitted by October 31st. The Office of the Registrar will select the recipient. This bursary was established through the Estate of Caroline E. Stark (BScN '58).

Value: 1 at \$3,000

Effective Date: 2020-2021 academic year

Caroline enjoyed a long and fulfilling career as a Nurse in Sarnia, Brockville and London, completing her career at Sarnia General Hospital. Caroline died in 2018 at the age of 88.

Caroline E. Stark Graduate Bursary in Nursing (Nursing)

Awarded annually to a full-time graduate student in the School of Nursing, based on demonstrated financial need. Candidates must submit a one-page statement outlining their financial need by October 31st to the Graduate Office in Nursing. The Graduate Scholarships and Awards Committee in the School of Nursing will select the recipient. At least one member of the committee must hold membership in the School of Graduate and Postdoctoral Studies. This bursary was established through the Estate of Caroline E. Stark (BScN '58).

Value: 1 at \$3,000

Effective Date: May 2020

Caroline enjoyed a long and fulfilling career as a Nurse in Sarnia, Brockville and London, completing her career at Sarnia General Hospital. Caroline died in 2018 at the age of 88.

Gregory Brandt Award in Constitutional Law (Law)

Awarded annually to a full-time student completing first year in the Faculty of Law who has attained the highest standing in Constitutional Law. The scholarship committee in the Faculty of Law will select the recipient each May. This award was established by a generous gift from Mr. Henry Ka-Shi Ho (JD Law '77) in honour of Gregory Brandt, Professor Emeritus in the Faculty of Law.

Value: 1 at \$1,000

Effective Date: 2020-2021 academic year

Marie, Charles and Ann Ashton Graduate Nursing Scholarship (Nursing)

Awarded annually to a graduate student entering the Master of Science in Nursing (MScN) or Doctoral (PhD) degree Nursing program, based on academic achievement. The recipient will be selected by the Graduate Scholarship Committee in the School of Nursing, Faculty of Health Sciences, of which at least one representative is a member of the School of Graduate and Postdoctoral Studies. This scholarship was established through a generous Estate gift from Ann Marie Ashton (BScN '93) in honour of her parents, Marie and Charles Ashton.

Value: 1 at \$1,000
Effective Date: May 2020

Ann Marie Ashton graduated from St. Joseph's School of Nursing and received her Bachelor of Science in Nursing from Western University in 1993. She worked in the Middle East and loved to golf. Ann Marie died in 2019 at the age of 67. Ann was predeceased by her parents Marie and Charles Ashton.

Marie, Charles and Ann Ashton Nursing Scholarship (Nursing)

Awarded annually to an undergraduate student entering the first year of Nursing, based on academic achievement. The recipient will be selected by the Office of the Registrar. This scholarship was established through a generous Estate gift from Ann Marie Ashton (BScN '93) in honour of her parents, Marie and Charles Ashton.

Value: 1 at \$1,000
Effective Date: 2020-2021 academic year

Ann Marie Ashton graduated from St. Joseph's School of Nursing and received her Bachelor of Science in Nursing from Western University in 1993. She worked in the Middle East and loved to golf. Ann Marie died in 2019 at the age of 67. Ann was predeceased by her parents Marie and Charles Ashton.

Young-Ja Park Chamber Music Award (Don Wright Faculty of Music)

Awarded annually to full-time Don Wright Faculty of Music graduate and/or undergraduate students performing in a Chamber Music group, with a minimum 70% average, who are being recognized as members of the most promising Chamber Music Group, and exemplify excellence in performance and collaborative work throughout the fall term. The recipients will be selected by a committee within the Don Wright Faculty of Music and will perform in a Spring recital at the Don Wright Faculty of Music. This award was established with a generous gift from Mr. Ok-Kyu Park in memory of his wife, Young-Ja Park.

Value: \$3,000 will be available annually to be divided equally among the ensemble group members. Eligible ensembles may not include more than six members.
Effective Date: 2020-2021 academic year

Mrs. Young-Ja Park (née Song) immigrated to London, Ontario, from South Korea in 1969. She had a deep love of classical music and was an ardent supporter of her children's musical education, inspiring many in the London community to follow suit. This award was created in loving memory of Mrs. Park as a way of celebrating excellence in chamber music. Mrs. Park died in 2018 at the age of 70.

Engineering BESC Class of 1978 Award (Engineering)

Awarded annually to a full-time undergraduate student in Year 2 or higher in the Faculty of Engineering, based on a minimum 75% average and financial need. Preference will be given to a mature student who has spent time working or attending a college/trade/technical program prior to attending Western. Online financial need applications are available through Student Center and must be submitted by September 30th. A separate application must also be completed online by September 30th through the Engineering Undergraduate Services website (<http://eng.uwo.ca/undergraduate>), outlining what the student did after finishing high school and being accepted into the engineering program. The recipient will be selected by the Undergraduate Awards Committee in the Faculty of Engineering. This award was established by graduates from the BESC. Class of 1978 in recognition of their 40th Class Reunion.

Value: 1 at \$1,000

Effective Date: 2020-2021 academic year

Anna Toner Award for Academic Resiliency and Determination (Engineering)

Awarded annually to an undergraduate student, in any year, in the Faculty of Engineering, based on a minimum 70% average. An online application, highlighting the student's exemplary academic resilience, determination and commitment to their studies, must be submitted through the Engineering Undergraduate Services' website (<http://www.eng.uwo.ca/undergraduate>) by September 30th. Students can apply or be nominated by a peer or faculty member. The Undergraduate Services Office in the Faculty of Engineering will select the recipient. This award was made possible by family, friends, faculty and staff at Western Engineering, in honour of Anna Toner.

Value: 1 at \$1,500

Effective Date: 2020-2021 to 2029-2030 academic years inclusive

Anna was a dedicated student of Environmental Engineering, which reflected her lifelong interest in nature and love of the outdoors. She also enjoyed the arts, was a dancer, circus artist, and violinist. She participated in sports, including gymnastics and soccer, and loved to go on adventures travelling with family. She was an optimistic and dedicated fan of the Toronto Maple Leafs and Toronto Argonauts. Anna died in 2019 at the age of 20 with a brain tumor after completing her second year of Engineering at Western.

Justina and Michael Pociurko Graduate Nursing Award (Nursing)

Awarded annually to a graduate Nursing student in the Arthur Labatt Family School of Nursing, based on academic achievement and research merit in Nursing education. Preference will be given to a doctoral student whose dissertation focuses on Nursing Education. A committee within Nursing will select the recipient. At least one representative of the committee must hold membership in the School of Graduate and Postdoctoral studies. This award was established with a generous gift from Dr. Mary-Anne Andrusyszyn (MScN, '86), in memory of her parents, Justina and Michael Pociurko.

Value: 1 at \$800

Effective Date: May 2020

Janette Hunter White MLIS Scholarship (Information and Media Studies)

Awarded annually to a graduate student entering the Master of Library and Information Science program, based on academic achievement. The recipient will be selected by the Scholarship Committee in the Faculty of Information and Media Studies. At least one representative of the Committee must hold membership in the School of Graduate and Postdoctoral Studies. This scholarship was established through a generous estate gift from Janette Hunter White (Professor Emeritus).

Value: 1 at \$1,000

Effective Date: May 2020

Janette Hunter White received her BA from the University of Toronto and her MS from Columbia University. She served as Reference Librarian at Toronto Public Library and the Education Centre Library

and was a founding member of Western University's School of Library & Information Science where she taught and served in the administration until her retirement. Admired by family, friends, colleagues, and students, Janette fostered an appreciation of education, travel, the arts and culture in everyone she met. Janette died in 2018 at the age of 97.

Roger A. Shorey Memorial Award in Engineering (Engineering)

Awarded to a full-time undergraduate student entering first year in the Faculty of Engineering, based on academic achievement (minimum 80% average) and demonstrated financial need. This award will continue for up to five years, provided the recipient maintains a 75% average on a full course load of a four-year Engineering degree program or a five-year dual degree program, and continues to demonstrate financial need each year. Online financial assistance applications are available through Student Center and must be submitted by September 30th. The Office of the Registrar will select the recipient. If a recipient fails to retain the award, a new student from the same year will be selected. If a recipient does not pursue a five-year dual degree program, a new student in first year will be selected. Only two students may hold this award in any given year. This award was established through a generous gift from Margaret (Mags) Shorey and her family in memory of Roger Shorey (BESc 65), who was a dedicated family man and a successful business leader.

Value: 2 at \$2,500

Effective Date: 2020-2021 academic year

Dean's Excellence Award in Music (Don Wright Faculty of Music)

Awarded annually to undergraduate students, in any year, in the Don Wright Faculty of Music, based on academic and/or musical achievement. The awards committee within the Don Wright Faculty of Music will select the recipients. This award was made possible by friends and Alumni of the Don Wright Faculty of Music.

Number and Value will vary (minimum \$500 value)

Effective Date: 2020-2021 to 2024-2025 academic years inclusive

Meds Class of 1981 Bursary (Schulich School of Medicine & Dentistry)

Awarded annually to a student in any year in the Doctor of Medicine (MD) program, based on demonstrated financial need. Preference will be given to a student in Year 3 or 4 who immigrated to Canada and/or is from an area identified as underserved by the Ministry of Health. Online financial assistance applications are available through Student Center and must be submitted by October 31st. The Office of the Registrar will select the recipient. Each recipient will only receive this bursary once. This bursary was made possible by the members of the Meds Class of 1981. It is their hope that this award will inspire others to give back to their alma maters.

Value: 1 at \$1,200

Effective Date: 2020-2021 academic year

New Horizons Band Award (Don Wright Faculty of Music)

Awarded annually to full-time students entering third year of the Bachelor of Music Education program in the Don Wright Faculty of Music, with a minimum 70% average, and whose principal instrument is winds, brass or percussion. The Scholarship and Awards committee in the Don Wright Faculty of Music will select the recipients. This award was established in recognition of the 20th Anniversary of the New Horizons Band, housed in the Don Wright Faculty of Music.

Value: 2 at \$2,000

Effective Date: 2020-2021 to 2024-2025 academic years inclusive

Doreen Jackson Award in Engineering and Science (Engineering and Science)

Awarded annually to an undergraduate student, in any year, in either the Faculty of Engineering or the Faculty of Science, based on demonstrated financial need and a minimum 70% average. Preference will be given to a female student. Online financial assistance applications are available through Student Center and must be submitted by September 30th. The Office of the Registrar will select the recipient. This award was established by a generous gift from Ms Emma Doreen Jackson (BA '63).

Value: 1 at \$1,000

Effective Date: 2020-2021 academic year

Ms Emma Doreen Jackson's dreams came true when she was accepted to Western in 1961. She appreciated the endless program combinations, the student residences and the academic excellence of the programs. She credits the academic faculty and staff for her ability to continue and complete her studies and for the career advancements she experienced as a result of her education. Ms Jackson established this award to help future students have a similar experience. She has chosen to encourage young women to pursue their dreams in Science and Engineering as she wished she had done.

David J. Reiss Award in the Faculty of Information and Media Studies (Information and Media Studies)

Awarded annually to a full-time undergraduate student in any year of a Major or Honours Specialization program in Media, Information and Technoculture, based on demonstrated financial need and a minimum 70% average. Online financial assistance applications are available through Student Center and must be completed by September 30th. The Faculty of Information and Media Studies' Scholarships and Awards Committee will select the recipient after the Office of the Registrar has assessed financial need. This award was made possible by a generous donation from Jennifer & Richard Goldhar and family in honour of their friend, Mr. David J. Reiss (BA '06 Media, Information & Technoculture).

Value: 1 at \$1,000

Effective Date: 2020-2021 academic year

David Reiss was exceptional when it came to online marketing, advertising and communication. Loved by his family, friends and colleagues, David was reliable, loyal and responsible. He will forever be remembered for his kindness, generosity and the way he would seek to help others. Jennifer & Richard Goldhar wish to honour their remarkable friend David and the invaluable contributions he made to Goldhar & Associates Ltd. Licensed Insolvency Trustee. David died in 2019 at the age of 36.

Edward Alan Shillington Bursary (DAN Department of Management & Organizational Studies)

Awarded annually to a full-time undergraduate student in Year 2 or 3 of any module in the DAN Department of Management & Organizational Studies, based on demonstrated financial need. Preference will be given to a female student. Online financial assistance applications are available through Student Center and must be submitted by October 31st. The Office of the Registrar will select the recipient. This bursary was established by a generous donation from Mrs. Margery E. Sherritt in memory of her brother, Edward (Ted) Alan Shillington (HBA 1954).

Value: 1 at \$4,000

Effective Date: 2020-2021 academic year

Ted grew up in London, ON and attended Central Collegiate before entering Western where he studied Business, graduating in 1954. He became a Chartered Accountant and spent his working life in accounting. He was passionate about sports, particularly baseball and track and field events, in which he had participated in his youth. Ted died in 2018 at the age of 86.

W. Geoff Beattie Scholarship in Business Law (Law)

Awarded to full-time students entering Year 1 in the Faculty of Law who demonstrate academic excellence and an interest in business law. The recipient will be selected by the scholarship and awards committee in the Faculty of Law. This scholarship was established by a generous gift from W. Geoffrey Beattie (LLB 1984, LL.D. 2018).

Value: 4 at \$7,534

Effective Date: 2020-2021 academic year inclusive

Adam Fanaki Memorial Award in Competition Law (Law)

Awarded annually to a full-time upper year student in the Faculty of Law who has attained the highest standing in the Faculty of Law's Canadian Competition Law course. The scholarship and awards committee in the Faculty of Law will select the recipient each spring. This award was established with a generous gift from Davies Ward Phillips & Vineberg LLP, in memory of Adam Fanaki (LLB 1994, BA 1991).

Value: 1 at \$1,500

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

Adam became internationally recognized as one of Canada's best competition lawyers. In 2009, he joined Davies Ward Phillips & Vineberg LLP as a senior partner. He acted as lead counsel in a number of the most significant competition cases addressed in Canada. Throughout his career, clients appreciated Adam's calm demeanour and expert counsel. While clients valued Adam's expertise and service, his colleagues throughout the competition law bar and in business worldwide valued his friendship even more. Adam Fanaki died in 2020 at the age of 51.

Erik Mikkelsen HBA '06 Entrepreneurship Award (Ivey Business School)

Awarded annually to a full-time student entering the HBA program at the Ivey Business School, based on academic achievement, interest in entrepreneurship, and engagement in a variety of activities outside the classroom, including, but not limited to, leadership on campus and in the community, athletic involvement and/or part-time work experience. Preference will be given to a student in the top 25% of the applicant pool, based on academic performance. The recipient will be selected by the HBA Scholarship Committee. This award was established with a generous gift from Erik Mikkelsen, HBA '06, to recognize and provide support for aspiring future entrepreneurs.

Value: 1 at \$10,000

Effective Date: 2020-2021 to 2024-2025 academic years inclusive

Jimmy Singh and Sonia Mann Award in Pediatric Surgery (Schulich School of Medicine & Dentistry)

Awarded annually to a full-time student entering Year 4 of the Doctor of Medicine (MD) program at the Schulich School of Medicine & Dentistry who participated in a Pediatric Surgical subspecialty rotation within the Division of Pediatric Surgery during Clinical Clerkship. Preference will be given to a student who demonstrated superior skills in the areas of clinical reasoning, collaboration and application of knowledge. In addition, the successful student will have also exhibited qualities of professionalism, empathy and compassion especially towards pediatric surgical patients and their parents. The recipient will be selected by the Undergraduate Awards Committee, in consultation with the Division of Pediatric Surgery. This award was established by a generous gift from Jimmy Singh and Sonia Mann.

Value: 1 at \$1,500

Effective Date: 2020-2021 to 2024-2025 academic years inclusive

Wayne & Joan Petrie Men's Hockey Award (Any undergraduate or graduate program, Athletic Award [Hockey])

Awarded annually to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a contribution as a member of the Mustang Men's Hockey team. Candidates who are intercollegiate student athletes must be in compliance with current OUA and CIS regulations. As per OUA and CIS regulations, an entering student athlete must have a minimum admission average of 80% and a non-entering student must have an in-course average of 70%. The Western Athletic Financial Awards Committee will select the recipient based on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Mr. Jeffrey E. Petrie (BA 2000) in honour of his parents, Wayne & Joan Petrie.

Value: 1 at \$4,150

Effective Date: 2020-2021 to 2027-2028 academic years inclusive

Kathleen Jerome Memorial Award in Education (Education)

Awarded annually to a student completing second year in the Bachelor of Education program (either Primary/Junior or Junior/Intermediate) in the Faculty of Education. The Scholarship and Awards committee in the Faculty of Education will select the recipient. This award was established by the family and friends of Kathleen Jerome (BEd 1979, BA 1976) in honour of her teaching career.

Value: 1 at \$1,000

Effective Date: 2020-2021 to 2029-2030 academic years inclusive

Kathleen was a Special Education Teacher with the Thames Valley District School Board for many years and later developed a special English as a Second Language training program for international medical physicians. Kathleen died in 2018 at the age of 69.

Harvey and Ruth Bailie Award in Teaching Excellence and Community Service (Education)

Awarded annually to a full-time student registered in second year in either the primary-junior, or junior-intermediate division of the Bachelor of Education program, based on standing in courses and practice teaching, community service, as well as demonstrated financial need. Online financial assistance applications are available through Student Center and must be submitted by September 30th. An online application outlining community service must also be completed by September 30th. Once the Office of the Registrar has determined financial need, the Faculty of Education will select the recipient.

Value: 1 at \$1,000

Effective Date: 2020-2021 academic year

Dr. W. Bruce Barton Memorial & Hematology Alumni Award (Schulich School of Medicine & Dentistry)

Awarded annually to a student in any year of the Doctor of Medicine (MD) program, based on academic achievement and demonstrated financial need. Online financial assistance applications are available through Student Center and must be completed by September 30th. The Office of the Registrar will select the recipient. This award was established by Dr. Mark Crowther (MD 1990) in memory of his friend, Dr. W. Bruce Barton (MD 1945).

Value: 1 at \$1,000

Effective Date: 2020-2021 academic year

Dr. W. Bruce Barton had a long and distinguished career as a Physician at the Ontario Cancer Clinic, London Health Sciences Centre, and the Canadian Blood Services in London, Ontario. He began teaching at Western University in 1955, with appointments in Pathology and Oncology. Dr. Barton was the first doctor in London to utilize chemotherapy in the 1950's and was a founding physician at University Hospital in 1972. He was known for his decency and compassion. Dr. Barton died in 2004 at the age of 83.

Hill Family Award in Medicine (Schulich School of Medicine & Dentistry)

Awarded to a student entering Year 1 in the Doctor of Medicine (MD) program, based on academic achievement and demonstrated financial need. Online financial assistance applications are available through Student Center and must be completed by September 30th. The Office of the Registrar will select the recipient. The student will continue to receive this award for Years 2, 3 and 4 if they remain in good standing and demonstrate financial need each year. Only one student will hold this award during any year. If the student fails to retain this award, a replacement student in the same year will be selected. This award was made possible by a generous donation from Dr. Laurie Hill and Mrs. Dona Hill.

Value: 1 at \$8,000

Effective Date: 2020-2021 academic year

The Hills, both medical professionals, come from humble beginnings. The Hills understand the financial hardship that pursuing a career in medicine can have on an individual. The Hill Family Award in Medicine was established to reduce the burden of tuition and living costs so that students can have a greater focus on developing medical knowledge.

Chun Ollerhead Award in Medicine (Schulich School of Medicine & Dentistry)

Awarded annually to a student in any year of the Doctor of Medicine (MD) program, based on academic achievement and demonstrated financial need. Preference will be given to a student who has participated in extracurricular activities, particularly athletics or the arts. Online financial assistance applications are available through Student Center and must be submitted by September 30th. In addition, candidates must also submit an online application to the Undergraduate Medical Education Office by October 31st outlining their involvement in extracurricular activities. The recipient will be selected by the Undergraduate Medical Education Awards Committee in the Schulich School of Medicine & Dentistry after the Office of the Registrar has assessed financial need. This award was established with a generous gift from Dr. Koo Chun (MD 1992, BSc 1988) and her husband, Mr. William Ollerhead (BA, Statistics 1987).

Value: 1 at \$2,000

Effective Date: 2020-2021 academic year

Dr. Koo Chun is an Obstetrician/Gynaecologist in Toronto. Mr. Ollerhead's grandfather, William W. Ollerhead, graduated from Western's Medical School in 1929, and became one of the area's first Orthopaedic Surgeons. Dr. Chun and Mr. Ollerhead believe strongly in the importance of well-roundedness and breadth of experience and interests, knowing how it contributes to the character development necessary to engage positively with patients and their families.

FUNDED BY OPERATING

National Indigenous Scholarship (Any undergraduate program)

Awarded annually to three Indigenous undergraduate students (First Nations, Métis, and Inuit) studying full-time at Western's main campus based on their outstanding academic excellence and meaningful and impactful contribution toward Indigenous communities. Two scholarships will be awarded to students applying from Canadian high schools, and one scholarship to an Indigenous student applying from a postsecondary institution. Recipients must meet the minimum academic averages for admission to their programs, and will be selected on the basis of academic achievement, creative and innovative thinking, and previous or intended contributions to Indigenous communities, broadly defined.

Applicants must submit a 1000 word essay that outlines their Indigenous identity and answers the following questions: 1) Why do you want to come to Western? 2) How will this award enhance your abilities to contribute to Indigenous communities? Applications must include a nomination letter from their school or a community representative, along with official school transcripts. Applications will be submitted online to the Office of the Registrar by February 14th.

Applications will be reviewed and selected by a Committee assembled and chaired by the Vice-Provost and Associate Vice-President (Indigenous Initiatives) and will include an Indigenous Student Centre staff

member, an Indigenous Elder, an Indigenous faculty member, and an Indigenous graduate student.

Value: 3 awards at \$50,000 each (\$20,000 for year 1, and \$10,000 annually thereafter for up to 3 years conditional upon registration)

Effective Date: 2021-2022 academic year

Radiation-Induced Chemistry Research Chair

Donor and Funding:

Nuclear Waste Management Organization has committed \$1,100,000 to be expended over five years to support the Radiation-Induced Chemistry Research Chair in the Faculty of Science.

Effective Date:

July 1, 2020

Purpose:

The creation of this Chair will enable the University to build research capacity in the area of nuclear induced corrosion and support research activities in this field. The holder of the Chair will be a full-time tenure-track or tenured faculty member in the Department of Chemistry in the Faculty of Science.

Preferred research areas of interest should focus on developing mechanistic models of corrosion dynamics in energetic and dynamic solution environments, radiolysis kinetics of water vapour and liquid water in the presence of a continuous flux of ionizing radiation, and/or electrochemical and chemical rate analyses of interfacial charge and mass transfer processes. The successful candidate will be expected to interact with scientists and engineers from industry and government laboratories to implement and execute coherent research projects for solving complex technical issues that face industry and governments.

Criteria:

The creation of this Chair will enable the University to continue to support and expand research capacity in corrosion science with a focus on nuclear materials research.

Appointments and reappointments to the Chair will be conducted in accordance with Policy 2.22 – Funding of Academic Chairs, Professorships and Designated Faculty Fellowships of the University https://www.uwo.ca/univsec/pdf/policies_procedures/section2/mapp222.pdf and will be for the five-year term. Should the Donor provide additional funding, the term of the naming may be extended.

Allowable Expenses:

Funds available will be allocated to support salary and benefits of the chair holder and research activities.

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

Reporting:

The University, through the Faculty of Science, will report to the Donor regarding the activities of the holder of the Chair for the duration of the term for which the Donor has supported the Chair.

Background:

The Chair has been funded through a donation from Nuclear Waste Management Organization.

Reputational Risk:

An assessment of Reputational Risk to Western in accepting these contributions has been completed, reviewed and approved by the Provost & Vice-Chancellor, Vice-President (University Advancement) and Dean.

Antonios Mamandras Chair in Graduate Orthodontics

Donor and Funding:

An initial fundraising campaign for the Chair raised funds from donors and together with investment returns, these funds grew to an endowment with Capital of more than \$1 million as at April 30, 2018. In January 2018, a new fundraising campaign began with the goal of raising a minimum of \$1 million. The University agreed to match funds raised to provide an endowment of a minimum of \$3 million to support the Chair. Gifts received from donors between April 1, 2018 and March 31, 2020 were matched in that quarter with subsequent pledge payments to be matched on a dollar-for-dollar basis by the University quarterly in arrears, and directed to the Chair.

Effective Date:

July 1, 2020

Purpose:

The endowment will support the creation of the Antonios Mamandras Chair in Graduate Orthodontics.

Criteria:

The Chair will be held by the Chair of the Graduate Orthodontic program.

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

Renewal of appointments to the Antonios Mamandras Chair in Graduate Orthodontics will be conducted in accordance with University policies and procedures and guidelines established by the Schulich School of Medicine & Dentistry for reviewing endowed positions.

Allowable Expenses:

Funds available will support salary and benefits of the Chair holder and a minimum of 20% will be allocated to support the enhancement of academic activities of the Graduate Orthodontics program, a portion of which will be directed to graduate student research.

The administration of the spending of resources will be the responsibility of the Chair holder, in consultation with the Vice Dean, Dentistry and the Dean, Schulich School of Medicine & Dentistry.

Reporting:

The University, through the School of Dentistry, will report to donors of more than \$25,000 regarding the activities of the Chair for a period of five years. Financial reports regarding the endowments will also be provided.

Background:

The Chair has been funded through donations from alumni and friends of Graduate Orthodontics.

Reputational Risk:

An assessment of Reputational Risk to Western in accepting these contributions has been completed, reviewed and approved by the Provost & Vice-Chancellor, Vice-President (University Advancement) and Dean.

2019-20 Operating Budget Update As at April 30, 2020

The attached table provides the (preliminary unaudited) year-end update on University's 2019-20 Operating Budget – and compares the updated figures to the budget as approved by the Board of Governors in April 2020. Major changes are as follows:

Revenues (lines 7 to 15)

- a. Government grants (line 7) are higher by \$893,000 primarily due to unanticipated targeted government grants – about \$341,000 to assist with pandemic-related costs and \$239,000 in additional funding to support Mental Health Services.
- b. Tuition revenue (line 8) is lower by \$1.2 million – primarily due to higher-than-projected overall winter-term attrition rates.
- c. Recoverable salaries (line 9) – which is funding from the hospitals and is a direct flow through to the Medical School – is higher by \$1 million.
- d. Fundraising associated with student financial aid (line 10) is higher-than-projected by \$661,000 – and flows through to the student financial aid budget.
- e. Application Fee Revenue (line 11) is higher by \$866,000 – due to a conservative estimate at budget time, as a result of delays in information from the Ontario Universities Application Centre.
- f. The Royalties & Licences increase (line 12) is higher by \$3.9 million largely due to a \$3 million inflow associated with a specific agreement (in the Robarts Research Institute) which was expected to end at December 31, 2019 – but the agreement continued past that time.
- g. Line 13: In 1991, the University filed an election under section 211 of the Excise Tax Act, which allows Public Service Bodies to claim a partial input tax credit based on the actual use of capital property for commercial purposes. The Canada Revenue Agency (CRA) contested Western's basis of measurement of space used for commercial purposes, resulting of the deferral of tax credits derived from the section 211 election. In 2019, the courts upheld Western's basis of calculation, resulting in the recognition of \$3.7 million of retroactive HST input tax credits by the operating budget.
- h. The net result is that total operating revenue is \$10.8 million higher than the original budget (line 15).

Expenditures (lines 16 to 20)

- i. The Royalties & Licences revenue (\$3 million) deriving from programs in the Robarts Research Institute flows directly back to Robarts (line 16).
- j. As noted above, Recoverable Salaries (line 17) flow directly to the Medical School's budget.
- k. Similarly, fundraising for student aid (line 18) flows directly to the student financial aid budget.
- l. The net result is that total operating expenditures are \$3.4 million higher than the original budget (line 20).

Operating Reserve (line 6)

- m. As a result of the above changes in revenue and expenditures, the Operating Reserve is \$98.4 million – which is \$7.4 million higher than shown in the April 2020 budget.

Western University
2019-20 Operating Budget Update
as at April 30, 2020
(\$000)

<a> Summary

		As presented to the Board <d>	Actual Budget	Increase/Decrease	
				\$	%
1	Revenues 	796,537	807,340	10,803	1.36%
2	Expenditures <c>	800,025	803,456	3,431	0.43%
3	Surplus / (Deficit)	-3,488	3,884	7,372	
4	Operating Reserve -- Beginning of Year	94,516	94,516	0	
5	Surplus / (Deficit)	-3,488	3,884	7,372	
6	Operating Reserve -- End of Year	91,028	98,400	7,372	

** Revenue Changes**

7	Government Grants: Special Purpose Grants			893	
8	Tuition Revenue			-1,213	
9	Other Revenues: Recoverable Salaries			1,004	
10	Other Revenues: Fundraising --Needs-based Awards & Bursaries			661	
11	Other Revenues: Application Fees			866	
12	Other Revenues: Royalties & Licences			3,930	
13	Other Revenues: Miscellaneous Revenues, 211 HST Recovery			3,739	
14	All Other			923	
15	Total Revenue Changes			10,803	

<c> Expense Changes

16	Medicine & Dentistry: Robarts, Royalties & Licences			3,005	
17	Recoverable Salaries			1,004	
18	Fundraising -- Needs-based Awards & Bursaries			661	
19	All Other			-1,239	
20	Total Expenditure Changes			3,431	

<d> The 2019-20 projected budget was presented to the Board in April 2020.

Semi-Annual Ratio Report on Non-Endowed Funds

The attached report shows the non-endowed fund quarterly activity from 1999/2000 to March 31, 2020. The period ending March 31, 2020 has been utilized to capture recent market activity, as information as at April 30, 2020 is not yet available. The balance in the Undistributed Investment Returns Account at March 31, 2020 was \$23.5 million. At March 31, 2020 the 12-quarter moving average of non-endowed investments to the obligations of the portfolio was 1.76 (column 10), well above the target ratio of 1.08.

- ❑ Net losses (column 1) amounted to \$87.7 million for the period.
- ❑ Allocations to accounts (column 2), represents income distributed to the non-endowed funds. The non-endowed rate is based on the 30-day Treasury bill rate less administrative and management fees of 0.42%. The rate is adjusted quarterly and is applicable to non-endowed fund balances with the exception of Robarts. The non-endowed rate for the period January to March was 1.30%. In the case of Robarts, in accordance with the operating agreement, the long-term portion of their fund balance earned the rate of return generated by the Operating & Endowment portfolio.
- ❑ The allocation to the operating budget (column 3) for fiscal 2020 is zero as approved by the Board.
- ❑ Other Allocations (column 4) for the period ending March 31, 2020 were zero.
- ❑ The non-endowed investments decreased \$79.5 million (column 6) during the period.
- ❑ The total market value of the non-endowed fund's portion of the externally managed portfolio at March 31, 2020 amounted to \$558.9 million (column 7).
- ❑ The obligations of the portfolio amounted to \$535.2 million at March 31, 2020 (column 8).
- ❑ The ratio of investments to obligations stood at 1.04 (column 9) at March 31, 2020.

Western University Non-Endowed Funds: Quarterly Values										
Quarter	Net Returns (1)	To Accounts (2)	Allocations To Operating Budget (3)	Other (4)	Change in amount Owed (5)	Net Change (6)	Total Investments (7)	Total Obligations (8)	Ratio of Investments to obligations (9)	Ratio of Investments to obligations Average for 12 Quarters (10)
1999/2000	2.4	(0.6)	(1.5)	(0.3)	4.0	4.0	88.0	74.3	1.18	1.23
2000/2001	0.9	(0.8)	(2.1)	(0.2)	5.9	3.7	113.7	101.0	1.13	1.16
2001/2002	0.8	(0.7)	(1.5)	0.0	5.9	4.6	127.0	125.5	1.01	1.10
2002/2003	(2.6)	(0.3)	(0.3)	0.0	0.4	(2.7)	120.6	132.3	0.91	1.02
2003/2004	6.3	(0.5)	0.0	0.0	1.3	7.1	140.7	135.5	1.04	0.99
2004/2005	2.9	(0.4)	0.0	0.0	3.6	6.2	157.7	141.1	1.12	1.03
2005/2006	7.0	(0.7)	0.0	0.0	2.9	9.3	199.4	160.4	1.24	1.13
2006/2007	7.6	(1.2)	(1.3)	0.0	6.2	11.4	236.9	179.1	1.32	1.22
2007/2008	0.4	(1.0)	(1.6)	(0.3)	2.7	0.2	258.7	197.7	1.31	1.29
2008/2009	(12.2)	0.3	0.0	(0.2)	(2.5)	(14.6)	213.3	197.7	1.08	1.24
2009/2010	10.5	(0.7)	0.0	(0.6)	(3.6)	5.7	219.1	181.2	1.21	1.20
2010/2011	6.9	(0.5)	0.0	(0.4)	(1.0)	5.1	234.5	174.5	1.34	1.22
2011/2012	1.2	(0.2)	0.0	(0.4)	9.9	10.6	260.9	194.4	1.34	1.30
2012/2013	10.7	(0.8)	0.0	(0.9)	3.7	12.7	315.1	223.7	1.41	1.37
2013/2014	15.4	(1.0)	0.0	(1.6)	8.8	21.6	384.4	240.4	1.60	1.46
2014/2015										
Q1	13.2	(0.2)	0.0	0.0	1.9	14.9	436.6	263.0	1.66	1.48
Q2	6.8	(0.2)	0.0	0.0	(3.7)	2.9	439.5	259.3	1.69	1.50
Q3	22.8	(0.3)	0.0	0.0	(14.5)	8.0	447.5	244.8	1.83	1.54
Q4	14.0	(2.8)	0.0	(3.5)	5.2	12.9	460.4	250.0	1.84	1.59
2015/2016										
Q1	12.7	(0.1)	0.0	0.0	14.6	27.2	487.6	264.6	1.84	1.63
Q2	(9.6)	(0.1)	0.0	0.0	2.2	(7.5)	480.1	266.8	1.80	1.66
Q3	(6.8)	0.0	0.0	0.0	(1.9)	(8.7)	471.4	264.9	1.78	1.69
Q4	6.6	0.0	0.0	(1.9)	40.8	45.5	516.9	305.7	1.69	1.71
2016/2017										
Q1	25.9	0.0	0.0	0.0	14.9	40.8	557.7	320.6	1.74	1.73
Q2	9.9	0.0	0.0	0.0	(1.8)	8.1	565.8	318.8	1.77	1.75
Q3	22.3	0.0	0.0	0.0	(15.1)	7.2	573.0	303.7	1.89	1.76
Q4	27.5	(3.3)	0.0	(0.2)	(17.3)	6.7	579.7	286.4	2.02	1.80
2017/2018										
Q1	0.7	0.0	0.0	0.0	(5.5)	(4.8)	574.9	280.9	2.05	1.83
Q2	23.6	(0.1)	0.0	0.0	(11.5)	12.0	586.9	269.4	2.18	1.87
Q3	16.4	(0.1)	0.0	0.0	(16.6)	(0.3)	586.6	252.8	2.32	1.91
Q4	0.8	(2.4)	0.0	(49.9)	47.2	(4.3)	582.3	300.0	1.94	1.92
2018/2019										
July 2018 Q1	21.8	(0.5)	0.0	0.0	5.5	26.8	609.1	305.5	1.99	1.93
October 2018 Q2	(19.2)	(0.5)	0.0	0.0	(7.5)	(27.2)	581.9	298.0	1.95	1.94
January 2019 Q3	10.7	(0.6)	0.0	0.0	(15.2)	(5.1)	576.8	282.8	2.04	1.97
April 2019 Q4	34.6	(4.3)	0.0	(4.4)	1.3	27.2	604.0	284.1	2.13	2.00
2019/2020										
July 2019 Q1	5.1	(0.9)	0.0	(255.0)	259.9	9.1	613.1	544.0	1.13	1.95
October 2019 Q2	15.6	(1.8)	0.0	0.0	(4.3)	9.5	622.6	539.7	1.15	1.90
January 2020 Q3	31.6	(1.9)	0.0	0.0	(13.9)	15.8	638.4	525.8	1.21	1.84
March 2020 Q4	(87.7)	(1.2)	0.0	0.0	9.4	(79.5)	558.9	535.2	1.04	1.76

[A] General notes:
For 1995/96 through to 2012/13 the figures are the average for the four quarters.

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

Notes:

- (1) Net investment returns, including changes in unrealized capital gains, net of consulting and investment management fees. This total includes returns on internally managed funds and other sundry investment earnings less overdraft interest and interest paid to employee benefit accounts.
- (2) Allocations from the fund to all accounts and associated companies, except the Operating budget and Other allocations (column 4)
- (3) Allocations to the Operating budget.
- (4) July 2019 allocated \$250.0 to MSOF and \$5.0 million to internal endowed Athletics Coaching Matching Fund
- (4) April 2018 special allocations: \$30.0 to set up sinking funds related to the debenture issues; \$20.0 to capital
The above amount is netted by the year end mark-to-market adjustment on the RBC SWAP interest agreement and the cost to carry related to unused debenture proceeds (0.1).
- (4) The April 2019 amount is related to a year end mark-to-market value adjusted on the RBC SWAP interest agreement (1.1) as well as the cost to carry related to unused debenture proceeds (3.3).
- (5) The change in the amount owed to other funds for the quarter is the net cash flows into the accounts less any transfers to Western's bank account.
- (6) Quarterly net change, is the sum of columns (1) to (5) and is the change in the value of the fund in column (7), which is the change in the market value of investments during the quarter.
- (7) Total non-endowed externally managed funds. Endowed funds are not included.
- (8) Total of the non-endowed externally managed funds that are owed to University accounts and other creditors.
- (9) The ratio of column (7) to column (8).
- (10) The average of this ratio over the previous 12 quarters. The Board target for this ratio is an average of 1.08.

Western University

**Preliminary Financial Results for 2019-20
Student Fee-Funded Units, Ancillaries, Academic Support Units and Associated
Companies**

For Information

Schedule 1 compares the 2019-20 preliminary financial results for Student Fee-Funded Units, Ancillaries, Academic Support Units, and Associated Companies to the projected results included with the 2020-21 budget submission. This schedule also reports the preliminary closing reserve balances as at April 30, 2020. The numerical references noted beside the comments refer to the corresponding line numbers on schedule 1. Detailed revenue and expense statements for these operations will be included in the supplementary data distributed with the final 2019-20 audited financial statement package.

Brief highlights are as follows:

Student Fee Funded Units

5. *Financial Aid Office: 2019-20 financial results - \$90,100 deficit*

The deficit for the Financial Aid Office is primarily due to one-time restructuring costs

10. *Student Success Centre: 2019-20 financial results – \$73,200 deficit*

The deficit reported by this unit is primarily due to losses associated with the unexpected cancellation of student global Impact Experience opportunities (formerly known as Alternative Spring Break Programs) because of COVID-19 as well as one-time restructuring costs.

Ancillary Units

17. *Housing: 2019-20 financial results - \$2,296,700 surplus*

The surplus for Housing is significantly lower than anticipated due to the rebating of residence room fees, meal plan fees, and ReZnet charges for a 6-week period due to an early closure of residence operations because of COVID-19.

18. *Parking Services: 2019-20 financial results – \$408,300 surplus*

The surplus for Parking Services was lower than expected due to the rebating of parking fees for March and April, due to COVID-19.

19. *Retail Services: 2019-20 financial results – \$2,651,100 deficit*

The deficit for Retail Services is due to the closure of the campus food operations, the Book Store, and Graphic Services because of COVID-19.

Academic Support Units

22. *Animal Care & Veterinary Services: 2019-20 financial results - \$108,700 deficit*

The deficit for this unit is primarily due to shift premiums paid to essential animal care workers continuing to provide support through the initial months of the pandemic.

24. *University Machine Services: 2019-20 financial results - \$143,600 deficit*

The deficit for this unit is primarily due to one-time restructuring costs and lost revenue during closure required for COVID-19.

26. *Surface Science Western: 2019-20 financial results - \$50,100 deficit*

The deficit reported by this unit is due to lost revenue resulting from the closure required for COVID-19.

Associated Companies

30. *Western Research Park (incl. Windermere Manor, ADEISS, & AMP): 2019-20 financial results - \$964,700 deficit*

The deficit for the combined operations of the Research Park is higher than anticipated primarily due to the closure of Windermere Manor because of COVID-19. During the closure period, the hotel was re-purposed to serve as temporary shelter for front-line health care workers between shifts.

31. *Ivey School of Business Foundation: 2019-20 financial results not available*

The preliminary financial results for the Ivey companies were not available at the time of releasing this report. The final Ivey company results will be part of the University audited Financial Statements scheduled for release in the fall.

32. *Ivey Business School Asia Limited: 2019-20 financial results not available*

The preliminary financial results for the Ivey companies were not available at the time of releasing this report. The final Ivey company results will be part of the University audited Financial Statements scheduled for release in the fall.

Table 1
Western University
Student Fee-Funded Units, Ancillary Units, Academic Support Units, and Associated Companies
2019-20 Preliminary Results Summary (\$ 000)

		2019-20 Projected			2019-20 Preliminary Actuals			% Change		Reserve Balances	
		Revenues	Expenses	Rev-Exp	Revenues	Expenses	Rev-Exp	Revenues	Expenses	Operating	Capital
1	A - Student Fee-Funded Units										
2	SRS: Campus Recreation	6,157.4	6,118.8	38.6	6,067.6	6,014.1	53.5	-1.46%	-1.71%	782.9	928.5
3	SRS: Intercollegiate Athletics	7,238.5	7,165.8	72.7	7,164.1	7,072.6	91.5	-1.03%	-1.30%	190.9	
4	SRS: Thompson Recreation & Athletic Centre	1,244.0	1,230.3	13.7	1,234.5	1,228.5	6.0	-0.76%	-0.15%	260.1	469.9
5	Financial Aid Office	1,208.7	1,179.4	29.3	1,215.2	1,305.3	-90.1	0.54%	10.67%	-33.8	
6	International Student Services	485.4	484.4	1.0	485.8	485.7	0.1	0.08%	0.27%	0.4	
7	Indigenous Services	896.1	836.3	59.8	892.2	781.6	110.6	-0.44%	-6.54%	309.6	
8	Services for Students with Disabilities	698.2	688.3	9.9	703.2	689.5	13.7	0.72%	0.17%	62.5	73.1
9	Student Development Centre	2,926.6	2,908.3	18.3	2,968.2	2,939.6	28.6	1.42%	1.08%	364.5	450.0
10	Student Success Centre	1,920.4	1,801.1	119.3	1,854.1	1,927.3	-73.2	-3.45%	7.01%	359.6	
11	Student Health Services	4,400.0	4,374.2	25.8	4,055.7	4,005.6	50.1	-7.83%	-8.43%	819.0	650.0
12	Off-Campus Housing & Housing Mediation Svcs	422.6	456.7	-34.1	434.5	421.2	13.3	2.82%	-7.77%	168.5	
13	Western Foot Patrol	210.3	206.5	3.8	202.5	189.9	12.6	-3.71%	-8.04%	49.3	47.6
14	Sub-Total	27,808.2	27,450.1	358.1	27,277.6	27,060.9	216.7	-1.91%	-1.42%	3,333.5	2,619.1
15	B - Ancillary Units										
16	Family Practice Clinic and Workplace Health Svcs	572.4	558.2	14.2	543.5	537.4	6.1	-5.05%	-3.73%	188.4	
17	Housing Services	82,164.1	71,055.7	11,108.4	74,504.2	72,207.5	2,296.7	-9.32%	1.62%	74,582.5	
18	Parking Services	6,732.4	5,914.6	817.8	6,129.7	5,721.4	408.3	-8.95%	-3.27%	6,141.3	
19	Retail Services	32,195.1	32,259.0	-63.9	27,825.2	30,476.3	-2,651.1	-13.57%	-5.53%	-1,201.5	
20	Sub-Total	121,664.0	109,787.5	11,876.5	109,002.6	108,942.6	60.0	-10.41%	-0.77%	79,710.7	0.0
21	C - Academic Support Units										
22	Animal Care & Veterinary Services	5,218.6	5,218.6	0.0	5,031.1	5,139.8	-108.7	-3.59%	-1.51%	349.1	
23	Boundary Layer Wind Tunnel	2,183.2	2,130.2	53.0	2,317.6	2,208.9	108.7	6.16%	3.69%	708.2	300.0
24	University Machine Services	2,094.5	2,186.5	-92.0	1,869.4	2,013.0	-143.6	-10.75%	-7.94%	209.0	
25	Fraunhofer Project Centre	1,086.8	1,054.5	32.3	991.7	948.7	43.0	-8.75%	-10.03%	-679.5	123.4
26	Surface Science Western	1,722.0	1,723.0	-1.0	1,546.1	1,596.2	-50.1	-10.21%	-7.36%	253.8	407.4
27	Continuing Studies at Western	2,612.8	2,551.8	61.0	2,247.6	2,232.6	15.0	-13.98%	-12.51%	694.3	
28	Sub-Total	14,917.9	14,864.6	53.3	14,003.5	14,139.2	-135.7	-6.13%	-4.88%	1,534.9	830.8
29	D - Associated Companies										
30	Western Research Parks (incl. Windermere Manor, ADEISS & AMP)	7,941.1	8,547.5	-606.4	7,568.1	8,532.8	-964.7	-4.70%	-0.17%	-14,908.3	
31	Ivey Business School Foundation	32,727.0	31,444.0	1,283.0	32,727.0	31,444.0	1,283.0	0.00%	0.00%	16,548.7	
32	Ivey Business School Asia Limited	2,599.0	3,206.0	-607.0	2,599.0	3,206.0	-607.0	0.00%	0.00%	-1,690.4	
33	Sub-Total	43,267.1	43,197.5	69.6	42,894.1	43,182.8	-288.7	-0.86%	-0.03%	-50.0	0.0
34	Grand Total	207,657.2	195,299.7	12,357.5	193,177.8	193,325.5	-147.7	-6.97%	-1.01%	84,529.1	3,449.9

REPORT OF THE SENIOR POLICY AND OPERATIONS COMMITTEE

Contents	Consent Agenda
<p>Committee Appointments</p>	<p>Yes</p>
<p>Annual Report of the Code of Student Conduct</p>	<p>Yes</p>
<p>Annual Report on Gender-based and Sexual Violence</p>	<p>No</p>

FOR INFORMATION

1. **Committee Appointments**

1a. **University Discipline Appeals Committee (UDAC)**

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

Dr. Mark Workentin, Chair – July 1, 2020 to June 30, 2021*

Faculty – July 1, 2020 to June 30, 2023

Dr. Brian Neff (Science)*
Margaret McGlynn (Social Science)
Clare Robinson (Engineering)

Undergraduate Students – July 1, 2020 to June 30, 2021

Zain Al-Shamil (Health Sciences)
Zachary Train (Social Science)

Graduate Students – July 1, 2020 to June 30, 2021

Dana Broberg (Schulich)
Nicole Devos (Engineering)
Elizabeth Mohler (Health Sciences)
JoAnn Saldua Toomath (Health Sciences)
Kirstyn Seanor (FIMS)

*Reappointment

1b. **McIntosh Gallery Committee**

On behalf of the Board, the Senior Policy and Operations Committee approved the appointment of the following individuals to the McIntosh Gallery Committee for the term July 1, 2020 to June 30, 2023.

Christine Sprengler (Member-at-Large)
Joel Faflak (Member-at-Large)

1c. Western Fair Association Appointees

The University has two Board-appointed representatives on the Western Fair Association's Board. On behalf of the Board, the Senior Policy and Operations Committee approved the appointment of the following individuals to the Western Fair Association for the term July 1, 2020 to June 30, 2021.

Cliff Fielder
Harold Usher

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](#).

3. **Annual Report on Gender-based and Sexual Violence**

The Annual Report on Gender-based and Sexual Violence is provided in [Annex 2](#).



Code of Student Conduct

Annual Report to the Western Board of Governors

For the period May 1, 2018 – April 30, 2019

Prepared for Dr. Jennifer Massey, Associate Vice President, Student Experience

Overview:

This is the nineteenth report of actions taken under the terms of the Code of Student Conduct since the Code was enacted by the Board of Governors. The information presented in this report spans from May 1, 2018 - April 30, 2019. In total, there were 48 incidents involving students that came to the attention of the Office of the Associate Vice-President, Student Experience, resulting in 124 student meetings.

The Code of Conduct Office, within the Office of the Associate Vice-President (Student Experience), continues to work closely with the University's Legal Counsel, Dean offices, Housing and Ancillary Services and Campus Community Police Service to ensure that all matters involving the Code are handled according to the established procedures for record-keeping, communication and follow-up.

The Code of Conduct Office has become a piece of the newly established Student Support & Case Management since the summer of 2019. During the academic year of 2019-2020, the Code of Student Conduct portfolio grew, with the addition of a contract employee to help manage the caseload of incidents, and time was intentionally invested in defining operational goals, key performance indicators and learning outcomes for the office. The intentionality of this work has helped us begin to better align our conduct process with best-practices and research in the field, as well as set targets to better understand the impact on student development and the efficiency of the structure of our program. As noted in more detail throughout the report, our developmental approach to student conduct is allowing us to create more directed learning experiences for our students, to support them in understanding the impact of their behavior, and ultimately contribute more positively to the community in the future.

2018-2019 Violations and Resolutions:

The table below highlights the incidents that resulted in formal Code Proceedings and were issued sanctions, in addition to those incidents that were successfully resolved informally. An informal resolution specifies an agreement and any requirements that the student must fulfil, such as participation in educational focused activities with clear learning outcomes. A formal resolution could include a combination of the following outcomes: Written warning, Apology, Educational Sanction, Restitution, Restricted Access, Probation, Suspension or Expulsion.

Category of Violation	Formal Resolution	Informal Resolution
Disruption or interference	2	5
Misconduct against Persons		
i. threats, harassment, assault not involving sexual violence	8	15
ii. threats, harassment, assault involving sexual violence	8	14
Misconduct involving Property		
i) Theft	3	2
ii) Vandalism	3	0
iii) Trespass	1	1
Misrepresentation or False Information	1	0
Alcohol or Drug Related:		
Illegal Use of Substances: Drug Trafficking/illegal Use of, or Possession of Drugs	6	0
Improper Use of Dangerous objects and Substances (discharge of fire alarm)	0	0
Contravention of Other Laws	0	0
Aiding in the commission of prohibited act	0	0
Failure to comply	0	0

**The table does not include those incidents which were dismissed. A case would be considered dismissed if there were no finding, the student withdrew their complaint, or the incident didn't rise to the threshold of warranting an investigation.*

Depending on the nature and egregiousness of a violation, a student who participates in a formal or informal resolution may be issued a sanction(s) as a means to reflect on the incident and consider ways to repair the harm caused by their behavior. While sanctions can be disciplinary in nature (ie. withdrawal of privileges, restrictions), our priority is to offer learning opportunities for students through educational sanctions (ie. reflection, awareness programs, and learning opportunities) whenever possible. As noted in figure 2, there have been a range of sanctions imposed following a finding under the Code for the 2018-2019 academic year, with the majority intended to offer educational and reflective learning experiences, as well as 3 incidents resulting in suspension, and 1 incident resulting in expulsion. It is important to note that a student may be issued multiple sanctions following an incident, including both disciplinary (withdrawal of privileges, restrictions) as well as educational sanctions (reflection, awareness programs, and learning opportunities).

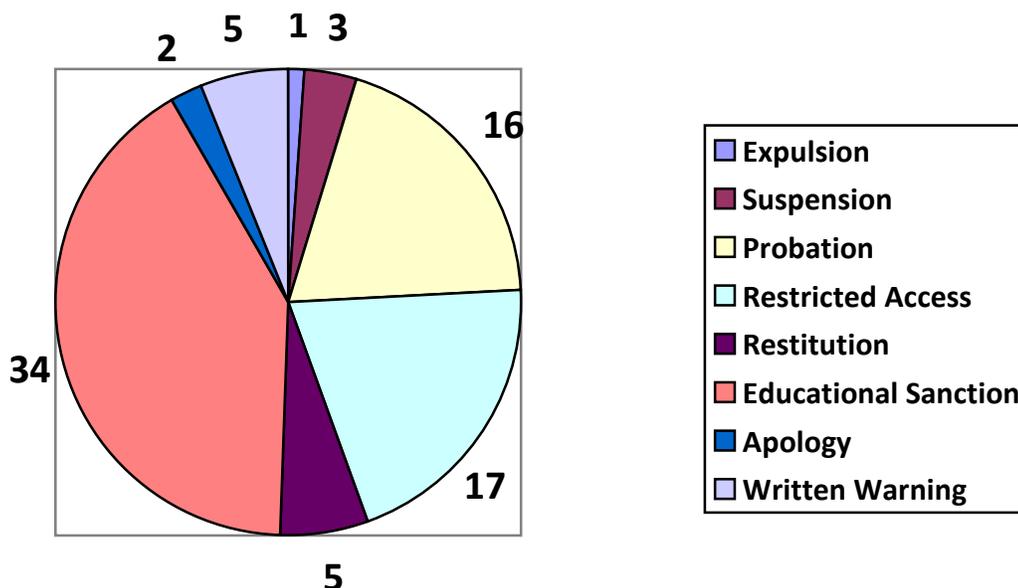


Figure 2: Types of Sanctions Issued for Incidents
*Some incidents resulted in multiple sanctions

As evidenced by the large number of educational sanctions assigned to incidents this past year, our belief in implementing a conduct process that is grounded in reflective learning and personal development has been a foundational piece of why we believe students benefit from the opportunity to meet with us and how we support students through the intervention. This approach is also supported in the literature, which notes the importance of educational sanctions on students’ learning and citizenship development (Ardailo & Walker, 1987; Dannells, 1997; Howell, 2005; Pontious, 2008), particularly because it helps decrease rates of recidivism. As discussed by Kompalla and McCarthy (2001) in their research, “Regardless of the sanction, students were less likely to repeat a similar violation. This is particularly clear for those assigned to education/reflective papers and community service” (p.227). With this in mind, our approach to educational sanctioning is grounded in the three areas of perceived learning: empathy, understanding the conduct process, and thinking through their actions (Pontious, 2008, p. 2), and we look to continue investing in these type of reflective learning experiences in our conduct process moving forward.

Current Practices and Future Plans:

Establishing the Student Support & Case Management Department

In the summer of 2019, the Student Support & Case Management department was created to connect four unique portfolios as part of Western Student Experience – the Code of Student Conduct, gender-based violence survivor support, complex care and mental health support, and critical incident/student death. Bringing together these support units has increased collaboration and enhanced more efforts to achieve the department's common goal: supporting the diverse needs of our students with wrap around care. The response and resolution of student misconduct continues to be addressed with care and compassion as the co-location of the additional supports allow for students to access a range of supports with ease and provides staff access to peer consultation and collaboration.

Crafting Goals, Key Performance Indicators and Assessment Plans

The student conduct process provides a unique opportunity for learning outside of the classroom which focuses on citizenship, personal reflection, and community impact (Ardailo & Walker, 1987; Dannells, 1997; Howell, 2005; Pontious, 2008). While we anecdotally know that our conduct conversations and educational sanctions contribute to student development, this year we have invested time into putting structures in place to show the impact and effectiveness of our department here at Western. In doing so, departmental goals were created that directly align with the strategic objectives of the Office of the Associate Vice President (Student Experience) and Western, which help guide the direction of our day-to-day work. From there, we created key performance indicators that will help us better understand the efficiency of our structure and where we are investing our time, energy and resources. Finally, through the development of intentional learning outcomes – that is, what students will be able to do, know or value as a result of our process – we have designed an assessment project plan for the 2020-2021 academic year to help measure the direct impact of our process on student learning and success. Collectively, these goals, key performance indicators and outcomes assessment will guide us in continuous program improvement and support with resource allocation to best support the diverse needs of our students.

Moving forward

As our work with behavioral intervention and code of conduct develops, the exploration of enhanced case management tools will support efficient tracking, reporting and digitalized record keeping. Current case management involves the use of paper files which makes it difficult to track cases, measure student development, and identify trends over time. A digital case management tool will also operationalize a more organized and effective process for acquiring necessary information for Behaviour Intervention Team meetings, an early alert program, appeals hearings, and/or emergency incidents.

As the office begins to implement the assessment plan to measure student conduct meetings and sanctions, assessment tools will be designed to capture student learning and process efficiency. We will be developing pre- and post- surveys, meeting rubrics, engagement activities and sanction standards to better understand and report on the benefit of our process on student development and behavior intervention.

The enhancements noted above will improve the efficiency of the office as students are supported through adverse circumstances.

Western's Gender-Based Violence Board Report

June 2020

Context

Western University continues to engage in a number of strategic initiatives designed to advance education and prevention of gender-based and sexual violence (GBSV) on our campus, and increase our capacity to respond to disclosures and complaints. Several steps have already been taken to increase collaboration across the University to improve upon current practices, align with Federal and Provincial Legislation, and continue to strive to be leaders in GBSV prevention and response.

In March 2019, the provincial government mandated post-secondary institutions to provide their Board of Governors with an annual report on work underway to address GBSV. This report provides the annual update on the progress made beginning January 2017 through to April 30, 2020, accounting for three cycles of data collection:

- Cycle 1: January 1, 2017 - April 30, 2018
- Cycle 2: May 1, 2018 - April 30, 2019
- Cycle 3: May 1, 2019 - April 30, 2020

To outline the preventative programming and responsive care interventions that are provided to Western students, as well as to provide a snapshot of how our GBSV efforts will continue to be developed, this report is divided into four sections:

- Section One: Outlines prevention education underway at Western.
- Section Two: Summarizes the responsive care provided to survivors who discuss incidences of GBSV.
- Section Three: Provides an overview of formal complaints and investigations made under the Sexual Violence Policy including a summary of sanctions imposed.
- Section Four: Discusses the next steps planned to increase prevention and response to GBSV at Western.

Section 1: Prevention Education

Gender-based violence is a messy, complex and personal topic. At Western we are partnering with faculty to study our gender-based prevention work to ensure the initiatives we develop both reflect and develop best practices. This approach has provided opportunities for us to think critically and creatively about the content we deliver, our pedagogical choices and modes of delivery, our approaches to assessment, and what epistemological values underpin our approach to knowledge mobilization and translation.

- From September 2019 to March 2020, the Gender-based Violence Prevention Education Coordinator offered 42 gender-based violence prevention programs that engaged 907 participants. Programming was delivered to a broad representation of various undergraduate and graduate student groups and unions, faculties, departments, other post-secondary institutions and community and national partners. Examples of prevention education programs offered from September 2019 – March 2020 included:

Upstander Workshop	By participating in this program, students learn about the impacts of sexual violence has on individuals and communities; examine the link between sexually violent behaviour and a culture of sexual violence; and, learn how to safely apply upstander intervention skills to intervene in situations of sexual violence and other situations in which a person may be at risk of being harmed.
Male Allies on Campus Workshop	This session is designed and delivered to male-identifying students on campus. By participating in this program, students develop important leadership skills in how to stand up against sexual and gender-based violence; acknowledge how their actions, words and behaviours can impact others; and, demonstrate what it means to be a male ally.
Educating in the Grey Zone	This session introduces participants to Western's theoretical approach to gender-based violence prevention education. Participants explore gender-based violence 101, the limitations of historical approaches to prevention, new and promising directions for prevention education.
Disclosure Training	Student volunteers at the Wellness Education Centre (WEC) received focussed student leader training on the process of receiving and responding to a disclosure as part of their onboarding/training program.
On-campus Bar Staff Training	This training program was offered to student staff at the on-campus bars and restaurants. By participating in this program, student staff learn how to keep patrons and staff safe from harassment and violence. This includes how to build consent culture in the working environment, educating staff to understand the scope and impacts of gender-based violence, how to identify inappropriate behaviour, and skills to respond to unsafe situations.
Student Leader Training (SOPHs, RAs, and Student Councillors and Executive members)	By participating in this program, students learn how to recognize sexual violence as it is defined in Western University's Policy on Gender-based and Sexual Violence; understand the University's process for responding to and addressing incidents of gender-based violence, including the process for receiving a disclosure; and, refer someone to the support and resources available for survivors and respondents.
Social Programming	Including re:SHAPE Week (Western's new Gender-based Violence Awareness Week)
Educational Sanctions	Respondents implicated in complaints of gender-based or sexual violence are required to complete education/training sessions to help them understand the implications of their choices and actions.

Preventing gender-based and sexual violence (GBSV), and supporting other post-secondary institutions with the same objective, is a priority for Western.

- Since 2016, Western's Upstander program has been delivered on campus, rolled out across the province and components of the program have been used throughout Canada and internationally. Student Experience is now working on a robust research programme to test the efficacy of the Upstander program and various conditions for increased impact. Preliminary data was collected in Fall 2019 & Winter 2020. The data is currently under analysis.
- In 2019-20, Student Experience led the development of a Gender-Based Violence Prevention Education Framework, which will be released in September 2020. The Framework will be used to inform all proactive education and training on gender-based and sexual violence to ensure our approach is consistently evidence informed.
- In 2020: The development of the GBV Prevention Education Framework was finalised. The framework allows for increased knowledge regarding which programs and opportunities are more desirable; provides guidance in the development of effective and impactful programs and interventions; and, can be used as a tool or rubric when deciding whether to adopt new interventions or programs. The draft framework is currently in the final stages of review in anticipation of a projected release in Fall 2020.
- Western's Gender-based Violence Prevention Education Framework articulates an approach that informs all gender-based violence prevention education on-campus. This approach is based on the guiding models of upstream/primary prevention and public health.
- As a result of this taking an increasingly evidence-informed, programmatic approach to gender-based violence prevention education, we have introduced a shift in the kinds of educational programs we are offering, to whom, and with what impacts.

Section 2: Responsive Care

Student Meetings and Disclosures

Since the implementation of the Sexual Violence Policy, the number of disclosures and referrals to Student Experience continues to increase (See Table 1). The increase in numbers is likely a reflection of the growing awareness across the University community of the supports and resources available to survivors of gender-based and sexual violence. It suggests our efforts in education and outreach are working, and that survivors increasingly feel safer reaching out to the University for support. We hope that the numbers will continue to increase over the next few years and eventually level off as our prevention work takes root.

In 2019-20, the Gender-based Violence & Survivor Support Case Manager received 139 new unique student referrals, 118 of which met with the case manager. These meetings included students who experienced an incident of GBSV within the past year (81 students), students who experienced a historical incident of GBSV (25 students), and students who had experienced both recent and historical incidences of GBSV (12 students). In total, there were 410 meetings which resulted in direct support for student survivors.

Recognizing the importance of collecting data on our responsive care for survivors of gender-based and sexual violence, this year a focus was placed on tracking the number of referrals/disclosures and those that followed-up by accessing supports. This was done in anticipation of the implementation of a centralized disclosures mechanism, an important addition to the 2020-2023 GBSV Policy.

Table 1 reflects disclosures to the Gender-based Violence & Survivor Support Case Manager and does not include formal complaints made to the University. Note that information about student classification, academic year and referral source was not tracked until cycle 3.

Table 1: Disclosures

		Reporting Cycle			
		Cycle i January 1, 2017 - April 30, 2017	Cycle 1 May 1, 2017 - April 30, 2018 ¹	Cycle 2 May 1, 2018 - April 30, 2019 ²	Cycle 3 May 1, 2019 - April 30, 2020
Total New Referrals		0			139
Unique Students Seen ³			90	122	118
Student Classification ⁴	Domestic Student		0	114	111
	International Student		0	8	7
	Undergraduate Student		0	112	101
	Graduate Student		0	10	17
Academic Year	1st Year Student		0	32	33
	2nd Year Student		0	45	23
	3rd Year Student		0	19	26
	4th Year Student		0	16	19
	Graduate Student		0	10	17
Registration of Student	Main Campus		0	97	107
	Affiliate Campus		0	25	11
Referral Source	Campus Partner		0	73	65
	Community Partner		0	11	21
	Self-Referral		0	38	32
Disclosures made to Affiliate Campus Resources	Brescia	0	0	3	3
	King's	0	4	4	8
	Huron	0	0	4	3

1. January 1, 2017 – April 30, 2017 was included in original cycle based on date of implementation for the Sexual Violence Policy. Due to role transition date from January 1, 2018 - April 30, 2018 is not reflected in Cycle 1. During Cycle 1 data was not tracked in the same manner as Cycle 2.

2. May 1, 2018-June 30, 2018 data is not reflected in Cycle 2 due to role transition.

3. In Cycle 2 the total number of referrals received was tracked. In Cycle 3 the number of referrals received, and the number of unique students seen was tracked in anticipation of the Notification of Disclosures policy being implemented in Cycle 4

4. After Cycle one a decision was made to implement more discrete tracking to better understand the specifics of referrals being made.

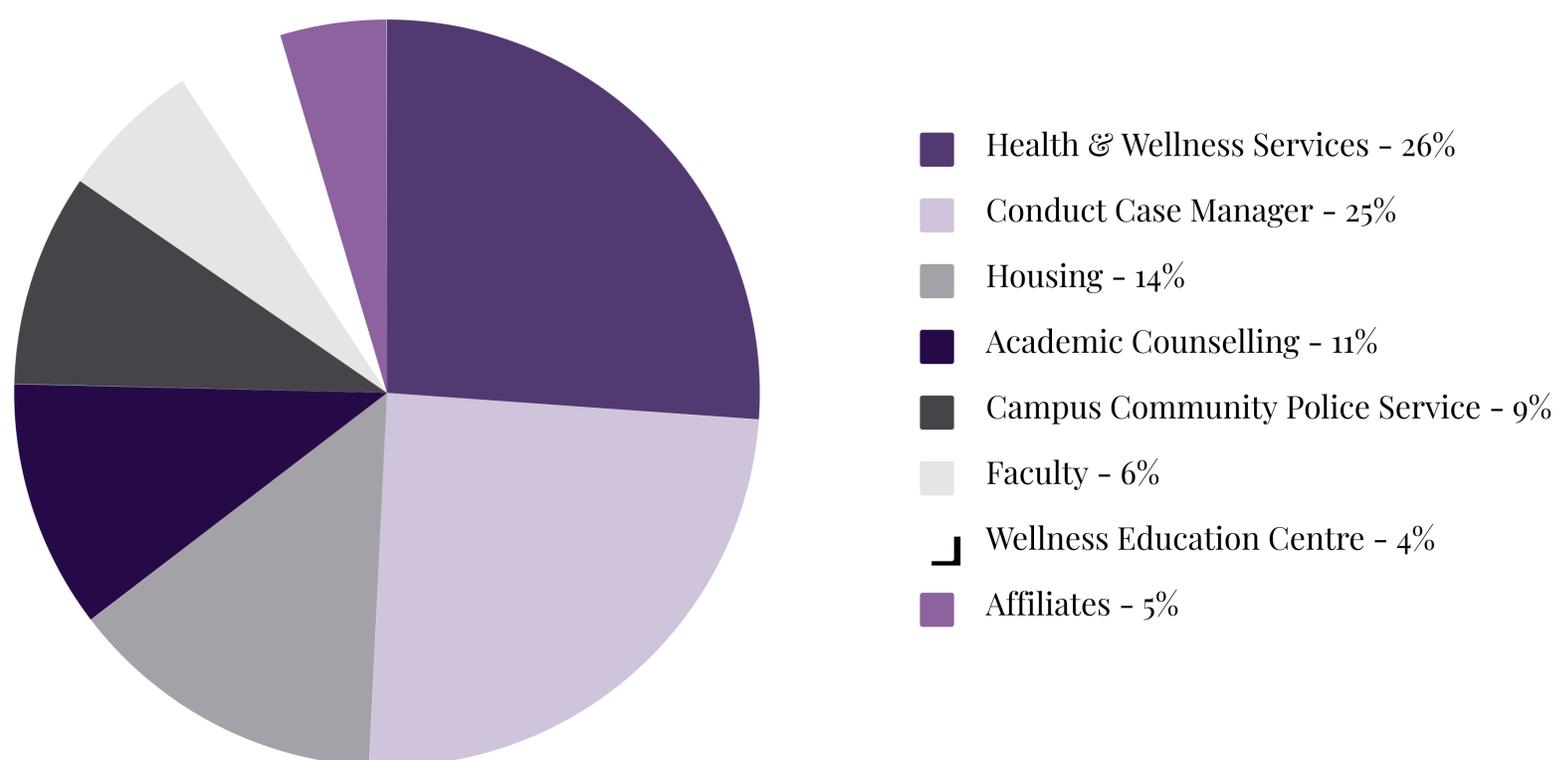
The data outlined in the chart is collected by the Gender-based Violence & Survivor Support Case Manager and classified in order to determine trends in student populations accessing formal support on campus. In 2019-20 the data illustrates that domestic and undergraduate students accessed the Gender-based Violence & Survivor Support Case Manager office at higher rates. While these trends make sense given the sizable domestic and undergraduate populations at Western, the data also validates our belief that increased outreach is necessary for international and graduate student. As such, we will continue to work closely with partners such as Western International, School of Graduate and Post-Doctoral Studies and the Indigenous Student Centre, to expand our GBSV preventative educational and awareness of supports.

Referrals

In 2019-20, we began to track the number of disclosures and/or referrals. Referrals to the Gender-based Violence & Survivor Support Case Manager in 2019-20 came from three sources (see Graph 1): Campus Partners (65 referrals), Self-Referral (32 referrals), and Community Partners (21 referrals). Similar to the previous year, the Campus Partners that most frequently referred to the Gender-based Violence & Survivor Support Case Manager were Health & Wellness Services and the Student Support and Case Management Office. A minimal number of referrals were made by the Affiliates and the Wellness Education Centre. The Regional Sexual Assault & Domestic Violence Treatment Program was the Community Partner most frequently referring to the Gender-based Violence & Survivor Support Case Manager.

As the disclosure process is now becoming centralized, it is important that all members of the Western community know which supports are available for student survivors and how to access them. To judge the efficacy of this process, throughout the 2020-2021 academic year we will also be tracking how often these outreach efforts result in a follow-up meeting with the Gender-based Violence & Survivor Support Case Manager.

Graph 1: Referral sources 2019/2020



Updated Policy on Gender-based and Sexual Violence

As mandated by the Provincial Government, throughout the 2019-20 academic year Western undertook a formal review of its Sexual Violence Policy, and the new Policy on Gender-based and Sexual Violence came into effect on May 1, 2020. A notable change was made to the new Policy regarding gender-based violence disclosures: all student related gender-based violence disclosures made to a Western Staff, Faculty or Student Leader will now be referred to the Gender-based Violence Survivor Support Case Manager.

Furthermore, the recognition and inclusion of all forms of gender-based violence was added to the Policy. The previous version focused exclusively on sexual violence, and under the new Policy, students experiencing domestic violence, family violence, bullying, and online harassment are offered gender-based violence supports. Access to these supports will help ensure survivors consistently receive accurate information, resources, and options. We expect this expansion will further increase the amount of disclosures received in the coming year and the centralization of this process will ensure consistent information is provided to all those disclosing.

The updated policy also recognizes that by providing support, information, and care to respondents, we are working to ensure that survivors receive resolutions to their complaints that are meaningful, safe, and trauma-informed. Providing support for respondents, in addition to care for survivors, is a priority for Student Experience. We will continue to investigate designing evidence-informed respondent care and look to best-practices across North America to ensure all students are receiving the support and resources they need as we work through these challenging cases.

The process of informal resolutions for complainants and respondents of gender-based and sexual violence remains an area of continued development. With the new policy including this pathway as an option for those involved, the addition of the Gender-based & Sexual Violence Response Coordinator will dedicate time to this project. Working closely with Equity and Human Rights Services, establishing an informal resolution pathway will be a priority for the upcoming academic year.

Section 3: Formal Complaints & Investigations

Formal reports of sexual violence have been tracked since the launch of Western's Sexual Violence Policy in January 2017. Such reports capture a range of experiences that can include any violence, physical or psychological, carried out through sexual means or by targeting sexuality, gender expression or identity. We recognize that formal reports of sexual violence through our office do not reflect the full scope or picture of students' experiences of sexual violence, as students may choose many avenues to seek support or follow-up after experiencing sexual violence. In 2019-20, we saw the number of formal reports of sexual violence decreased from 24 in 2018-19 to 15 in 2019-20 (See Table 2).

Category of Incident	Sanction Type	Reporting Cycle			
		Cycle i January 1, 2017 - April 30, 2017	Cycle 1 May 1, 2017 - April 30, 2018	Cycle 2 May 1, 2018 - April 30, 2019	Cycle 3 May 1, 2019 - April 30, 2020 ⁵
Total Complaints	Main Campus	11	29	24	15
	Brescia	0	0	0	0
	Huron	0	0	4	11
	King's	0	0	1	2
Sexual Assault	TOTAL	7	12	21	13
	Anonymous Complaints or No action Requested ⁶	3	4	7	9
	Educational Sanctions ⁷	1	15	15	0
	Restrictions on Campus	3	6	10	3
	Suspension	0	0	1	0
Sexual Harassment	TOTAL	2	12	7	11
	Anonymous Complaints or No action Requested	2	1	0	4
	Educational Sanctions	0	8	3	5
	Restrictions on Campus	0	5	2	2
	Suspension	0	1	2	0
Indecent Exposure	TOTAL	0	1	1	3
	Anonymous Complaints or No action Requested	0	1	1	3
	Educational Sanctions	0	0	0	0
	Restrictions on Campus	0	0	0	0
	Suspension	0	0	0	0
Sexual Exploitation	TOTAL	0	0	0	2
	Anonymous Complaints or No action Requested	0	0	0	1
	Educational Sanctions	0	0	0	0
	Restrictions on Campus	0	0	0	1
	Suspension	0	0	0	0
Cyber Harassment	TOTAL	0	1	1	2
	Anonymous Complaints or No action Requested	0	1	0	1
	Educational Sanctions	0	0	0	0
	Restrictions on Campus	0	0	0	1
	Suspension	0	0	0	0

8, 9, 10

The data on formal complaints shows that while the number of disclosures increase, suggesting students are becoming more aware of resources and supports available to them and that the increased preventative outreach is working, the number of complaints is reducing. The decrease in complaints is disconcerting, and yet, it aligns with Justice Canada's (2014) report that 83% of sexual assault goes unreported. Results from the Student Voices on Sexual Violence survey conducted by the provincial government in 2017 indicated that Western students were confused about when and how to file a formal complaint. The new policy, which came into effect on May 1, 2020 streamlines the complaint process making it easier for a student to seek a resolution from the University. In addition, providing more opportunities for students to seek informal resolutions is a priority, as students are seemingly less interested in participating in formal processes that often take weeks or even months to resolve. The new Policy offers an informal resolution pathway for gender-based and sexual violence complaints, and the addition of the Gender-based & Sexual Violence Response Coordinator role (recruitment underway) will allow Western to establish an informal resolution pathway for survivors and respondents. This will be a priority for the 2020-2021 academic year.

5. Some cases remain in the sanctioning process at the time of this report and may not be represented in the totals

6. Anonymous Complaints are those in which the complainant does not want to participate or the respondent was unable to be identified and as such were unable to be actioned, complaints were always connected to resources.

7. Educational Sanctions could include: written apologies, educational seminars, reflection papers and awareness or education programming.

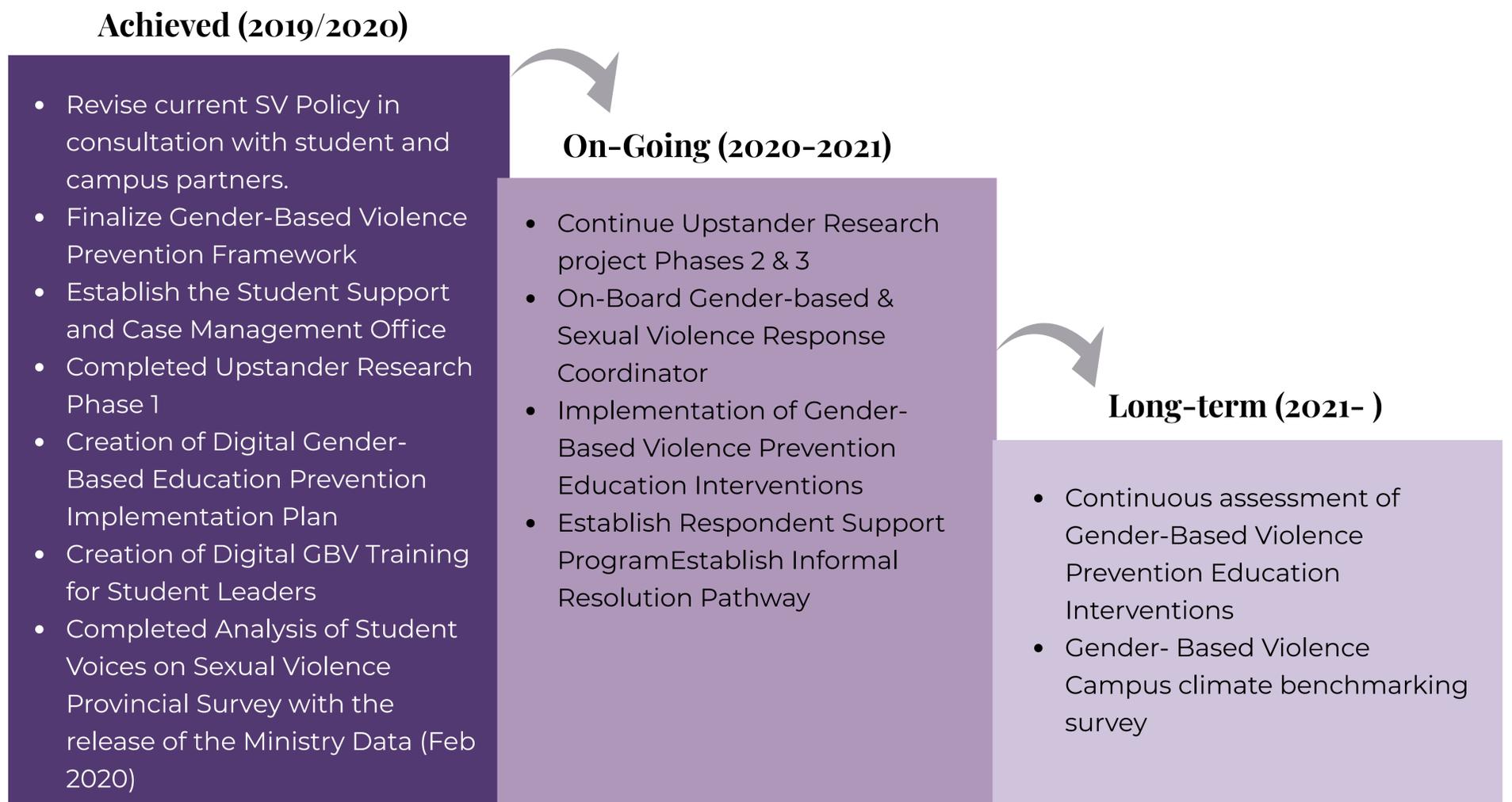
8. Outcomes noted above were reached through processes which may have included the respondent's agreement to enter into behaviour contracts (informal resolution) and formal processes which included fulsome investigation with imposed sanctions.

9. Complaints may result with multiple sanctions (i.e. Educational and Restrictions)

10. Data includes Affiliate Data (Cycle 2 - Brescia - 0, Huron - 4, King's - 1; Cycle 3: Brescia - 0, Huron - 11, King's - 2)

Section 4: Next Steps

During the 2019-20 academic year, Western Student Experience achieved all of its Gender-based and Sexual Violence goals through a collaborative, cross-departmental effort. The graphic below outlines our achievements within the past year and identifies the areas we are looking to continue developing in the future. This work will also continue to support our campus ecosystem as we work to deliver: 1) consistent educational programming; 2) meaningful policies and procedures, as well as, 3) innovative research and assessment in order to understand what impact our work is having on our campus community, and where we need to continue to focus our efforts for the future. Over the next two years, we commit to engaging in the following next steps:



As we look ahead to our 2020-2021 and long-term goals, it is rewarding to recognize the achievements we have made within gender-based and sexual violence education and prevention, and the significant role that campus partners from across the institution have played in developing these efforts. We look forward to continuing to improve the supports, resources and pathways available to students in their journey towards thriving.

REPORT OF THE GOVERNANCE AND BY-LAWS COMMITTEE

Contents	Consent Agenda
Revisions to the Terms of Reference of the McIntosh Gallery Committee (Special Resolution 1-H)	Yes

FOR APPROVAL

1. **Revisions to the Terms of Reference of the McIntosh Gallery Committee (Special Resolution 1-H)**

Recommended: That the Board of Governors approve the revisions to the Terms of Reference of the McIntosh Gallery Committee as shown in **Annex 1**.

Background:

The revisions to the Terms of Reference provide for an updating of terminology in relation to the number of works owned by the Gallery. In addition, as the Acquisitions Subcommittee does not have the authority to approve new acquisitions, the recommendation is to eliminate the duplication of work and to have all acquisitions assessed directly by the approving body, the McIntosh Gallery Committee. The proposed amendments to the Terms of Reference are attached as **Annex 1**.

McIntosh Gallery Committee

Special Resolution: No. 1-H - Terms of Reference of the McIntosh Gallery Committee

Effective Date: ~~November 2016~~ **July 1, 2020**

Previous Revisions: June 2010, **November 2016**

GENERAL

1. The McIntosh Gallery, which was opened to the public on June 26th, 1942, was the first University Art Gallery to be established in Ontario. It was built with a substantial bequest from the Estate of Wilhelmina Morris McIntosh to the memory of her husband, J. Gordon McIntosh. The agreement between the University and the Executors of the Estate provided for the cost of construction of the Gallery. Fifty percent of the income from the remaining portion of the estate is to be used by the McIntosh Gallery for the purchase of art and the maintenance of the building. The remaining fifty percent is to be used for the advancement of music, public speaking, business, and geography.
2. The function of the McIntosh Gallery is to be a cultural and resource centre for the University. As well as being used for the display and study of the University Collection, it is the focal point for visiting ~~exhibits~~ **exhibitions** of visual art to be shown to the University community and the public and for the staging of related activities.
3. The McIntosh Gallery Collection consists of approximately ~~4000 3800~~ (as of ~~2020 2016~~) works of art that have been acquired by the University through the following means:
 - (a) the bequest from the McIntosh Estate;
 - (b) donations by the Alumni Association;
 - (c) donations and bequests by individual benefactors;
 - (d) purchases by the McIntosh Gallery;
 - (e) Western University's portraits of record.

THE McINTOSH GALLERY COMMITTEE

4. The McIntosh Gallery Committee is a standing committee of the Board of Governors established for purposes as follows:
 - (a) To supervise the bequests to the University from the McIntosh Estate under the terms of the Will.
 - (b) To control such income as may accrue to the University from the Estate and to make purchases or allocate funds within the terms of the Will.
 - (c) To develop and establish policies for the operation of the McIntosh Gallery and for the control, custody and maintenance of the McIntosh Gallery Collection.
 - (d) To develop and establish policies to govern the acquisition of art objects for inclusion in the McIntosh Gallery Collection, and the deaccessioning therefrom.

McIntosh Gallery Committee

- (e) To make recommendations for the acceptance of gifts or bequests of art objects in accordance with Board policy on Gift Acceptance.
- (f) To exercise general surveillance over funds which have been established for the acquisition of art objects, and to authorize expenditures from such funds.
- (g) To report to the Board of Governors annually on the purchase of art objects.
- (h) To report to the Board annually the yearly appropriations for the purchase of art objects which shall be administered in accordance with the terms of reference governing such funds.

MEMBERSHIP and PROCEDURES

5. The McIntosh Gallery Committee shall be composed as follows:

Ex Officio

The President & Vice-Chancellor (or designate)
The Provost and Vice-President (Academic) (or designate) – non-voting
The Director/Chief Curator of the McIntosh Gallery (Secretary) – non-voting
The Chair of the Department of Visual Arts

Appointed or Elected

Three members of the Board to be appointed annually by the Board on the recommendation of the Executors of the McIntosh Estate.

Up to 6 members-at-large appointed by the Board of Governors on nomination by the McIntosh Gallery Committee for three-year terms, renewable once.

Two members elected by the Senate for two-year terms.

The Chair and Vice-Chair of the Committee shall be elected annually by the Committee.

- 6. The Committee shall normally meet three times per year or at the call of the Chair.
- 7. The Committee shall establish an annual work plan.
- 8. The Committee shall review its terms of reference every three years.
- 9. Quorum is a majority of voting members.

DIRECTOR/CHIEF CURATOR OF THE MCINTOSH GALLERY

10. The Director/Chief Curator of the McIntosh Gallery shall be responsible to the Provost & Vice-President (Academic) for the overall administration of the McIntosh Gallery and its exhibitions and programs as well as for the control, custody and maintenance of the McIntosh Gallery Collection in accordance with policies established by the McIntosh Gallery Committee. This shall include budgetary responsibility for:
- (a) allocations from the income of the Estate,
 - (b) allocations from funds established for the acquisition of art objects; and

McIntosh Gallery Committee

- (c) all other revenue received from various sources, such as granting agencies, donations and the ArtShare Program

The Director/Chief Curator shall cooperate closely with the Department of Visual Arts.

ACQUISITIONS SUBCOMMITTEE

11. The Acquisitions Subcommittee consists of up to nine members appointed by the McIntosh Gallery Committee in accordance with the Terms of Reference of the Subcommittee. At least two members, including the Chair of the Subcommittee must be members of the McIntosh Gallery Committee.

The subcommittee shall assist in the acquisition of art objects and shall meet to assess specific proposals for acquisitions or disposals. Recommendations for acquisition will be submitted to the McIntosh Gallery Committee for approval.

REPORT OF THE AUDIT COMMITTEE

Contents	Consent Agenda
Campus Community Police Service – 2020 Annual Report	Yes

FOR INFORMATION

1. **Campus Community Police Service – 2020 Annual Report**

The Campus Community Police Service – 2020 Annual Report is provided in [Annex 1](#).

Background:

Executive Summary

1. Mental Health: 2019 saw a 45% decrease in CCPS occurrences (56 vs 102) and a 56% decrease in hours spent (147 vs 337). This is an excellent indicator that persons experiencing mental health challenges were redirected to other more appropriate services (e.g. Student Experience /Health Services).
2. Total Occurrences: 3,102 - a decrease of 189 (6%) from 3,293 in 2018. Total occurrences have been relatively consistent over the past three years however there are swings in the types of occurrences. (E.g. fire alarms are down: suspicious persons up).
3. Criminal Occurrences: a very small decrease (2%) from 2018 (296 vs 302). This continues a downward trend over the past four years. Theft continues to be by far the most frequent criminal occurrence at 213 of the 296 total (bikes 71; electronic devices/laptops 63).
4. Bike Thefts: CCPS is scheduled to participate in fall 2020 with the London Police Service in the Garage529 program to reduce the number of campus Bike thefts.
5. Patrol hours: increased across a variety of areas including residences, libraries, parking lots, the Recreation Centre and traffic monitoring. Proactive, high visibility patrols, assist in mitigating unwanted activities across campus.
6. Suspicious Persons: There was a 13% increase in these occurrences (229 vs 199). This can be attributed to the increased proactive patrols on campus resulting in interactions with persons having no affiliation to campus. Correspondingly there were 59 Trespass tickets issued in 2019 vs. 33 in 2018.
7. Traffic related: enhanced traffic monitoring and proactive placement of electronic speed signs occurred in 2019. There was an 18% decline in collisions (54 vs. 66) and no personal injury collisions.
8. CPTED: This program continues to support campus safety and security through environmental design reviews. In 2019, 60 CPTED reports were completed.
9. Card Access: A working group has been created to review software / hardware providers as the provider for our current system has discontinued their product. Also, a new position to support the Card Access system was submitted and approved during the budget process. Awaiting final approval to proceed.
10. Fire Safety: Proactive work with FM and Housing partners resulted in an overall decrease of 13% in false alarms. Specifically a reduction of residence malicious alarms from 24 to 7.
11. Fire Safety Staffing changes: due to a departure, a review of staffing was commenced in 2019. In December a Fire Safety Emergency Specialist position was filled with an individual bringing 26 years of experience, including campus familiarity from working previously with a sub-contractor.
12. Fire Alarm Monitoring: To become ULC compliant, the transition to third party fire alarm monitoring company Damar was commenced during 2019. It was completed in April, 2020.
13. Emergency Management Coordinator: Budget submission for this new position was submitted and approved during the budget process. Awaiting final approval to proceed.

14. Special Constables: Two additional Special Constable positions were submitted and approved during budget process. Awaiting final approval to proceed.
15. Diversity: Information on gender and visible diversity within campus police/security services can be found in the Appendix to the 2020 Campus Community Police Service Annual report found in [Annex 2](#).



OVERVIEW

The responsibility for campus safety and security is embraced by members of the Campus Community Police Service, Western Foot Patrol and our team of Fire Safety professionals. Our team is interwoven across campus through a variety of partnerships within the Western community, including Western Administration, University Student Council, Residence Life, Student Experience, the various Faculties, and the many clubs and organizations that make Western campus a vibrant and thriving place.

Each day members of the Campus Community Police Service (CCPS) provide a community based focused approach for a safer campus through a collaborative partnership with all segments of the Western community.

2020 is the final year of the 3-year CCPS strategic plan. During this year, we will begin consultations with our various stakeholders, seeking their perspectives and suggestions toward the development of our next three year vision. This process will ensure CCPS goals and objectives are reflective of the community we serve, and assist with the most effective and efficient deployment of our resources to meet those needs.

Campus feedback, combined with analysis of our operational statistics, and a review of new or pending factors that may impact service delivery, will serve us well in determining our service delivery model for the next three years.

Within the policing component of our team, Campus Community Police members are designated Special Constables, as authorized by the London Police Services Board.

The Special Constable status, provides our members the authority to enforce various Acts and legislation, enhancing the delivery of safety and security services across Western and the affiliated University Colleges.

The CCPS maintains a strong and supportive relationship with the London Police Service, including administrative and investigative support, officer back-up and training opportunities.

MENTAL HEALTH

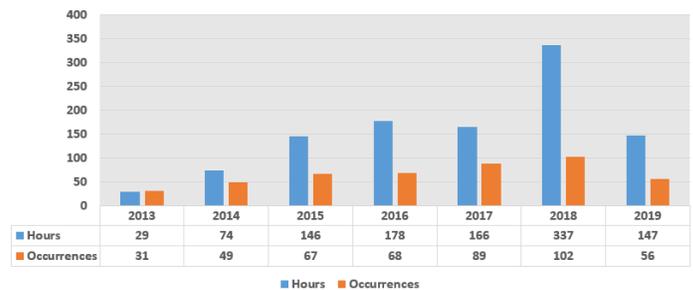


Table 1 – Mental Health Occurrences and Officer Hours

Following an upward trend of Mental Health occurrences from 2013 to 2018, including a large spike in 2018, a 45% decrease was experienced in 2019, with CCPS responding to 56 occurrences as compared with 102 during 2018 (Table 1). Correspondingly, the amount of time dedicated to Mental Health occurrences saw a 56% decrease in 2019, from 337 hours to 147 hours. This reduction is indicative of the partnerships on campus, with the appropriate redirection of persons experiencing Mental Health challenges to the Mobile Crisis Team, rather than law enforcement.



2020 Annual Report

The CCPS will continue to work closely with our campus partners to improve services, increase community awareness, and provide educational opportunities for our officers.

OCCURRENCES

In fulfilling our mandate to ensure overall campus safety and security, Campus Community Police Service respond to a variety of occurrences across campus. The CCPS has enforcement responsibility for various statutes, both federal and provincial, including the Criminal Code (e.g. theft, mischief, assaults), Trespass to Property Act, Highway Traffic Act, Liquor License Act and the Mental Health Act. The CCPS also provides investigative expertise and advice to other groups on campus, including assistance to Student Experience with Code of Student Conduct when requested.

During 2019, CCPS members were involved in 3,102 occurrences, a reduction of 189 from the 3,291 in 2018. Included in this reduction are Criminal Code (-2%), Provincial Statutes (-10%), and Fire/Fire Alarms (-12%).

Of note, suspicious person investigations continue to increase, reaching 229 occurrences in comparison to 199 in 2018 (Table 2). When viewed across multiple years, there has been an increase of 56% in this category since 2016. CCPS officers and contract security guards continue to increase proactive patrols across identified risk areas, to deter unwanted behaviour and ensure the safety of community members and protection of property.

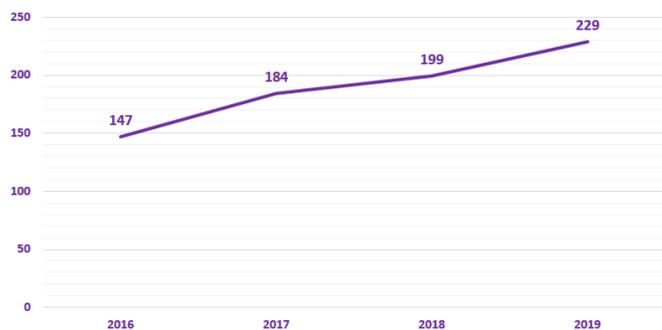


Table 2 – Suspicious Persons occurrences (2016 to 2019)

The five (5) most frequent occurrences in 2019 are identified in Table 3. Intrusion Alarms continues to be the highest response type, however there was a decrease of 34% when compared with the 1,171 responses in 2018. This reduction is a result of the ongoing Alarm Reduction Project (see page 6). Assist Gain Entry requests was the second most common

response type followed by Suspicious Persons, Vehicles and Activities, then Found Property and Assist Parking Services.

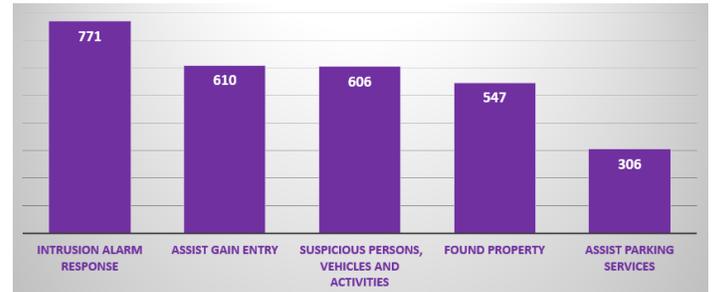


Table 3 – Five most frequent call responses

Table 4 illustrates the five most frequent criminal occurrences on campus. Theft remains the most common, followed by Mischief (property damage), Break and Enter, Assault and Fraud. Campus theft totals have remained relatively consistent with 2018 statistics, at 213 compared with 210 in 2018. This remains positive when compared with 2016 (235) and 2017 (236). The CCPS continues to proactively monitor vulnerable areas such as bicycle racks, parking lots, and the Western Student Recreation Centre, while working closely with campus partners to develop theft reduction strategies and educate our community regarding crime prevention practices.

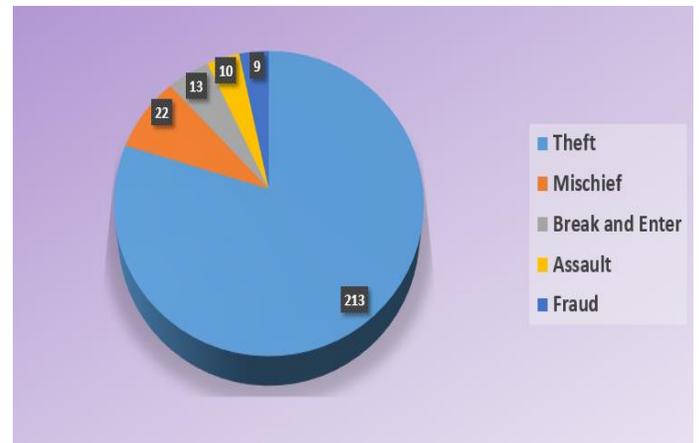


Table 4 – Five most frequent criminal occurrences

Table 5 illustrates the continued reduction in campus criminal occurrences with 296 in 2019, a small reduction from the 302 during 2018. When compared with the 461 criminal occurrences in 2016, there has been an overall reduction of 36% during the last three years. It is noted that some of this decrease is related to the legalization of cannabis.



This pattern of reduction also corresponds with the implementation of the CCPS Strategic Plan which came into effect in 2017, focusing on increased visibility within residence buildings and other high volume and identified risk locations.

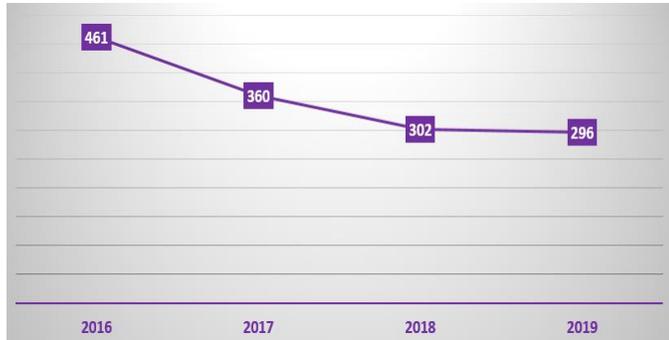


Table 5 – Criminal Occurrences (2016 to 2019)

CRIME PREVENTION & CAMPUS SAFETY AWARENESS PROGRAMS

Patrol Strategy & Response

CCPS provides service to the broad Western University community, inclusive of the three affiliates, resulting in service delivery for approximately 38,000 full and part-time students, over 4,000 staff members, as well as security for over 100 buildings. CCPS members serve our community through a 24 hour, 7 days a week deployment model, inclusive of vehicle, foot, and bicycle proactive patrols, as well as response to calls for service.



The CCPS *Focused Patrol Strategy* includes increased security guard activities and proactive patrols in identified areas to

reduce incidents of criminal activity and enhance the safety and security of our students, faculty, staff and visitors.

The *Focused Patrol Strategy* is a contributing factor in the reduction of criminal occurrences and the identification and intervention of suspicious persons and activities on campus.

Areas of proactive focus during 2019 saw an increase in hours dedicated to student residence buildings (401 vs. 136), libraries (81 vs. 49), Western Student Recreation Centre & Thompson Arena (139 vs. 116), and campus parking lots (109 vs. 31). Patrol statistics for these areas increased by 120%, with 730 total patrol hours in 2019 compared to 332 during 2018.

Table 6 identifies Proactive Focused Patrol hours completed by CCPS members during 2019, including vehicle patrol, building and foot patrol, and bicycle patrol. The CCPS averaged 24 hours of patrol over each 24-hour cycle, 365 days of the year, an increase of 4.5 daily hours from 2018 (19.5 hours).

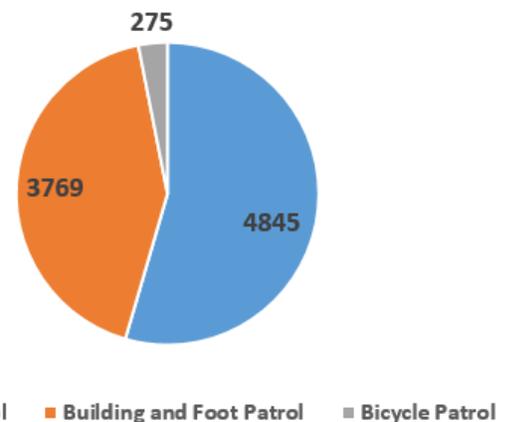


Table 6 – Total of 8,794 CCPS patrol hours during 2019 (Average of 24 patrol hours per day)

Sexual Violence

The CCPS is an important partner in Western's Sexual Violence Policy and is a designated reporting location for individuals wanting to disclose sexual violence incidents. CCPS Supervisors respond to disclosures of Sexual Violence with oversight provided by the Investigative Staff Sergeant. This member has the prerequisite knowledge, skills, and abilities to investigate sexual violence and other serious criminal offences, and ensures the appropriate response occurs. Further, the Staff-Sergeant liaises with the victim/survivor, Western staff, and the London Police Service. This process is designed to ensure the victim/survivor is fully informed of all available resources and supports.



Throughout the year CCPS members participate with residence staff in the delivery of education programs related to dating/domestic violence, informed consent, and sexual violence. The Investigative Staff Sergeant is a member of the Sexual Violence Review Team thereby ensuring a collaborative response to Sexual Violence.

Traffic Monitoring/Speed Watch Program

Western’s geographic placement within the City of London, results in campus roadways being used by Western community members for campus business and activities, as well as a large volume of vehicular traffic simply cutting across the campus as a route to an off-campus destination. As a result, during 2019 CCPS focused on increased traffic monitoring to enhance community safety and deter unsafe driving situations and motor vehicle collisions. This increased vigilance resulted in an additional 135 hours of traffic monitoring during 2019 (288 vs.153).

To further support improved drive behaviour, CCPS operated six strategically situated speed measuring signs on campus throughout the year. These signs are designed to facilitate “traffic calming”, alerting drivers to the speed they are travelling at and thereby encouraging voluntary compliance with the posted speed limits. The speed measuring signs are also used to measure vehicle traffic volumes and assist in identify areas requiring proactive deployment.

Although it is difficult to quantify proactive measures, campus experienced a reduction in motor vehicle collisions during 2019 (54 vs. 66) and no personal injury collisions. These are the lowest collision numbers since prior to 2016.

Foot Patrol



Western Foot Patrol is a student volunteer based service, supervised by a full-time manager. This team of volunteers provide safe campus escorts, both on foot and by vehicle, wear high visibility vests to deter crime, and promote safety awareness across the main and affiliate college campuses. During the fall 2019 semester, our 220+ Foot Patrol volunteers escorted students, staff, and faculty, across campus and conducted nightly proactive campus patrols. Foot Patrol

volunteers are extra eyes on campus, reporting suspicious or criminal activity to CCPS.

Foot Patrol also completes weekly emergency blue phone and monthly exterior light audits. These services assist in reducing crime and enhancing campus safety. In addition, Foot Patrol operates Western’s main Lost and Found, handling 870 requests during the past year. Only items of value are managed by CCPS.

Residence Liaison Officer (RLO) Program

Within their nine residence buildings, Western provides accommodation for 5,300 students on campus. As a result of Western’s commitment to guarantee all interested first year students with residence accommodation, campus residences house thousands of first year students who are living away from home for the first time.

The Residence Liaison Officer (RLO) program is designed to ensure positive interaction and relationship building between students and CCPS members. Given that High Schools across the country have local relationships with police services providing liaison officers, students are already familiar and comfortable interacting with officers through friendly, random connections. The RLO program builds on this, facilitating collaboration and coordination within our Housing communities. The program is based on a mutual understanding of expectations, effective communications, education, training, and the professionalism of each individual. CCPS members are responsible for encouraging open dialogue and interactions with housing members and participating in meetings and programs that promote campus objectives.

This program underwent changes in 2017 to improve efficiency and effectiveness, with the goal of increasing officer participation. As a result of these efforts, participation has increased each year since implementation (Table 7).

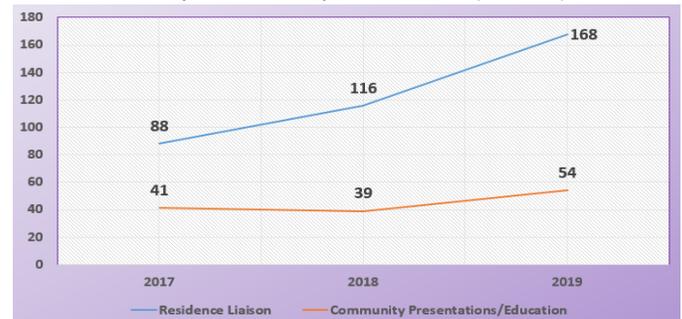


Table 7 –Residence Liaison and Presentations/Education



developing and properly securing the environment. Items and areas often subject to revisions include lock hardware, access control, personal identification systems, alarm monitoring, response protocol and other relevant security features that will assist in identifying vulnerabilities and insecurities.

In 2019, 60 CPTED reports were completed. This does not include each individual location visited and assessed. While any Western member can request a CPTED review, certain items such as building perimeter doors, and areas identified as high risk or subject to video monitoring must automatically undergo the CPTED process prior to construction or any other change.

CPTED has been successfully applied on campus since 2006. Every year the demand for these reviews increases with identified high-risk locations and the expanding community. While high-risk areas are often a priority, maintaining an overall safe and secure environment for all of campus and affiliates always takes precedence. While not all crime and unwanted behaviour can be prevented entirely by design alone, good CPTED practices can make a significant difference in eliminating the opportunity for crime and improving the overall quality of life on campus.

High Risk Locations:

The CPTED Coordinator, with the approval of the director of Campus Police, determine all high-risk areas. These locations are alarmed, monitored, and responded to by CCPS, and as such, a CPTED review is required prior to construction or any other relevant change. Examples include areas containing radioactive material, hazardous chemicals, dangerous pathogens and other contagious diseases, machinery that can manufacture weapons, living animals, fish or other live specimens, federally regulated Controlled Goods, irreplaceable artifacts, areas associated to victims of crime and locations containing millions of dollars worth of equipment. The CPTED review ensures that each location is secure and assists in preventing false alarms.

Cameras:

All cameras associated to Western fall under Western's Video Monitoring Policy. These guidelines are in accordance with University policy and provincial legislation under the Information and Privacy Commissioner of Ontario. The purpose of these guidelines is to ensure that all cameras are lawful and justifiable. As a result, a CPTED review must be conducted prior to any new camera installation, relocation or removal. As of 2019, there are 966 image streams and 816 licenced units spread out among main campus, affiliates and Western's off-site locations.

Safe Campus Initiatives

Campus Safety Awareness Training

The CCPS provides safety presentations designed and focused on the uniqueness of each community group. Presentations identify potential challenges and offers strategies to mitigate these risks. In 2019, CCPS members conducted 54 hours of presentations.

Women's Self Defence Clinic (Rape Aggression Defense Program: R.A.D.)

The R.A.D. System is a personal safety awareness and defense program, provided free of charge to Western students, staff and faculty. The program presents women with basic information on personal safety, awareness, prevention, risk reduction, and avoidance. In addition, R.A.D. teaches practical defensive techniques that require no special skills. The CCPS have two certified R.A.D. instructors who hosted two self defense courses during 2019.

Community Prevention Through Environmental Design (CPTED)

CPTED is premised on the concept that crime results partly from the opportunities presented by the physical environment. That proper design, access control and effective target hardening components within any environment can lead to a reduction in the incidence of crime, a reduction in the incidence of fear, and can improve the overall safety of people, animals and property. The goal of any CPTED review is to increase individual awareness of surroundings and assist in



Safety Planning, De-escalation and Disaster Response:

Part of the CPTED approach also revolves around the importance of mental preparedness and awareness in crisis situations. When disaster strikes, individuals and organizations must not only be logistically ready, but psychologically prepared as well. This proactive approach to safe planning is one of the most important and effective strategies in ensuring one’s personal safety. Each session discusses various strategies to better prepare for potential disasters and crisis situations, which can enhance resilience and limit the psychological impact afterwards.

Card Access / Alarms

As of 2019, the transition of all campus building perimeter doors to electronic conversion was completed. The card access system secures areas inside and restricts perimeter access. Card access aids in improving personal safety, creating a record of entry, reducing the risk of property damage and preventing theft. Western’s system is central to maintaining a safe campus and CCPS will continue to monitor its effectiveness.

At the end of 2019 Interlogix, the manufacturer of the Card Access system used at Western, ceased production. As a result replacement parts are no longer available. There is currently a Working Group comprised of various campus partners, reviewing provider options and opportunities.

Alarm Reduction Project



Table 8 – Results from False Alarm Reduction Project

In early 2017, a review of the significant increase in false alarms, from approximately 20,000 in 2012 to over 46,000 in 2016 was completed. It was clear that this had become an unmanageable amount, resulting in CCPS being limited in their capacity to respond to false signals and alarms.

The Alarm Reduction Project was created and identified several non-critical spaces that permitted 24 hour access to staff and students, were alarmed while occupied. This resulted in false alarm signals created by students and staff members during the regular course of their activities.

The CPTED Coordinator, CCPS Operations Manager, and Administrative Coordinator – Communications, in consultation with various stakeholders reviewed individual spaces to identify issues which included improper alarm scheduling, user error, defective systems, and insufficient access control procedures.

As a result, many building alarm parameters were adjusted to reflect schedules and alarm systems were disabled for areas that did not require alarming. This review also focused on identified high risk areas to ensure priority response occurred. As a result of the project, the alarm process is operating more efficiently with defective areas receiving prompt attention. Further, follow-up with stakeholders is more consistent in order to provide education on proper use.

The Alarm Reduction Project has resulted in an 87% decrease in false alarm signals since 2018 and a 97% reduction since 2016. The buildings and their specific requirements, will be reviewed annually to ensure alarm parameters remain contemporary.

Fire Safety & Emergency Management (FSEM)



FSEM provides expertise in fire safety and emergency management to ensure the safety, security, and quality of life for the Western Community. FSEM members are responsible for the testing, inspection, and maintenance of life safety equipment such as fire alarms, sprinklers, standpipes, kitchen suppression systems and fire extinguishers. FSEM members also provide education and training to faculty, staff and students. Western’s Fire Safety Officers are accredited through the National Fire Protection Association and technicians are certified through the Canadian Fire Alarm Association. Throughout 2019, FSEM continued to build on the concept of creating and maintaining strong collaborative working relationships with our Western colleagues and external partners as the foundation for our team dynamic moving forward.



2020 Annual Report

2019 was a year of review within Fire Safety to determine the best balance of internal and contracted services. FSEM developed a plan to ensure the necessary knowledge, skills and abilities existed within the team to address the Fire Safety requirements across campus.

An outcome of this review was the redesign of an existing role into the position of Fire Safety Emergency Specialist. FSEM was fortunate to recruit an individual with 26 years experience in the fire alarm industry, coupled with considerable familiarity of campus, having worked previously with one of our contracted services.

2019 by the Numbers

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

	<u>2017</u>	<u>2018</u>	<u>2019</u>
Total Actual Fire Occurrences	5	6	4
Total False Fire Alarms	143	147	131

In 2019, false fire alarms decreased by 16 representing an 11% decline when compared to 2018. This reduction is attributed to a decrease in campus construction projects as well as proactive measures employed by FSEM. Specifically, FSEM staff worked collaboratively with FM and FDE colleagues to establish solutions unique to each site, ensuring adequate and appropriate fire detection was in place for an actual fire occurrence, while at the same time preventing nuisance alarms. Further, FSEM engaged in an awareness campaign in collaboration with Housing, resulting in a reduction of malicious false fire alarms from 24 to 7. FSEM will continue to work with campus partners to enhance these positive outcomes into 2020.

Underwriters Liability Canada (ULC) Fire Monitoring

During 2019, Western continued efforts to ensure compliance with ULC fire alarm monitoring requirements, through our transition to a third party monitoring contract with ULC certified provider Damar. This process included the conversion of the Western owned and operated fire monitoring system within CCPS, to Damar's off-site location.

The transition to this new service model results in Western exceeding the requirements of the ULC standard and the London Fire Department.

In addition, FSEM benefits from Damar technology which allows staff to perform testing and maintenance functions through an I-phone application and receive notifications via text in lieu of voice communications.

Our anticipated substantial completion date for this project is April of 2020.

Life Safety System Upgrades & Advancements

In collaboration with FDE and FM, in 2019 Fire Safety identified and upgraded five fire alarm system control panels and two fire alarm system annunciator panels, including all required testing and commissioning. Western has primary responsibility and control over 82 fire alarm systems – 79 of these systems have contemporary head-end fire alarm control panels, with the three remaining panels scheduled to be upgraded in 2020.

By leveraging the modern technology established in all head-end control panels, FSEM is able to customize the fire alarm system functions to address operational issues and improve efficiencies. Together this large number of small efficiencies will reduce testing/maintenance time and improve system performance simultaneously allowing the focus of resources to other areas of need.

Conventional to Addressable fire alarm system conversions:

A review of the August 2019 lab explosion at the Chemistry Building, identified an inherent weakness of older fire alarm systems on campus. Conventional fire alarm systems provide only a zone/area from which a fire alarm has been initiated, whereas Addressable systems provide pinpoint annunciation of the alarm location allowing a much faster response. FSEM is working with FDE, an Electrical Engineering Consultant, and the City of London to review opportunities for enhancement. Western initially has two sites identified and have secured approval from FDE and the City of London to begin this initiative.

Appendix to the 2020 Campus Community Police Service Annual report

In order to determine the landscape within Ontario Universities regarding the gender and visible diversity within their campus police / security services, Directors from six universities were contacted regarding the composition of their special constable complement, inclusive of all sworn members regardless of rank. Of the six, the University of Ottawa does not currently employ special constables, currently operating with university security staff. Their “Protection Services” area is currently under review regarding the potential to implement a special constable program.

The results of these contacts are contained in Table 1.

Table 1

UNIVERSITY	# of staff with Special Constable Authorities	Caucasian Male	Caucasian Female	Visible Diversity	Vacancies (approved)	Security Staff
Western	18	15	3 (16.6%)	0		
Guelph	19	14	3 (15.8%)	2 (10.5%)		
McMaster	21	16	3 (14.3%)	2 (9.5%)		
Windsor	23	17	5 (21.7%)	1 (4.3%)		
Toronto (Downtown)	42	18	10 (23.8)	8 (19.0%)	6	
Carleton	24	19	5 (20.8)	0		
Ottawa *Does not have special constables. Operates with university employed security. Program is under review.		33	4 (10%)	3 (7.5%)		40

All Directors indicated experiencing great difficulty in recruiting and retaining diverse candidates, citing a major factor being the current competitive market for public police applicants. In this regard, McMaster reported losing two diverse members to area police services in the past year, while Toronto reported hiring six special constables in the past eighteen months and losing all six to public police services.

A review of Western CCPS female special constables hired since 2007 reveals that of the thirteen hired three (3) remain with CCPS, six (6) left within an average of one year to be hired by public police services, one (1) left to return to a family business, one (1) left for a public sector job, and two (2) were released.

Ontario University campuses are very diverse and there is absolute value in representing this diversity within University police / security services. It is incumbent upon campus police / security leaders to develop strategies to target and attract applicants that are representative of the university population, however success in recruitment will be half the challenge. It is clear that many applicants view campus police as a stepping stone to public policing. An equally important challenge will be to retain employees in an extremely competitive market.

REPORT OF THE MCINTOSH GALLERY COMMITTEE

Contents	Consent Agenda
Revisions to MAPP XX: McIntosh Gallery Collections Policy	No
Director's Report: McIntosh Gallery Pandemic Action Plan May 6, 2020	Yes

FOR APPROVAL

1. **Revisions to MAPP XX: McIntosh Gallery Collections Policy**

Recommended: That the Board of Governors approve the revisions made to the MAPP XX: McIntosh Gallery Collections Policy as shown in [Annex 1](#) and Procedures as shown in [Annex 2](#).

Background:

The original McIntosh Gallery Collections Policy was approved by the Board of Governors in April, 1994 with the current Donations Policy, approved by the Board in October, 1996. In addition, there was a *Conservation of Artworks Policy* for which there is no record of prior approval. The latter section should therefore be considered as a procedure for the McIntosh Gallery. These documents were provided to the Committee in the February 10th, 2020 meeting.

Since the February meeting, additional work has been undertaken on the revised draft policy. Both University Legal Counsel, as well as colleagues from the Advancement team, have reviewed and suggested amendments to the draft. Further, since the original McIntosh Gallery Collections Policy was established prior to the development of the standardized formatting that is used for all MAPP Board Policies and Procedures, the revised Collections Policy has been amended to align with the approved standard format. Given the number of changes to the Collections Policy, the clean copy of the policy is provided for approval in [Annex 1](#), and procedures in [Annex 2](#).

A copy tracking the changes made to the original 1994 version of the McIntosh Gallery Collections Policy is provided in [Annex 3](#).

FOR INFORMATION:

2. **Director's Report: McIntosh Gallery Pandemic Action Plan May 6, 2020**

The Director's Report on the McIntosh Gallery Pandemic Action Plan May 6, 2020 is provided in [Annex 4](#).

POLICY 1.XX - McINTOSH GALLERY COLLECTIONS POLICY

Policy Category: General
Subject: Acquisitions, Donations, Deaccession and Loans Policy for the McIntosh Gallery

Approving Authority: Board of Governors

Responsible Officer: Provost and Vice-President (Academic)

Responsible Office: McIntosh Gallery Committee

Related Procedures: Acquisitions and Donations Procedures

Related University Policies:

MAPP 2.1 Gift Acceptance

MAPP 2.28 Gift Valuation

MAPP 2.2 Fund Raising and Canvassing

MAPP 1.44 Naming of Gifts

Effective Date:

Supersedes: New

I. PURPOSE

The McIntosh Gallery is a centre for the presentation and dissemination of advanced practices and research in the fields of art history and contemporary visual art. McIntosh serves the students, faculty and staff of Western University and the broader community of the City of London as a teaching and research resource. Ongoing programs and services actively promote innovative projects in the production, exhibition, interpretation and collection of visual culture.

The Collection's active development and maintenance are essential to the fulfillment of the Gallery's mandate and to its wider responsibility to the community. The Collection is integral to the Gallery's institutional direction and identity.

McIntosh Gallery's collecting practices are guided by this formal policy. The Gallery also adheres to the best museological practices in its collecting activities, in compliance with relevant laws, ethical guidelines and policies. Service to the public good defines the Gallery's collecting practices, and is the fundamental standard against which decisions are measured. McIntosh Gallery is designated a Category A Institution, and as such is governed by a legal framework regulated by the Canadian Cultural Property Export Review Board, Department of Canadian Heritage.

II. DEFINITIONS

Collection: []

Registrar: []

III. POLICY

1. GENERAL

1.01 USES OF THE COLLECTION

It is the primary responsibility of the Gallery to conserve its Collection as a record of our cultural heritage in visual art and to carry this out according to accepted professional museological standards for art conservation and documentation. It is also the responsibility of the Gallery to promote the use of its Collection by making it accessible to its audiences through exhibitions of the Collection, special exhibitions, travelling exhibitions, supporting educational materials and loans. It is the responsibility of the Gallery to make the collection and documentation of same available for scholarly study and research.

Any use of the Collection inevitably involves a certain amount of wear and tear on the art, but if any specific use is judged to constitute a threat to the material fabric of a work of art then the responsibility of conservation will take precedence.

1.02 PUBLIC ACCESS

The Gallery shall make reasonable attempts to provide public access to the Collection. However, the Gallery must maintain its responsibility for the safekeeping of the Collection and seek an acceptable balance between serving the community and the potential risk of damage or loss. The degree of accessibility will also of necessity be determined by the limitations of financial and staff resources.

In accordance with the terms and conditions of the William Abbott Endowment Fund established at Western University on behalf of the Gallery, funds shall be used in service of the Collection including preventative and restorative conservation and related archival records.

1.03 PORTRAITS OF RECORD

From time to time, the Western University commissions portraits of record of university officials, primarily the board chair, chancellor and president. The Gallery shall monitor and advise on matters pertaining to conservation of these portraits. Western University bears the responsibility for the cost of preventative and restorative conservation for portraits of record in the Collection.

1.04 REGISTRAR'S RESPONSIBILITIES

The Gallery shall not permit any use of the Collection which is detrimental to the integrity of the art or to the reputation of the Gallery or Western University.

Every two years, the Collection shall be inventoried visually and inspected by the Registrar for condition. The Registrar shall secure any external expertise required to establish conservation priorities for the Collection. The Registrar shall maintain a formal liaison with Western University's

Archives for consultation on collection processing and storage of archival materials.

2. ACQUISITIONS

2.01 STATEMENT OF INTENT

The Collecting intent of the Gallery is to continue to build a representative collection of the art of Southwestern Ontario, Canadian artists of national significance, and Canadian and international artists deemed to have had an influence on the art of the region. Recognizing the mobility of artists and the fluidity of geographically-based identity, the Gallery, through its collection, documents an ecology of Ontario artists, a network extending throughout the province and further afield. With London as a transit point within this network, we will follow trajectories of influence and lines of flight forged by artists who connect London to national and global art practices.

In keeping with current museum practices, the Gallery will engage in the process of decolonizing the Collection. Decolonization, in this context, refers to the process that institutions undergo to expand the perspectives they portray beyond those of the dominant cultural group, particularly European colonizers. This will take place through careful and considered deaccessioning of certain European works in accordance with the deaccession policy and any applicable donor agreement. Funds raised through such deaccessions will be used to purchase new works by Indigenous artists and artists of visible minorities to create a collection that more accurately represents the population and history of our region.

Through its acquisition practices, the Gallery will focus on the overarching goals of achieving greater diversity and gender parity within the Collection.

Current areas of specialization that the Gallery will develop include Indigenous work; drawing-based practices, including installation, new media, and an expanded field of drawing; contemporary photography, especially work by women, members of the LGBTQ2SA+ community, and visible minorities to address systemic, historical imbalances in the existing collection.

Priority will be given to works that have been exhibited at the Gallery so that the Collection accurately reflects and complements the exhibition program. Thus, the collection will document the Gallery's ongoing curatorial activity and research.

2.02 COLLECTION AREAS

McIntosh Gallery collects contemporary and historical Canadian art from Southwestern Ontario. The Gallery also collects art by Canadian and international artists that provide context for regional art.

The Gallery holds a number of sub-collections that represent important stages in its historical evolution. These include art from the McIntosh bequest, 19th and 20th century Canadian painting, drawing-based practices, the Alumni Collection, and significant holdings of contemporary photography, and Indigenous art from 1970 to the present. The Gallery also has custodial responsibility for the Western University's Collection of portraits of record.

Key artists are collected in depth, while other artists are represented selectively to provide historical context. In addition, the Gallery is a repository for original archival materials related to the Collection and to specific artists represented within it.

3. DONATIONS

The Gallery welcomes outright gifts and bequests as an important endorsement of its mission

POLICY # -

and a means of assistance in carrying out its work. The Gallery shall consider all proposed gifts and donations; however, their acceptance depends upon these gifts being in accordance with the Gallery's and Western University's donation policies. The Gallery shall consider all proposed gifts; however, their acceptance depends upon these gifts being in accordance with the Gallery's and Western University's policies. The Gallery reserves the right to decline gifts, either wholly or in part. Gifts of art intended for the Collection are subject to due process and approval by the McIntosh Gallery Committee. Upon acceptance, the art will be appraised by an independent qualified and at arm's-length appraiser(s) secured by the donor and in accordance with Canada Revenue Agency guidelines for the purposes of identifying the gift value for official donation receipts.

Each gift is considered on its own merit as it relates to the Collections Policy. A first acceptance of donated art is not a commitment by the Gallery to accept any subsequent or future gifts of works by the same artist or from the same donor.

3.01 BEQUESTS

Approval-in-principle may be determined by the Gallery Committee for any desirable bequests. However, the Gallery reserves the right to decline any gifts in accordance with established policies at the time that the bequest is realized.

4. DEACCESSION FROM THE COLLECTION

4.01 STATEMENT OF INTENT

Deaccessioning is a recognized part of collections management. It facilitates the long-term improvement of the Collection by removing art that is no longer integral to the Collection for various reasons. The Gallery will ensure that all deaccessions and disposals are carried out according to current international principles, procedures and code of ethics.

5. LOANS FROM THE COLLECTION

5.01 STATEMENT OF INTENT

The Gallery shall endeavour to provide reasonable public access to the Collection through the facilitation of temporary loans of art. In lending, the Gallery's first concern is to maintain its responsibility for the safekeeping of the collection and to seek an acceptable balance between serving the community and the potential risk of damage or loss. (While reasonable attempts will be made to provide public access to the Collection, the degree of access will of necessity also be determined by financial and staff resources.)

5.02 LOAN PURPOSES

Loans may be made for the purposes of exhibition, education, study, research and/or any other appropriate purpose at the discretion of Gallery curatorial staff. Art will not be loaned for purposes deemed to be unethical, illegal and otherwise incompatible with professional museological standards. Art will not be loaned for purposes deemed to be injurious to the reputations of the Gallery or Western University.

PROCEDURE FOR POLICY 1.XX - McINTOSH GALLERY COLLECTIONS POLICY

OVERVIEW

McIntosh Gallery's collecting procedures and practice are guided by the McIntosh Gallery Collections Policy. The Gallery adheres to the best museological practices in its collecting activities, in compliance with relevant laws, ethical guidelines and policies. Service to the public good defines the Gallery's collecting practices, and is the fundamental standard against which decisions are measured. McIntosh Gallery is designated a Category A Institution, and as such is governed by a legal framework regulated by the Canadian Cultural Property Export Review Board, Department of Canadian Heritage.

1.0 COLLECTION ACQUISITION

1.01 CRITERIA

When acquiring art for the Collection, the Gallery will be guided by the Statement of Intent in the McIntosh Gallery Collections Policy.

Careful consideration will be given to the long-term implications of acquiring any work of art. Art will only be acquired with a view to permanency in the Collection and not with the intent of trading or selling.

The Gallery will not acquire art indiscriminately, and it reserves the right to determine by due internal curatorial process at what point its holdings of art by any artist or in any area have become fully representative of its collecting intent.

Prior to any acquisition, the Gallery will make reasonable efforts to ascertain that:

- the provenance and ownership is above suspicion and that the Gallery can therefore rightfully assume legal and valid title
- the art is acquired free and clear of restricting conditions
- the acquisition is in accordance with the laws of Ontario, other provinces, Canada and with international agreements regarding heritage and cultural property
- the art has not been collected under circumstances considered to be unethical, illegal, or otherwise incompatible with professional standards
- the art is well documented, or that adequate documentation can reasonably be researched by the Gallery
- the condition of the art is deemed satisfactory at the time of acquisition

2.0 GIFTS/BEQUESTS

2.01 General terms for Gifts and Bequests

DONOR RECOGNITION AND CONFIDENTIALITY

In consultation with the donor and University Advancement, the Gallery will establish wording for all public acknowledgements of donated works of art.

COST OF ACQUISITION

PROCEDURE FOR POLICY # -

Generally, the donor of any art shall bear the cost of appraisals, shipping and insurance. These costs may be assumed by the Gallery at the director's discretion.

Wherever appropriate, donors are encouraged to fund the ongoing maintenance of their gift. Such accompanying funds may be directed toward specific functions including conservation, insurance, storage, records, research, documentation or exhibition.

3.0 DEACCESSION

3.01 CRITERIA

The Gallery will make reasonable efforts to ensure that:

- i) the rationale behind each deaccession or disposal will be made available by the Gallery to any interested constituent upon request; and
- ii) Wherever possible, appropriate external expertise will be consulted and considered.

3.02 PROCEDURE

Art may be considered for deaccession and disposal upon the recommendation by Gallery curatorial staff to the McIntosh Gallery Committee

Reasons for deaccessioning a work of art:

- i) It would be better placed within another institution in which it would be given a fuller and better context (See also Loans 4.0 below);
- ii) It has become irrelevant within the Collection because the collecting intent of the Gallery has changed;
- iii) It is a copy or a forgery;
- iv) It is a duplicate or is redundant within the Collection;
- v) It is an anomaly within the Collection;
- vi) It has deteriorated to the point where it cannot be exhibited or otherwise used due to its current physical condition or inherent vice and restoration would be impractical or render it false; or
- vii) To address systemic historical imbalances that have favoured the collecting of certain artists over others because of gender, race, ethnicity, or heritage.

3.03 DISPOSALS

When considering deaccession, the Gallery will:

- i) ascertain that no mandatory restrictions are attached to the gift
- ii) make reasonable efforts to advise the donor or a member of the immediate family as a gesture of courtesy, even if the gift is free of restrictions

Except in the case of accidental loss (mysterious disappearance, theft), the disposition of deaccessioned objects will be by means of sale, trade or exchange, gift, or intentional destruction

PROCEDURE FOR POLICY # -

The manner of disposition shall be in the best interest of the Gallery, the public it serves, and the public trust placed in it. Therefore, once the decision has been reached to remove an object permanently from the Collection,

- i) reasonable efforts will be made to ensure that it remains in the public domain. First consideration will be given to an institution that can provide the highest degree of care for or give a fuller and better context for the object, which means that the institution must operate on a public non-profit basis and have purposes similar to those of the Gallery. Reasonable efforts will be made to advertise the availability of the deaccessioned material to other Canadian public art institutions.
- ii) reasonable efforts will be made to ensure that an object significant to Ontario or Canada remains in the Province or in Canada
- iii) second consideration only will be given to disposal at public auction or to a dealer, whichever is deemed to be more appropriate

The fair market value of an object will be determined by an arm's length appraisal.

The proceeds from the sale of a deaccessioned object will only be used to strengthen and maintain the Collections and not for operational or administrative purposes

All information regarding deaccession will be fully documented and maintained in the Gallery's records in accordance with the University's document retention policies. This will also apply in instances where a deaccession is due to accidental loss (mysterious disappearance, theft) or intentional destruction.

Where a deaccession involves transfer of ownership, appropriate legal documentation will be used.

All deaccessions will adhere to the applicable provincial and Canadian laws and international agreements and treaties.

When it can be shown that other bodies or governments have a legal right to and desire ownership of the art, the Gallery will deaccession art for the purpose of repatriation. The Gallery will proceed with repatriation only when it has assurance that the art will be preserved in accordance with the highest standards of the museum profession

Upon request, the Gallery will make public a list of items deaccessioned

4.0 LOANS FROM THE COLLECTION

4.01 LOAN PROCEDURES

APPLICATIONS

Loan applications must be made in writing and must include the specific purpose, expected period of loan, all modes of transportation and/or handling and intended location. All applications will be reviewed against the standards of current professional museological criteria including:

- i) the condition and age of the art requested;
- ii) the environmental, lighting and security conditions of the intended location and required transportation;
- iii) the length of time for which the loan is requested;

PROCEDURE FOR POLICY # -

- iv) the previous exhibition history of the art;
- v) duplication of requests;
- vi) the value (market/historic/intrinsic) of the art; and
- viii) the reasonable expectation of the borrower's ability to fulfill obligations.

It is understood that all art on temporary loan within the campus community may on occasion be withdrawn by Gallery staff for the purposes of conservation, photography, or exhibition in a public gallery. All loan requests will be answered promptly by the Gallery.

4.02 RESPONSIBILITIES

Borrowers are expected to pay for transportation and other attendant costs associated with the loan, which may include: inspection of the intended location; any preparatory services (matting, reframing, disassembly, and conservation) required by the borrower or the Gallery; and wrapping/packing and handling. In accordance with the requirements of the University's fine art insurance policy, art may only be handled by Gallery staff or individuals acknowledged by Gallery staff as being trained in professional art handling procedures.

4.03 INSURANCE

The borrower is expected to maintain insurance on any borrowed art. Public galleries or other public institutions will provide proof of insurance at the values specified by the Gallery.

4.04 COPYRIGHT

Copyright for art in the Collection remains with either the Gallery and/or the artist and/or the artists representatives in copyright. Unless agreed upon in writing by the Gallery, it is assumed that the borrowed art may not be photographed or otherwise documented for any reason, including publicity purposes.

5.0 REGISTRAR'S RESPONSIBILITIES

The Registrar shall maintain a list of conservation priorities to be reviewed periodically. Within the long-term plan of conservation priorities, annual resource allocation shall include supplies and materials for preventative and restorative conservation as well as any contractual arrangements and ongoing disaster plan requirements.

The Registrar shall maintain records relative to the ongoing monitoring of the changing conservation needs of the Collection including:

- condition reports
- hygrothermographic records
- records management
- photo-documentation
- database
- movement and loan procedures

Draft: Confidential

COLLECTIONS POLICY

McIntosh Gallery

Approved by UWO Board of Governors, 1994

ACQUISITIONS ACQUISITION POLICY

STATEMENT OF INTENT

a) MISSION

CORE PRINCIPLES

Our Mission of the McIntosh Gallery is to affirm a centre for the artistic presentation and educational qualities of visual culture through collecting, dissemination of advanced practices and preserving research in the fields of art history and by presenting innovative, scholarly contemporary visual art. McIntosh serves the students, faculty and culturally inclusive programs in a stimulating and informative way to the varied audiences of The staff of Western University of Western Ontario and the wider broader community of the City of London as a teaching and research resource. Ongoing programs and services actively promote innovative projects in the production, exhibition, interpretation and collection of visual culture.

b) COLLECTING The Collection is held in public trust, and its active development and maintenance are essential to the fulfillment of the Gallery's mandate and to its wider responsibility to the community. The Collection is integral to the Gallery's institutional direction and identity. McIntosh Gallery's collecting practices are guided by a formal policy. The Gallery adheres to the best museological practices in its collecting activities, in compliance with relevant laws, ethical guidelines and policies. Service to the public good defines the Gallery's collecting practices, and is the fundamental standard against which decisions are measured. McIntosh Gallery is designated a Category A Institution, and as such is governed by a legal framework regulated by the Canadian Cultural Property Export Review Board, Department of Canadian Heritage.

PURPOSES OF THE COLLECTION

i) To document the history of visual culture in London and Southwestern Ontario, including its Indigenous history

ii) To document regional artistic practices and support curatorial and scholarly research by curators, academics

iii) To provide and enable opportunities for exhibitions and knowledge exchange

iv) To advance dissemination of the work of Canadian and regional artists

v) To provide experiential learning opportunities for students in museological practices

COLLECTION AREAS

The McIntosh Gallery collects contemporary and historical Canadian artwork chiefly of the art from Southwestern Ontario region and of Canadian artists of national significance. The Gallery also collects artworks art by Canadian and international artists which that provide a context for the regional focus through documented influence on the art of the region.

The McIntosh Gallery holds a number of sub-collections which that represent important stages in its historical evolution. These include: art from the original McIntosh Collection bequest; a substantial group of works by 19th and early 20th century British and Canadian artists; and painting, drawing-based practices, the Alumni Collection, and significant holdings of contemporary photography, and Indigenous art from 1970 to the present. The Gallery also has custodial responsibility for the University's Collection of portraits of record. The Collection presently contains some artworks by artists who fall outside this focus. The McIntosh Gallery may continue to broaden these holdings for in-depth representation of these artists throughout their careers.

c) AUDIENCES

As a University Gallery acting in the public trust, the McIntosh Gallery seeks to serve the interests of its constituencies. These include University students, alumni, faculty and staff and the larger community, audiences which are becoming increasingly diversified in nature. The majority of the student body is at present from the Southwestern Ontario region. For all audiences, the Gallery attempts to demystify contemporary art through dialogue, awareness and accessibility.

A more specialized community of artists, art and museum professionals, critics, writers, dealers, collectors, teachers and scholars play a dual role as stakeholders, being both audiences and contributors to the Gallery's collecting and programming activities.

2

d) USES OF THE COLLECTION

It is the primary responsibility of the McIntosh Gallery to conserve its collections as a record of our cultural heritage in visual art and to carry this out according to accepted professional museological standards for art conservation and documentation. It is also the responsibility of the Gallery to promote the use of its Collection by making it accessible to its audiences through exhibitions of the Permanent Collection, special exhibitions, traveling exhibitions, supporting educational materials and loans. It is the responsibility of the Gallery to make the collection and documentation of same available for scholarly study and research.

The McIntosh Gallery makes every attempt to provide reasonable public access to the Permanent Collection. However, the Gallery must maintain its responsibility for the safekeeping of the Collection and seek an acceptable balance between serving the community and the potential risk of damage or loss. The degree of accessibility will also of necessity be determined by the limitations of financial and staff resources.

Any use of the Collection inevitably involves a certain amount of wear and tear on the artworks, but if any specific use is judged to constitute a threat to the material fabric of an artwork, then the responsibility of conservation will take precedence.

The Gallery shall not permit any use of the Collection which is detrimental to the integrity of the artworks or to the reputation of the McIntosh Gallery or The University of Western Ontario. (See also Loans Policy and Conservation Policy)

e) Key artists are collected in depth, while other artists are represented selectively to provide historical context. In addition, the Gallery is a repository for original archival materials related to the Collection and to specific artists represented within it.

COLLECTING INTENT AND RANGE

The Collecting Intent of the McIntosh Gallery is:

i) to continue to build a representative collection of the art of Southwestern Ontario, Canadian artists of national significance and Canadian and international artists deemed to have had an influence on the art of the region. Recognizing the mobility of artists and the fluidity of geographically-based identity, the Gallery, through its collection, documents an ecology of Ontario artists, a network extending throughout the province and further afield. With London as a transit point within this network, we will follow trajectories of influence and lines of flight forged by artists who connect London to national and global art practices.

ii) to make selective additions in other areas of existing strengths.

~~The Collection presently contains some artworks by artists who fall outside this focus. The McIntosh Gallery may continue to broaden these holdings for in-depth representation of these artists throughout their careers.~~

In keeping with current museum practices, the Gallery will engage in the process of decolonizing the Collection. Decolonization, in this context, refers to the process that institutions undergo to expand the perspectives they portray beyond those of the dominant cultural group, particularly European colonizers. This will take place through careful and considered deaccessioning of certain European works in accordance with the deaccession policy. Funds raised through such deaccessions will be used to purchase new works by Indigenous artists and artists of colour to create a collection that more accurately represents the population and history of our region.

Through its acquisition practices, the Gallery will focus on the overarching goals of achieving greater diversity and gender parity within the Collection. Current areas of specialization that the Gallery will develop include Indigenous work; drawing-based practices, including installation, new media, and an expanded field of drawing; contemporary photography, especially work by women, LGBTQ2S+, and people of colour to address systemic, historical imbalances in the existing collection.

Priority will be given to works that have been exhibited at the Gallery so that the Collection accurately reflects and complements the exhibition program. Thus, the collection will document the Gallery's ongoing curatorial activity and research.

CRITERIA

a) i) When acquiring artworks art for the Collection, the McIntosh Gallery will be guided by the Statement of Intent.

b) ii) Careful consideration will be given to the long-term implications of acquiring any artwork. Artworks work of art. Art will only be acquired with a view to permanency in the Collection and not with the intent of trading or selling. ~~(See Donations Policy for possible exceptions.)~~

c) iii) The Gallery will not acquire artworks art indiscriminately, and it reserves the right to determine by due internal curatorial process at what point its holdings of artworks art by any artist or in any area have become fully representative of its collecting intent.

d) iv) Prior to any acquisition, the Gallery will make every reasonable effort to ascertain that:

- i) the provenance and ownership of the artwork is above suspicion and that the Gallery can therefore rightfully assume legal and valid title

- ii) the artwork art is acquired free and clear of restricting conditions; ~~(See also Donations Policy.)~~

- ~~_____~~ **iii)** the acquisition is in accordance with the laws of Ontario, other provinces, Canada and with international agreements regarding heritage and **cultural property** ~~cultural property;~~
- ~~_____~~ **iv)** the **artwork has art has** not been collected under circumstances considered to be unethical, illegal or otherwise incompatible with professional standards;
- ~~_____~~ **v)** the **artwork art** is well documented, or that adequate documentation can reasonably be researched by the Gallery;
- ~~_____~~ **vi)** the condition of the **artwork art** is deemed satisfactory at the time of acquisition. ~~(See also Conservation Policy.)~~

DONATIONS

The Gallery welcomes donations and bequests as an important endorsement of its mission and a means of assistance in carrying out its work. The Gallery consider all proposed gifts and donations; however, their acceptance depends upon these gifts being in accordance with the Gallery's and Western University's donation policies. The Gallery reserves the right to decline gifts, either wholly or in part. Donations of art intended as gifts to the Collection are subject to due process and approval by the McIntosh Gallery Committee. Upon acceptance, the art will be evaluated by an arm's-length professional appraiser at the donor's expense that will be used for tax receipting purposes as required.

Each donation is considered on its own merit as it relates to the Collections Policy. A first acceptance of a donated art is not a commitment by the Gallery to accept any subsequent or future donations of works by the same artist or from the same donor.

BEQUESTS

Approval-in-principle may be determined by the Gallery Committee for any desirable bequests. However, the Gallery reserves the right to decline any gifts in accordance with established policies at the time that the bequest is realized.

GENERAL INFORMATION

DONOR RECOGNITION AND CONFIDENTIALITY

In consultation with the donor and Western Development, the Gallery will establish wording for all public acknowledgements of donated works of art.

COST OF ACQUISITION

In the normal course of events the donor shall bear the cost of appraisals, shipping and insurance. These costs may be assumed by the Gallery at the director's discretion. Wherever appropriate, donors are encouraged to fund the ongoing maintenance of their donation. Such accompanying funds may be directed toward specific functions including conservation, insurance, storage, records, research, documentation or exhibition.

CODE OF ETHICS FOR PERSONAL COLLECTING

~~In keeping with the professional codes of conduct and to determine first right of refusal, all museum staff members must disclose to the Acquisitions Committee any purchasing or prospective purchasing and collecting of objects where any privileged or special information has been obtained as a result~~

-4-

of their work with the Gallery. Should the Gallery claim first right, the initial purchaser must provide receipts. Commercial activity by employees/committee members in artworks related to the Collection is not permitted.

Discussion of the Acquisitions Committee are confidential.

McIntosh Gallery employees/committee members shall not acquire any artworks deaccessioned and disposed of, by whatever manner, from the Collection.

Clearance is not required for objects received by employees/committee members as bequests or through marriage.

A personnel signature on the Code of Ethics for Personal Collecting document indicates acceptance of these conditions. The application of this policy begins upon employment/appointment and ends upon termination.

~~5~~

II DEACCESSION POLICY

STATEMENT OF INTENT

Deaccessioning is a recognized part of collections management. ~~The purpose of deaccessioning is to facilitate facilitates~~ the long-term improvement of the Collection by removing ~~artworks which have become~~ art that is no longer integral to the Collection for various reasons. ~~The Gallery will ensure that all deaccessions and disposals are carried out according to current international principles, procedures and code of ethics~~

~~The McIntosh Gallery collects contemporary and historical Canadian artwork of the Southwestern Ontario region and of Canadian artists of national significance. The Gallery also collects artworks by Canadian and international artists that provide context for the regional focus through documented influence on the art of the region.~~

~~The McIntosh Gallery holds a number of sub-collections which document important stages in its historical evolution. These include: the original McIntosh bequest Collection; a substantial group of works by 19th and early 20th century British and Canadian artists; and the Alumni Collection. The Gallery also has custodial responsibility for the University's Collection of portraits of record. The fact that an artwork may fall outside the present collecting intent of the Gallery will not in itself constitute sufficient grounds for deaccession.~~

~~The McIntosh Gallery will ensure that all deaccessions and disposals are carried out according to the principles, procedures and code of ethics for same established by the museum and gallery profession in Canada.~~

CRITERIA

The ~~McIntosh~~ Gallery will make every effort to ensure that:

- ~~a) all deaccessions and disposals are conducted and are seen to be conducted in a manner open and above board, guided by the concerns of responsible collections management and the Code of Ethics for Personal Collecting;~~
- i) ~~b)~~ the rationale behind every deaccession or disposal will be made available by the Gallery to any interested constituent upon request;
- ii) ~~c) wherever~~ ~~Wherever~~ possible, all appropriate external expertise will be consulted and considered.

PROCEDURE

~~a) An artwork or group of artworks Art may be considered for deaccession and disposal upon the recommendation of the Curator and/or other members of the by Gallery curatorial staff. After due process, it/they may be removed from the Collection.~~

~~6~~

~~The fact that an artwork may fall outside the present collecting intent of the to the McIntosh Gallery will not in itself constitute sufficient grounds for deaccession, as there may be other valid reasons for the Gallery to retain ownership. (See sub-collections, p. 1, item b).~~

~~The Gallery's Collection is a record of a visual heritage. Therefore, special care shall be exercised to overcome personal bias and the biases of our time when considering artworks for deaccession.~~

~~b) In order to be considered for deaccession, the following guidelines will be used:~~

- ~~_____ i) the artwork _____~~ **Reasons for deaccessioning a work of art:**
- i) **It** would be better placed within another institution in which it would be given a fuller and better context (See also Loans)
 - ii) ~~_____ ii) the artwork It _____~~ has become irrelevant within the Collection because the collecting intent of the Gallery has changed
 - iii) ~~_____ iii) the artwork It _____~~ is a copy or a forgery;
 - iv) ~~_____ iv) the artwork It _____~~ is a duplicate or is redundant within the Collection;
 - v) ~~_____ v) the artwork It _____~~ is an anomaly within the Collection;
 - vi) ~~_____ vi) the artwork It _____~~ has deteriorated to the point where it cannot be exhibited or otherwise used due to its **current** physical condition **or inherent vice** and restoration would be impractical **and/or** render it false
 - vii) To address systemic historical imbalances that have favoured the collecting of certain artists over others because of gender, race, ethnicity, or heritage.**

DISPOSALS

a) 1. When considering ~~the~~ deaccession ~~of a donated object,~~ the Gallery will,

- ~~_____ i) _____~~ **first** ascertain that no mandatory restrictions are attached to the gift, ~~and~~
- ~~_____ ii) _____~~ make every reasonable effort to advise the donor or a member of the immediate family as a gesture of courtesy, even if the gift is free of restrictions.

b) 2. Except in the case of accidental loss (mysterious disappearance, theft), the disposition of deaccessioned objects will be by means of sale, trade or exchange, gift, or intentional destruction.

c) 3. The manner of disposition shall be in the best interest of the Gallery, the public it serves, and the public trust placed in it. Therefore, once the decision has been reached to remove an object permanently from the Collection,

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- i) ~~_____ i) _____~~ every effort will be made to ensure that it remains in the public domain. First consideration will be given to an institution that can provide the highest degree of care for or give a fuller and better context for the object, which means that the institution must operate on a public non-profit basis and have purposes similar to those of the Gallery. **Every effort will be made to advertise the availability of the deaccessioned material as widely as possible among Canadian public art institutions.**

~~_____ every effort will be made to advertise the availability of the eaccessioned material as widely as possible among sister institutions.~~

~~_____ where an exchange takes place, the objects received in return shall have at least the same intrinsic worth or market value, unless the intent is to assist another institution to improve its collections.~~

- ii) ~~_____ ii) _____~~ every effort will be made to ensure that an object significant to Ontario or Canada remains in the Province or in Canada.

iii) ~~iii)~~ second consideration only will be given to disposal at public auction or to a dealer, whichever is deemed to be more appropriate.

~~d) Upon approval of any deaccession, the Gallery will make public through the appropriate media a list of items to be deaccessioned. For those items that may be of significance to a community, Ontario or Canada, this notice shall be at least three months in advance of the proposed date of deaccession. If any objections are received, the deaccession will be reconsidered by the approving authorities, who will be governed by the best interest of the public trust. The results of these deliberations will be communicated directly to all parties concerned and to the public in general. If the decision is reached to proceed with the deaccession, this may take place without further notice.~~

~~e) 4.~~ The fair market value of an object will be determined by an arm's length appraisal.

~~f) 6.~~ The proceeds from the sale of a deaccessioned object will only be used to strengthen and maintain the Collections and not for operational or administrative purposes.

~~g) 7.~~ All information regarding a deaccession will be fully documented and maintained in the Gallery's records on a permanent basis. This will also apply in instances where a deaccession is due to accidental loss (mysterious disappearance, theft) or intentional destruction.

~~h) 8.~~ Where a deaccession involves transfer of ownership, appropriate legal ~~documentation~~ **documentation** will be used.

~~i) 9.~~ All deaccessions will adhere to the applicable provincial and Canadian laws and international agreements and treaties.

~~8~~

~~j) 10.~~ When it can be shown that other bodies or governments have a legal right to and desire ownership of the ~~artwork art~~, the Gallery will deaccession ~~artworks art~~ for the purpose of repatriation. The Gallery will proceed with repatriation only when it has assurance that the ~~artworks art~~ will be preserved in accordance with the highest standards of the museum profession

~~k) 11.~~ Upon request, the Gallery will make public a list of items deaccessioned.

III LOANS POLICY

STATEMENT OF INTENT

The McIntosh Gallery shall endeavour to provide reasonable public access to the Collection through the facilitation of temporary loans of artworks art. In lending artworks, the McIntosh Gallery's first concern is to maintain its responsibility for the safekeeping of the collection and to seek an acceptable balance between serving the community and the potential risk of damage or loss. (While every attempt will be made to provide public access to the Collection, the degree of access will of necessity also be determined by financial and staff resources.)

LOAN PURPOSES

Loans may be made for the purposes of exhibition, education, study, research and/or any other appropriate purpose at the discretion of the McIntosh Gallery curatorial staff. Artwork Art will not be loaned for purposes deemed to be unethical, illegal and otherwise incompatible with professional museological standards. Artwork Art will not be loaned for purposes deemed to be injurious to the reputations of the McIntosh Gallery or The University of Western Ontario.

LOAN PROCEDURES

a) 1. APPLICATIONS

Loan applications must be made in writing and must include the specific purpose, expected period of loan, all modes of transportation and/or handling and intended location. All applications will be reviewed against the standards of current professional museological criteria including:

- i) the condition and age of the artwork(s) art requested;
- ii) the environmental, lighting and security conditions of the intended location and required transportation;
- iii) the length of time for which the loan is requested;
- iv) the previous exhibition history of the artwork(s);art
- v) duplication of requests;
- vi) the value (market/historic/intrinsic) of the artwork;art
- vii)
- viii) the reasonable expectation of the borrower's ability to fulfill obligations.

~~In the event that two loan applications are received for the same artwork for the same time period, priority will be given to the first written application. It is understood that all artworks on temporary loan within the~~

campus community may on occasion be withdrawn by the McIntosh Gallery staff for the purposes of conservation, photography, or exhibition in a public gallery. All loan requests will be answered promptly by the McIntosh Gallery.

b) 2. RESPONSIBILITIES

Borrowers are expected to pay for transportation and other attendant costs associated with the loan, which may include: inspection of the intended location; any preparatory services (matting, reframing, disassembly, and conservation) required by the borrower or the McIntosh Gallery; and wrapping/packing

and handling. In accordance with the requirements of the University's ~~Fine Art Insurance Policy, artwork fine art insurance policy, art~~ may only be handled by ~~McIntosh~~ Gallery staff or individuals acknowledged by ~~the McIntosh~~ Gallery staff as being trained in professional art handling procedures.

e) 3. INSURANCE

The borrower is expected to maintain insurance ~~obligations through the agency of the McIntosh Gallery~~ on any borrowed ~~artwork at all times.art~~. Public galleries or other public institutions will provide proof of insurance at the values specified by the ~~McIntosh~~ Gallery.

~~Artwork loaned on campus will be maintained under the University's Fine Art Insurance Policy. The borrower will be required to sign an agreement signifying acceptance of responsibility for the Fine Art Policy deductible, currently \$1,000 for each artwork and for any single occurrence.~~

d) 4. COPYRIGHT

Copyright for ~~all McIntosh Gallery artwork art in the Collection~~ remains with either the ~~McIntosh~~ Gallery and/or the artist ~~and/or the artists representatives in copyright~~ Unless agreed upon in writing by the ~~McIntosh~~ Gallery, it is assumed that the borrowed ~~artworkart~~ may not be photographed or otherwise documented for any reason, including publicity purposes. Copyright laws will be respected in every instance.

~~This policy will be reviewed one year after approval/implementation, and at least every three years thereafter.~~

McIntosh Gallery

Collections Policy Decisions/Procedures Chart

Acquisitions Committee .generates, reviews and evaluates
[makes recommendations to] policies for approval
.approves acquisitions
.recommends deaccessions

McIntosh Gallery Committee .approves policies and moves their
[makes motions to] approval by the Board of Governors

UWO Board of Governors .announces intentions to
[final decisions] deaccession and considers any
feedback

McIntosh Gallery **COLLECTIONS POLICY**

COLLECTIONS POLICY

McIntosh Gallery

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Donations Policy

McIntosh Gallery

Approved by UWO Board of Governors, 1996

MISSION

The Mission of the McIntosh Gallery is to affirm the artistic and educational qualities of visual culture through collecting and preserving art and by presenting innovative, scholarly and culturally inclusive programs in a stimulating and informative way to the varied audiences of The University of Western Ontario and the wider community.

The McIntosh Gallery welcomes donations and gifts as an important endorsement of its mission and a means of assistance in carrying out its work. The McIntosh Gallery is pleased to consider all proposed gifts and donations; however, their acceptance in some categories depends upon these gifts being in accordance with the McIntosh Gallery's established policies. Therefore, the McIntosh Gallery also reserves the right to decline gifts, either wholly or in part. Art donations which are intended as gifts to the Permanent Collection are subject to due process and consideration by the McIntosh Gallery Acquisitions Committee. (These conditions are explained in more detail in the appropriate sections below.)

Donations may be made through the following vehicles:

- _____ A) direct monetary gift to the McIntosh Gallery;
- _____ B) the McIntosh Gallery Endowment through Foundation Western;
- _____ C) direct gift of artwork to the McIntosh Gallery Collection;
- _____ D) deferred gifting;
- _____ E) bequests;
- _____ F) University of Western Ontario Foundation;
- _____ G) CMA Crown Foundation.

A. DIRECT MONETARY GIFT TO THE McINTOSH GALLERY

Monetary gifts may be made at any time to the McIntosh Gallery. Donations in excess of the stated membership fee are eligible for a University tax receipt as allowed under law for the tax year in which the gift is received.

B. McINTOSH GALLERY ENDOWMENT THROUGH FOUNDATION WESTERN

Gifts may be made at any time to the McIntosh Gallery Endowment through Foundation Western. Donations are eligible for a University charitable tax receipt as allowed under law for the tax year in which the gift is received.

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Donations to the McIntosh Gallery Endowment may be made in any of 2 of the following ways:

- _____ i) _____ donations of disposable assets (including art objects which fall outside the McIntosh Gallery Collections Policy) to Foundation Western, proceeds to be directed to the McIntosh Gallery Endowment
- _____ ii) _____ cash donations directed to the McIntosh Gallery Endowment
- _____ iii) _____ deferred giving and bequests of disposable assets and/or cash donations to the McIntosh Gallery. (see Deferred Giving of Art, p. 4, D)

C. DIRECT GIFT OF ARTWORK TO THE McINTOSH GALLERY COLLECTION

a) COLLECTING AREAS

The McIntosh Gallery collects contemporary and historical Canadian artwork chiefly of the Southwestern Ontario region and of Canadian artists of national significance. The Gallery also collects artworks by Canadian and international artists which provide a context for the regional focus through documented influence on the art of the region.

The McIntosh Gallery holds a number of sub-collections which represent important stages in its historical evolution. These include: the original McIntosh Collection bequest; a substantial group of works by 19th and early 20th century British and Canadian artists; and the Alumni Collection. The Gallery also has custodial responsibility for the University's Collection of portraits of record. The Collection presently contains some artworks by artists who fall outside this focus. The McIntosh Gallery may continue to broaden these holdings for in-depth representation of these artists throughout their careers.

b) COLLECTING INTENT AND RANGE

The Collecting Intent of the McIntosh Gallery is:

- i) to continue to build a representative collection of the art of Southwestern Ontario, Canadian artists of national significance and Canadian and international artists deemed to have had an influence on the art of the region;
- ii) to make selective additions in other areas of existing strengths.

The Collection presently contains some artworks by artists who fall outside this focus. The McIntosh Gallery may continue to broaden these holdings for in-depth presentation of these artists throughout their careers.

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c) CRITERIA

- i) When acquiring artworks for the Collection, the McIntosh Gallery will be guided by the Statement of Intent.
- ii) Careful consideration will be given to the long-term implications of acquiring any artwork. Artworks will only be acquired with a view to permanency in the Collection and not with the intent of trading or selling.
- iii) The Gallery will not acquire artworks indiscriminately, and it reserves the right to determine by due internal process at what point its holdings of artworks by any artist or in any area have become fully representative of its collecting intent.
- iii) Prior to any acquisition, the Gallery will make every reasonable effort to ascertain that:
 - the provenance and ownership of the artwork is above suspicion and that the Gallery can therefore rightfully assume legal and valid title;
 - the artwork is acquired free and clear of restricting conditions;
 - the acquisition is in accordance with the laws of Ontario, other provinces, Canada and with international agreements regarding heritage and cultural property;
 - the artwork has not been collected under circumstances considered to be unethical, legal or otherwise incompatible with professional standards;
 - the artwork is well documented, or that adequate documentation can reasonably be researched by the Gallery;
 - the condition of the artwork is deemed satisfactory at the time of acquisition. (See also Conservation Policy.)

d) PROCEDURES

Donations of artworks to the Collection are encouraged, however the McIntosh Gallery reserves the right to decline any or all gifts in accordance with established policies. All proposed gifts will be examined by McIntosh Gallery staff and evaluated against the Acquisition Policy criteria. If these criteria are satisfied, the proposed artwork will be subject to due process and consideration of the McIntosh Gallery Acquisitions Committee. Upon acceptance, the artwork will be evaluated by an arm's-length professional appraiser at the donor's expense. The donor, in consultation with McIntosh Gallery staff, may elect one of the following receipting processes:

- i) standard tax receipt issued by the University of Western Ontario;
- ii) application for Cultural Property status;
- iii) recognition by the University of Western Ontario Foundation;
- iv) no receipt.

The McIntosh Gallery will endeavour to expedite the donation process wherever possible. In its own merit as it relates to the Collections Policy. A first acceptance of a donated artwork is not a commitment of the McIntosh Gallery to accept any subsequent or future donations of works by the same artist.

D. DEFERRED GIVING OF ART

Gifts of residual interest to a charity are recognized by Revenue Canada (see Interpretation Bulletin IT-226R) wherein the actual property, such as an art collection, will not be received by the ultimate donee immediately. The fair market value of the artwork is determined, and the donor's life expectancy or length of time before the property (artwork) is physically received by the McIntosh Gallery, in order to determine the life interest in the property (artwork).

The following example is from "Donate Now, Deliver Later", by Arthur B.C. Drache, Q.C.

A potential donor owns a painting which a museum wants to acquire. The current owner is prepared to make the donation with the proviso that the painting remain in his or her possession for life. The agreement might consider a range of issues, including the museum's possible right to display it from time to time while the donor is still alive.

The tax question is: What is the value of the gift? The first thing to determine is the fair market value of the painting now, while the donor presumably knows the adjusted cost base (ACB) – the cost for tax purposes. The next thing to determine is the value of the interest being conveyed and the ACB of the transferred property.

The value of the gifted amount is deter-

mined by the discounted value of the picture. The present value is found by discounting the fair market value of the picture by the donor's life expectancy and a reasonable discount rate, which these days would probably be in the 7% range. The older the donor, the higher the value of the residual interest.

For example: the painting is now worth \$500,000 and the discounted value is \$225,000. The original cost of the painting was \$100,000. The ACB of the residual interest equals the ratio of the residual interest (\$225,000) to fair market value (\$500,000) times the ACB of the property (\$100,000). This works out to \$45,000. Thus, the capital gain on the transfer of the residual interest would be \$180,000 (\$225,000 minus \$45,000). Thus the museum could issue a receipt for \$225,000.

The donor could also make an election under subsection 118.1(6) of the Income Tax Act to set the disposition value anywhere between \$225,000 and \$45,000, which would reduce capital gains but would also reduce the value of the receipt. If the gift is made in 1994, an election could be made to use any part of the donor's unused capital gains exemption based on the capital gain calculated as of February 22, 1994 - Budget Day.

The gift takes place at the time the transaction is entered and not when the donor dies. At death, there are no tax consequences to the donor or the estate, and the only legal requirement is that the painting be physically transferred to the museum. The donor

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could decide to gift the work before death. In that instance, a new valuation of the life interest can be done and presumably another donation receipt can be given for the value of the gift at that time.

The technique can be used for types of property other than art. A gift of land or a house might also be received

~~through the same approach. The technique cannot, however, be used with a gift of certified cultural property, as the provisions for such property only apply to an "object", and residual interest is not an object.~~

~~Having made the gift of residual interest, the donor cannot change their mind or their will, but the donor has an immediate deduction for tax purposes while the artwork remains in their home and/or office so long as they live or elect to keep it.~~

~~E. Approval-in-principle may be determined by the McIntosh Gallery Acquisitions Committee for any acceptable proposals for bequests. Prior to the actual acceptance of the gifts, their continued viability will be determined by the McIntosh Gallery Acquisitions Committee which shall reserve the right to decline any or all gifts in accordance with established policies.~~

~~F. a) Donors may elect any of the following options at any time in the donation process:~~

~~i) complete disclosure of gift and/or total valuation~~

~~ii) disclosure of general giving level or category of recognition~~

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~~iii) anonymous gift (UWO and/or McIntosh) total confidentiality~~

~~In consultation with the donor, the McIntosh Gallery will establish wording for all public acknowledgements of gifts, including gifts in memoriam and tributes.~~

~~b) COSTS~~

~~accompany their art donation with funds that will ensure support for the ongoing wellbeing of the artwork.~~

IV POLICY ON THE CONSERVATION OF ARTWORKS

Mission

The Mission of the McIntosh Gallery is to affirm the artistic and educational qualities of visual culture through collecting and preserving art and by presenting innovative, scholarly and culturally inclusive programs in a stimulating and informative way to the varied audiences of The University of Western Ontario and the wider community.

Collecting Areas

The McIntosh Gallery collects contemporary and historical Canadian artwork chiefly of the Southwestern Ontario region and of Canadian artists of national significance. The Gallery also collects artworks by Canadian and international artists which provide a context for the regional focus through documented influence on the art of the region.

The McIntosh Gallery holds a number of sub-collections which represent important stages in its historical evolution. These include: the original McIntosh Collection bequest; a substantial group of works by 19th and early 20th century British and Canadian artists; over 300 photographic artworks; and the Alumni Collection. The Gallery also has custodial responsibility for the University's Collection of portraits of record. The Collection presently contains some artworks by artists who fall outside this focus. The McIntosh Gallery may continue to broaden these holdings for in-depth representation of these artists throughout their careers.

In addition, the McIntosh Gallery is a repository for original archival materials related to the Collection and to specific artists represented within it.

Uses of the Collection

It is the primary responsibility of the McIntosh Gallery to conserve its collections as a record of our cultural heritage in visual art and to carry this out according to accepted professional museological standards for art conservation and documentation. It is also the responsibility of the Gallery to promote the use of its Collection by making it accessible to its audiences through exhibitions of the Permanent Collection, special exhibitions, travelling exhibitions, supporting educational materials and loans. It is the responsibility of the Gallery to make the collection and documentation of same available for scholarly study and research.

Any use of the Collection inevitably involves a certain amount of wear and tear on the art, but if any specific use is judged to constitute a threat to the material fabric of a work of art then the responsibility of conservation will take precedence.

PUBLIC ACCESS

The McIntosh Gallery makes every attempt to provide reasonable public access to the Permanent Collection. However, the Gallery must maintain its responsibility for the safekeeping of the Collection and seek an acceptable balance between serving the community and the potential risk of damage or loss. The degree of accessibility will also of necessity be determined by the limitations of financial and staff resources.

Any use of the Collection inevitably involves a certain amount of wear and tear on the artworks, but if any specific use is judged to constitute a threat to the material fabric of an artwork, then the responsibility of conservation will take precedence.

Public Access

The McIntosh Gallery shall make every attempt to provide reasonable public access to the Permanent Collection. However, the Gallery must maintain its responsibility for the safekeeping of the Collection and seek an acceptable balance between serving the community and the potential risk of damage or loss. The degree of accessibility will also of necessity be determined by the limitations of financial and staff resources.

Loans

All applications will be reviewed against the standards of current professional museological criteria including the following conservation standards:

- i) the condition and age of the artwork(s) requested;
- ii) the environmental, lighting and security conditions of the intended location and required transportation;
- iii) the length of time for which the loan is requested;
- iv) the previous exhibition history of the artwork(s);
- v) duplication of requests;
- vi) the reasonable expectation of the borrower's ability to fulfill obligations.

In accordance with the terms and conditions of the William Abbott Endowment Fund established at The University of Western Ontario on behalf of the McIntosh Gallery, funds shall be used in service of the McIntosh Gallery Collection including preventative and restorative conservation and related archival records.

Portraits of Record

PORTRAITS OF RECORD

From time to time, the University commissions Portraits portraits of Record record of university officials, primarily the Board Chair, Chancellor board chair, chancellor and President. president. The McIntosh Gallery shall monitor and advise on matters pertaining to conservation of these portraits. The University bears the responsibility for the cost of preventative and restorative conservation for the Portraits portraits of Record record in the McIntosh Gallery Collection.

Registrar's Responsibilities

REGISTRAR'S RESPONSIBILITIES

The Gallery shall not permit any use of the Collection which is detrimental to the integrity of the artworks art or to the reputation of the McIntosh Gallery or The the University of Western Ontario. (See also Loans Policy and Conservation Policy)

Every two years, the entire McIntosh Gallery Collection shall be inventoried visually and inspected by the Registrar registrar for condition. The Registrar registrar shall secure any external expertise required to establish conservation priorities for the Collection and the Archives. The Registrarregistrar shall maintain a formal liaison with The University of Western Ontario Archives for consultation on collection processing and storage of archival materials.

The Registrar shall maintain a list of conservation priorities to be reviewed annually at the annual all-staff planning and budget retreat, periodically. Within the long-term plan of conservation priorities, annual resource allocation shall include supplies and materials for preventative and restorative conservation as well as any contractual arrangements and ongoing disaster plan requirements.

The Registrar shall maintain records relative to the ongoing monitoring of the changing conservation needs of the McIntosh Gallery Collection including:

- condition reports
- hygrothermographic records
- physical environment
- records management
- photo-documentation
- database
- physical documentation
- movement and loan procedures
- public access policies.

Professional Development

~~The McIntosh Gallery will ensure that the Registrar and other full-time professional staff maintain current knowledge and recognized skills pertaining to conservation of artworks through journal subscriptions, reference publications, workshops, courses, and consultations.~~

-

Director's Report: McIntosh Gallery Pandemic Action Plan May 6, 2020

Exhibitions and Programs

Artists scheduled for exhibitions and program delivery during the summer of 2020 have been notified of cancellations or postponements. We have rescheduled commitments where possible and canceled crowd-attracting events. Research, writing, catalogue production, and planning with artists and content providers continues electronically. We were able to continue working with Aylmer Press on the printing of the book *Skawennati: From Skyworld to Cyberspace*, which will be available mid-May. Visual Arts graduate student these exhibitions provide a critical experiential learning opportunities and are used to evaluate candidates by their thesis committees. Despite being closed to the public, the gallery will organize and mount thesis exhibitions this summer in collaboration with the students and the Visual Arts Department.

New Strategies for program delivery:

With the gallery closed indefinitely, Staff are developing new digital program delivery models in collaboration with colleagues at other university art galleries. These include:

Short Term: Promotion and expansion of our existing online resources, including the Driving Force website, to engage local digital audiences and educators. New series of posts highlighting key works from the collection. New interactive digital programs to replace cancelled programs (for example, Johannes Zits' Instagram performances and interactive workshop). The entire collection is now available online as of May 1, 2020. We have begun a new partnership with Forest City Gallery to present billboards by artists in prominent locations in London in order to reach large audiences beyond the confines of the gallery.

Medium Term: enhanced digital exhibition animation beginning in fall 2020. This includes live stream performances, artists videos, virtual exhibition tours to compensate for lost attendance at opening receptions and gallery-based activities. We anticipate a gradual return to campus activity and recommend that the gallery be opened to the public as soon as possible within the context of Western's overall strategy, subject to harm reduction protocols including social distancing, masks, limited access, and hygiene (see recommended protocols below).

Long Term: Digital programs will become increasingly important over the next five to ten years. We are researching best practices to plan for meaningful digital engagement. This will involve moving from digital representations of existing art works, a painting for example, to commissioning new digital works of art that are created with digital means for digital platforms.

Security

Short term: Campus police have been alerted to heightened security risk of the collection installed throughout campus. Collections Manager Brian Lambert is on site five days a week to monitor the collection and to complete an inventory of all works of art is scheduled. All installation, removal, and movement of Artshare works on campus has been postponed indefinitely.

Long term: evaluate the inherent security risk of the Artshare program and determine its feasibility in relation to its benefits. Consideration to be given to significantly reducing the number of works installed in unsecured areas.

Financial:

We are in a good position with an annual surplus of over \$100,000 anticipated this year. The surplus will fund any unexpected expenses that arise for the duration, such as digital programming initiatives, and compensation for cancelled projects. We can pay our full- and part-time staff and meet all our obligations without additional funding from Western. We have received a \$15,000 advance on our Canada Council

Operations Grant for 2020/21. Artshare billing is complete with anticipated revenue of \$22,000. We received our annual disbursement from the Ontario Arts Foundation, approximately \$16,000 in April.

Guidelines for Re-opening McIntosh Gallery:

Museums perform an essential function for their various communities who will look to cultural institutions for solace, inspiration, and innovative approaches to conceptualizing how the pandemic affects us. McIntosh Gallery is confident that it could opening relatively early in the context of Western's overall strategy. Staff have separate offices. Visitors can be limited to maintain social distancing protocol. Programs and events can be modified or cancelled to meet requirements. The following guidelines from the International Committee for Museums and Collections of Modern Art (CIMAM) in response to the pandemic will be adapted to coincide with Western's overall re-opening strategy

Visitor Safety

1. Implement temperature screening of all visitors as well as keeping an eye out for individuals who appear unwell. These visitors must be turned away and encouraged to seek medical attention.
2. Implement visitor registration and contact tracing measures at the entrances and admission points to events and venues, such as obtaining the contact details of visitors and participants (name, phone number, and email address).
3. Consider obtaining visitors' and participants' travel and health declarations and turning away visitors and participants who have been to areas with a widespread outbreak in last 14 days.
4. Where possible, ensure all visitors and participants wear a mask.
5. Suspend all events with many participants (more than 100 participants in attendance at any one time, although this may be dependent on local regulations and advisories).
6. Suspend programs and events targeted at senior citizens and other vulnerable groups.
7. Suspend all guided tours.
8. For events that proceed, the following precautionary measures should be implemented:

a) Ensuring adequate physical distance between visitors and participants by maintaining a minimum two metre distance between each visitor and participant. Some ways of achieving this include: limiting the number of visitors (in accordance with the size of the venue or event space, and such that the minimal occupant load does not exceed 1 person per 3m²) at any one time; staggering visiting periods; limiting the duration of visits; and spacing out visitors and participants through such measures as: using floor markers (or other forms of barricades) to guide visitors and maintain a distance of two meter between each individual (for events and scenarios where visitors would normally stand in-place or move around, such as entrance queues for venues and events); and or Having individual visitors and participants (or groups of visitors/participants) sit on alternate seats and on alternate rows, i.e. chequerboard seating (for seated events and dining establishments within venues). Likewise, the minimum distance separating visitors and participants should be two metres.

b) Encourage visitors and participants not to visit in large groups (except where visitors and participants are from the same household). Identify areas where visitors and participants are likely to bunch up and put in place measures to disperse them (e.g. stationing staff at these points to usher them along). To reduce congestion of visitors and participants, pre- or post-event receptions, networking sessions, tea breaks etc., should also be avoided and food and drink should not be served at events, although bottled drinks may be served.

c) Setting up appropriate cordoning measures (e.g. barricades), especially for outdoor and open-air venues or events, to limit access of visitors and participants and having event MCs to remind visitors and participants to maintain adequate physical distance from each other. If

it is not possible to limit the number of participants and ensure adequate spacing-out of participants, such events or programs should be deferred or cancelled.

Staff Safety

9. Implement daily temperature checking twice daily for all staff, once on arrival and a second time at 2pm, the results of which should be recorded. If a temperature of more than 37.5 degrees centigrade is recorded, then the staff member should be sent home with instructions to see a doctor, with a report of the diagnosis recorded in the office.

10. All staff should wear masks, especially front of house staff.

11. Remind all staff, performers, and participants to practice social responsibility and to monitor their own health conditions, avoiding attendance of events if they are unwell.

12. Provide hand sanitizers to staff, especially front of house staff who handle cash and other payment devices and are unable to wash their hands frequently.

13. Consider implementing flexible working arrangements, with each department divided into two or three teams. Implement a system so that those coming into the workplace are managed through rotation, while others work from home to ensure business continuity.

Facility Management

14. Increase the frequency of cleaning and disinfection of premises, especially frequently touched surfaces, and items, removing all handleable objects where possible. In addition, suspend use of audio guides and close off play areas, etc., if these items/areas cannot be sufficiently cleaned and disinfected.

15. Place hand sanitizers in easily accessible locations, so that participants and staff may disinfect their hands (e.g. after touching door handles).

16. Encourage online and mobile purchase of tickets to events/venues and adopting e-payments to minimize the handling of cash.

Public Communication

17. Proactively communicate the precautions in place in terms of social distancing, visitor registration, and temperature screening, etc.

18. Place notices and posters in prominent places to remind patrons to comply with relevant prevention and control measures (e.g. avoid shaking hands with other event participants and practice good personal hygiene).

19. Appeal to visitors, participants, and partners to cooperate by practicing good hygiene, monitoring their health, and staying away from venues and events should they feel unwell (and see a doctor as soon as possible), and, finally, maintaining a physical distance of 1-meter from one another.

20. Encourage visitors, participants, and partners to acquaint themselves with the facts of the outbreak and its spread, sharing them with the community to avoid Covid-19-related stigmatization or discrimination.

ITEMS REFERRED BY SENATE

Contents	Consent Agenda
<p>Proposal to Establish the Western Institute for Neuroscience (Research)</p>	<p>No</p>
<p>Faculty of Arts and Humanities and Faculty of Social Science – Proposed Name Change: The Department of Women’s Studies and Feminist Research to the Department of Gender, Sexuality, and Women’s Studies</p>	<p>Yes</p>
<p>Faculty of Social Science – Proposed Name Change: The Department of Geography to the Department of Geography and Environment</p>	<p>Yes</p>
<p>Annual Report of the Working Group on Information Security (WGIS) – 2019</p>	<p>Yes</p>
<p>Reports on Promotion, Tenure and Continuing Appointment</p>	<p>Yes</p>
<p>Report of the Academic Colleague</p>	<p>Yes</p>
<p>Academic Administrative Appointments</p>	<p>Yes</p>

FOR APPROVAL

1. **Proposal to Establish the Western Institute for Neuroscience (Research)**

Recommended: That the Board of Governors approve the establishment of the Western Institute for Neuroscience (Research), effective July 1, 2020.

Background:

The Committee on Research Institutes unanimously approved the creation of a Western Institute for Neuroscience (Research) and provided the proposal to the University Research Board, who unanimously approved the Institute for Neuroscience (Research) on May 26, 2020. On June 5, 2020, Senate voted to approve, and recommend to the Board of Governors, the establishment of the Institute for Neuroscience (Research). A summary of the proposal is provided in [Annex 1](#).

2. **Faculty of Arts and Humanities and Faculty of Social Science – Proposed Name Change: The Department of Women’s Studies and Feminist Research to the Department of Gender, Sexuality, and Women’s Studies**

Recommended: That the Board of Governors approve that the Department of Women’s Studies and Feminist Research within the Faculty of Arts and Humanities and the Faculty of Social Science be renamed as the Department of Gender, Sexuality, and Women’s Studies, effective July 1, 2020.

Background:

See [Annex 2](#).

3. **Faculty of Social Science – Proposed Name Change: The Department of Geography to the Department of Geography and Environment**

Recommended: That the Board of Governors approve that the Department of Geography within the Faculty of Social Science be renamed as the Department of Geography and Environment, effective July 1, 2020.

Background:
See [Annex 3](#).

FOR INFORMATION

4. **Annual Report of the Working Group on Information Security (WGIS) – 2019**

The Annual Report of the Working Group on Information Security (WGIS) for 2019 is provided in [Annex 4](#).

5. **Reports on Promotion, Tenure and Continuing Appointment**

Reports on Promotion, Tenure and Continuing Appointment are provided in [Annex 5](#).

6. **Report of the Academic Colleague**

The Report of the Academic Colleague for meetings held April 23 and May 13 is provided in [Annex 6](#).

7. **Academic Administrative Appointments**

Faculty Relations advised of the following academic administrative posts approved on behalf of the Board of Governors until the month of March 2020:

Name	Department/School	Admin Post	Effective Date	End Date
Cheryle Seguin	Physiology and Pharmacology	Acting Department Chair	2020-02-01	2020-06-30
Kamran Siddiqui	Engineering - Office of Dean	Associate Dean (Grad, Post-Doc)	2020-03-01	2025-06-30
Zheng Zhang	Assistant Dean	Education	2020-04-01	2020-12-31

Faculty Relations advised of the following academic administrative posts approved on behalf of the Board of Governors during the month of May 2020:

Name	Department/School	Administrative Post	Effective Date	End Date
McCauley, William	Schulich - Office of the Dean	Assistant Dean	3/1/2020	2/28/2025
Baxter, Jamie	Social Science - Office of Dean	Associate Dean (Graduate, PostDoc)	7/1/2020	6/30/2021

Singh, Ram Nivas	Paediatrics	(Interim) Clinical Department Co-Chair/Chief	5/1/2020	12/31/2020
Campbell, Craig	Paediatrics	(Interim) Clinical Department Co-Chair/Chief	5/1/2020	12/31/2020
Yoo, John	Schulich - Office of the Dean	Dean	5/1/2020	6/30/2025
Huang, Yining	Chemistry	Department Chair	7/1/2020	6/30/2022
Sica, Robert	Physics and Astronomy	Department Chair	7/1/2020	6/30/2022
Nelson, Andrew	Anthropology	Department Chair	7/1/2020	6/30/2025
Ramos, Howard	Sociology	Department Chair	7/1/2020	6/30/2025
Leclerc, Jean	French Studies	Department Chair	7/1/2020	6/30/2025
Schmid, Susanne	Schulich - Office of the Dean	Vice Dean	7/1/2020	6/30/2025
Baron, Britta	Western International	Vice-Provost and Associate Vice- President (International)	7/1/2020	6/30/2025

Western Institute for Neuroscience (Research)

Rationale, Justification and Scope

For more than 50 years, some of Western's most internationally recognized research has related to neuroscience. Working with partners across the region, Western has cultivated an integrated approach to studies of the brain that brings together some of the most accomplished minds at the forefront of neuroscience research.

When considered as a whole, this work has a gene-to-behaviour breadth, spans the lifespan and includes emphases on curiosity-based approaches to the study of neural systems work using biological, behavioural and computational approaches, as well as applied studies into diagnostics, technologies, processes of development and disease, and treatments. The need for neuroscience research across this continuum of approaches continues to grow due to its potential to impact the health, security and vitality of society in this time of shifting age demographics, addictions, globalization and the rapidly expanding digital world.

At Western, Neuroscience is recognized as a core research strength that engages more than 100 investigators, including 14 Canada Research Chairs and a Canada Excellence Research Chair Emeritus, are actively engaged in leading these research activities. Recent successes have included the emergence of several new centres, rapid expansion of the Brain & Mind Institute and a successful \$66-million Canada First Research Excellence Fund grant, leading to the creation of BrainsCAN. This grant will end in 2023. Expectations to leverage this exceptional support into a sustainable and transformative platform must be considered now.

To continue building upon this history of excellence, we propose the creation of a new Western Institute for Neuroscience (Research).

The institute's vision is to unlock the mysteries of the brain for societal benefit. To pursue this vision, the institute's overarching goal is to elevate and accelerate impactful neuroscience research that would otherwise be impossible without a unifying organization. To that end, the WIN will integrate the region's neuroscience expertise into a coordinating body that provides leadership related to vision, alignment and advocacy. Also, the WIN will enable sustained advances in neuroscience research through support of novel and high-risk collaborative ventures, emerging opportunities and the attraction and retention of high-quality personnel.

To be successful, this initiative will require a stable funding model and a mechanism that catalyzes multiple neuroscience-related disciplines, faculties, departments, hospitals, community partners and affiliated research institutes under a common theme that focuses on consistent approaches to strategy, fundraising and delivery.

Therefore, this new overarching, centrally reporting entity aims to better integrate interrelated efforts across disciplines in London and across the region. This action will make this institute a unique city-wide program in Canada, leveraging considerable breadth in perspective, expertise and methods in pursuit of the institute's mission to accelerate the discovery of fundamental knowledge, development of novel applied research practices and delivery of beneficial outcomes for human function and health.

Value-Added Aspects

To turn the vision into action and advance the mission, the WIN will provide a framework that coordinates and unifies activities in research, outreach and training across the neuroscience community at Western and region. This will elevate and accelerate impactful research outcomes that would not otherwise be accomplished. Specifically, the WIN will:

- Create a new city-wide entity, centred at Western, that coordinates neuroscience research and application at Western, Lawson Health Research Institute, hospitals, community partners and academic groups in all faculties toward strategically important outcomes.
- Provide a governance structure and scientific director with a vision to coordinate existing research and expand areas of research that strengthen neuroscience amongst partners.
- Equip the neuroscience community with leadership in vision, advocacy and alignment.
- Provide administrative support to value-added activities.
- Provide a mechanism to achieve sustained funding and resource access that catalyzes value-added programs and outcomes.
- Improve nimbleness to address emerging opportunities.
- Train the next generation of neuroscientists through unique cross-disciplinary experiences.
- Provide a single voice for neuroscience in the City of London and a single point of contact for communications, fundraising and partnership building activities.
- Align neuroscience objectives and strengths with Western's strategic plan and other city-wide initiatives to enable multidisciplinary research programs that address 'big challenges' and/or strategically important opportunities that require fast responses.

- Provide a mechanism to consider and sustain the long-term viability of research partners within the institute's purview.

The WIN will elevate and accelerate the impact of neuroscience research on society by:

- Creating new opportunities to do important and impactful neuroscience research.
- Constructing a unifying and visible brand for neuroscience at Western.
- Coordinating efficient economies of scale for resources that support advancement of a city-wide neuroscience platform.
- Building community among neuroscience groups .
- Enhancing funding opportunities, including philanthropic gains.
- Expanding current training opportunities.
- Developing strategic cooperative alliances.

Long-Term Goals

These long-term goals are proposed to enhance the quality and impact of neuroscience research:

1. Nurture neuroscience research that benefits society.
2. Bring researchers together for collaborations by co-locating PIs and trainees.
3. Ensure top-functioning research facilities.
4. Ensure researcher success through an organized mentorship model and establishing a world-class model of neuroscience training, emphasizing interdisciplinary opportunities and applications.

Short-Term Goals

Short-term goals relate to three fundamental activities: 1) Research, 2) Training and 3) Outreach.

Research

1. Ensure researcher success by financial support of novel collaborative research initiatives, and short-term release of faculty from faculty duties.
2. Enhance recruitment of research participants.
3. Build capacity in neuroscience by supporting research facilities that provide tools and expertise to serve a broad range of neuroscience initiatives and scientists.

Training

1. Graduate training: The WIN vision for graduate training is not to modify the existing program in neuroscience, but to add value. The WIN would provide short-term intensive training of skills and knowledge that will accelerate a trainee's shift into a new area of investigation, including through a model that includes laboratory and/or clinical rotations.
2. Postdoctoral researcher and clinician training: The WIN aims to develop a world-class training program into research-intensive (or extensive) programs for new postdoctoral and clinical research fellows.

Outreach

1. Engage philanthropic support: A major provision of WIN will be its ability to work with Western's Advancement team and local foundations to develop a strategy for donor-based funding mechanisms.
2. Establish an effective mentorship plan for early career researchers.
3. Form committed partnerships with other neuroscience research and treatment centres.
4. Advance the impact of neuroscience research through formation of a single voice for neuroscience in the London region, and by embracing models of research that supports the translation of excellent fundamental observations and technologies into breakthroughs in the clinic, in education, and for society as it adapts to changing demographics in the digital age.

Budget

The table below outlines notional expenditure ranges of the inaugural budget.

Personnel	Scientific Director (stipend)	20,000
	Administration Team (Executive Director, Support personnel) - salary	120,000 – 400,000
	Associate Directors **	50,000 - 150,000
Operations	Research*	200,000 - 700,000
	Training **	100,000 - 500,000
	Outreach	50,000 - 100,000
TOTAL		590,000 – 1,870,000

* Recoverable in part or in whole from research grants, contracts and donors.

** Includes financial compensation to Deans for release of instructional or service workload to Institute. Anticipated rates of compensation for any commitment in Training are \$20k/0.5 credit course (for Boot Camp involvement) or 10-\$50k/yr for a 5-40% service commitment as Associate Director.

Faculty of Arts and Humanities and Faculty of Social Science – Proposed Name Change: The Department of Women’s Studies and Feminist Research to the Department of Gender, Sexuality, and Women’s Studies

The Department of Women’s Studies and Feminist Research is a department within both the Faculty of Arts and Humanities and the Faculty of Social Science. Beginning as a research centre in the 1980s, Women’s Studies and Feminist Research became a department in 2006. The department’s current name reflects both its early focus on feminist research and the history of the discipline, which began as “women’s studies” and has evolved to investigate broader issues of gender and sexuality, in particular, and, generally, to do so from both an intersectional and an interdisciplinary perspective.

The vast majority of Women’s Studies departments in Canada (and elsewhere) have changed their names to reflect changes in the field – to everything from Gender, Race, Sexuality and Social Justice at UBC to Diversity and Social Justice at UPEI, with many departments opting for the simpler designation of “Gender Studies.” As a result, the possibility of a name change has been on the agenda for more than 15 years and has been the subject of multiple meetings in addition to two department retreats. After much discussion and research, the final choice of name was unanimously agreed on by all full-time faculty of the department.

This newly proposed name for the department — “Gender, Sexuality, and Women’s Studies” — better reflects the scope of our curriculum and research interests. It is a long time since the department’s focus was solely on women’s issues, so the name change reflects the development of the department’s research and teaching interests into the areas of gender, including trans and non-binary genders, and sexuality. Indeed, the curriculum includes both a Major and Minor in Sexuality Studies in addition to the existing modules in Women’s Studies and the Minor in Feminist, Queer and Critical Race Theory. It will also help students to better understand what the department does and what our courses are about and should assist with recruitment, particularly since the province now teaches Gender Studies in the high schools.

The following people were consulted when discussing the proposed name change:

Arts and Humanities Dean, Chairs, Directors
Arts and Humanities EPC Members
Social Science Dean, Chairs, Directors
Social Science EPC Members
David Malloy, Principal, King’s University College
Sauro Camiletti, VP and Academic Dean, King’s University College
Barry Craig, President, Huron University College
Geoff Read, Dean Arts and Social Science, Huron University College
Marke Franke, Centre for Global Studies Director, Huron University College
Susan Mumm, Principal, Brescia University College
James Doelman, School of Humanities Chair, Brescia University College
Gail Wright, Manager Student Affairs, Social Science
Susan Knabe, Associate Dean Undergraduate, FIMS
Kathie Hess, Senior Academic Counsellor, FIMS
Kathy Hibbert, Associate Dean, Undergraduate and Pre-service Program, Faculty of Education

N.B. The constitution of the Faculty of Social Science does not require amendment to reflect this name change.

Faculty of Social Science – Proposed Name Change: The Department of Geography to the Department of Geography and Environment

The Department of Geography within the Faculty of Social Science is one of the oldest Geography departments in Canada, established in 1948. Geography as a discipline combines social and biophysical scientists along with technical scientists (traditionally cartography and air photo interpretation, and more recently broadened to embrace Geographic Information Sciences that includes remote sensing and Geographic Information Systems). Reflecting these components, the Department has long maintained programs that lead to both BSc and BA degrees and has a faculty complement and student body that reflects these different, but integrative approaches. A common tie amongst these components is the study of the environment, in both its physical and social science manifestations.

In 2019, the Department unanimously endorsed a proposal to change our name to “Geography and Environment”. This name better reflects what Geography is at Western, the study of the environment from both a social science and physical science perspective. It also reflects a trend in other Geography Departments in Canada. Reviews of our Graduate Program (2017) and our Undergraduate IQAP review (2019) support this name change. Nearly 40% of our courses incorporate ‘environment’ in their name or calendar description and thus the name change better reflects what the Department is actually teaching and researching. The name change will more clearly communicate to prospective students, many of whom have interests related to the study of the environment (in its broadest sense) but who may have limited or no exposure to Geography in high school.

The following people were consulted when discussing the proposed name change:

Faculty of Social Science, Dean, Associate Dean Academic and Chairs

Faculty of Social Science EPC Members

Faculty of Science - Dean Matt Davison acadsci@uwo.ca

Faculty of Science - Associate Dean, Science Programs, Jeff Hutter acadsci@uwo.ca

Earth Science, Chair - Prof Patricia Corcoran eschair@uwo.ca

Biology Department, Chair - Prof. Mark Bernards biochair@uwo.ca

Civil & Environmental Engineering - Prof. Hesham El Naggar Acting Chair helnaggar@eng.uwo.ca

King's University College - Associate Dean, Academic & Research Dr. Laura Melnyk Gribble

laura@uwo.ca

Huron University College - Dean of Faculty of Arts & Social Science Dr. Geoff Read gread4@uwo.ca

Brescia University College - Vice Principal & Academic Dean: Dr. Laretta Frederking bucdean@uwo.ca

Weldon Library libadmin@uwo.ca; Cartographic Collections Librarian Cheryl Woods cawoods@uwo.ca

Director Earth and Space Institute - Prof. Gordon Osinski gosinski@uwo.ca

Director Masters of Environment & Sustainability Collaborative Graduate Program - Prof. Stephan

Vachon svachon@ivey.ca

Prof. Ben Rubin Undergraduate Chair, Environmental Science Undergraduate Program -

brubin2@uwo.ca



The Working Group on Information Security (WGIS)

Annual Report 2019

The Working Group on Information Security (WGIS) is a multi-disciplinary team representing a broad cross-section of the University community. The primary role of WGIS is to pursue proactive strategies designed to manage security risk within our information systems and the technologies that safeguard them. Further, WGIS has provided valuable advice and access to distributed resources to Western Technology Services (WTS) on implementing cyber security initiatives within the organization.

WGIS provides guidance and oversight over a number of information security-related initiatives, including increasing general awareness, coordination of activities during Cyber-Awareness month in October, assistance of technical risk assessments within Faculties/Departments/Support Units, raising awareness about Western's Data Classification policy, and providing a review function for ongoing cyber security incidents.

Executive Summary

Special Note: This report was prepared in early 2020 as a reflection of the activities of WGIS within the 2019 calendar year. This report makes recommendations for the road forward and most, if not all, of these recommendations continue to be the direction for the Information Security strategy at Western University. In the wake of the **COVID-19** global pandemic and all of the attendant impacts on society, IT priorities have shifted and will continue to evolve over the coming months. As an example, the rollout of Multifactor Authentication (MFA) is temporarily on hold until such time that we will be able meaningfully engage with that process. This WGIS Report remains as it was drafted earlier in 2020.

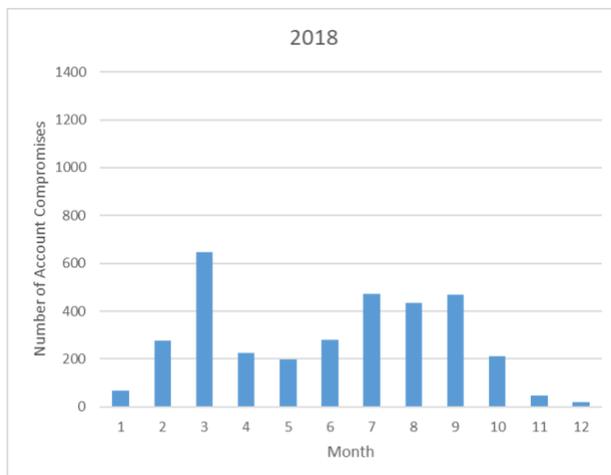
EDUCAUSE has again listed Information Security as its top IT-related issue facing Higher Education for 2020. The Information Security file is complex and affects all constituents within Western University, which also means we are all part of the solution.

There are a number of mitigating elements Western has put in place to better prepare for the realities these digital threats pose to organizations. Western Technology Services (WTS) has established a Director-level role to lead initiatives related to Cyber Security and Business Services, under which a number of security-focused initiatives have been implemented.

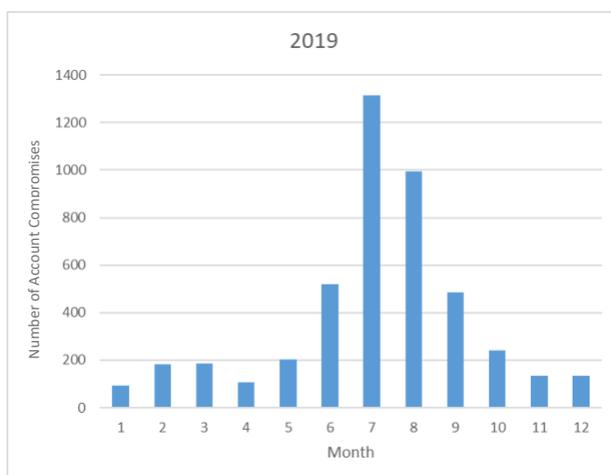
It is important for us to note that higher education institutions are targeted for a number of reasons, including the vast array of intellectual property within our repositories, the sheer number of constituents in play (staff, faculty, researchers, alumni, and a student base that renews annually), as well as the relatively open posture we purposely have in place to support our institution's mission.

Things are changing in terms of the threats that face us. We are seeing more engagement from nation state actors and organized crime. Ransomware is now embedded within our collective consciousness as a singular costly threat. Moreover, while there are still easily detectable SPAM and PHISHing emails that we can parse and dismiss, many more attack schemes of this sort are becoming more sophisticated by the day.

In 2018, our compromised accounts (totalled by month) were relatively modest (and predictable, based on previous years):



In 2019, the attack surface grew and attacks targeting our students (and other institutions) became more realistic with faked promises of refunds and requests to view information from senior leaders:



With these threats in mind, it is important that we work together to achieve a secure posture across the institution. While there are benefits for Western to be a more cyber secure environment, there are ample reasons why our individual constituents would want to be more cyber resilient as the next decade takes shape.

With advice from the Working Group on Information Security (WGIS), WTS has implemented initiatives including Multi-Factor Authentication (MFA), self-phishing initiatives, improved password management practices, and the expansion of a Security Incident & Event Management (SIEM) system. In addition, WTS has determined a robust Cyber Security Incident Response Plan (CSIRP) which integrates well with the Emergency Operations Control Group (EOCG). In addition to these activities, WTS has, in collaboration with a number of units across campus, led the revision of the Technology Risk Assessment Committee processes and the formation of a comprehensive information security awareness effort (known as CyberSmart).

In addition to the number of initiatives that continued in 2019, Cyber Security was well-represented in the Western media with several articles related to various cyber threats. Among these threats were topics associated with ransomware (referencing the 2019 attacks on several neighbouring cities and hospitals), travelling to international locations, breach information related to LifeLabs, and SPAM/PHISHing in general.

The contents contained within this report include details related to the tasks and initiatives WTS and WGIS are engaged in, but a few items should be highlighted:

- **Multi-Factor Authentication (MFA) for Office 365:**

In 2019, Western launched an important step in its mandate to provide better security for its digital identities with the implementation of MFA for Office 365. Several phases of this initiative have been completed, including the selection, testing, and configuration of the product, as well implementation to several key groups across campus. The university-wide rollout is currently in motion and will complete in 2020. Constituent groups will be communicated to as their phases approach.

IMPORTANT NOTE ON MFA: This project is a cornerstone for securing our digital identities and while the present initiative is focused on providing MFA for Office 365, there will be other Western-related platforms that will take advantage of this technology downstream.

- **CyberSmart:** Information Security Awareness (ISA) platform:

In 2019, Western launched a major pillar of the CyberSmart initiative in the form of cyber security-related online learning modules. The use of this platform has been positive and plans for 2020/2021 include awareness-building and working with Human Resources to include these modules as part of the overall safety mandate of the institution.

- **Cyber Security Incident Response Plan (CSIRP):**

A robust plan has been developed and put into production over the course of 2019. The plan articulates escalation paths and schedules, an incident categorization framework, and methods for communicating incident information.

- **Technology Risk Assessment Committee (TRAC):**

Earlier in 2019, a complete revision of the Technology Risk Assessment process was conducted, resulting in a more comprehensive and formal approach to conducting these important assessments for our partners.

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Summary of Activities

Office of Cyber Security and Business Services

Western University continues to invest in cyber security by hiring a further Security Analyst within Cyber Security and Business Services unit. This unit is led by a Director and has (in part) been implemented to examine and remediate organizational practices, procedures, and risk exposures and to develop a comprehensive strategy and an enhanced operational posture to better equip the institution against the myriad threats facing our sector, and the world at large. While there is a broader team across the Western Technology Services (WTS) department that work on security-associated tasks (including our Client Services, Application Services, and Infrastructure Services units), the primary Information Security group is comprised of a Manager, a Senior Security Analyst, and two (2) Security Analysts.

1. Unit-Level Risk Assessment

WTS and WGIS have adopted a Risk Management Framework (RMF) from the National Institute of Standards and Technology (NIST) to identify cyber threats to Western's information security environment. Through this adoption, several institutional needs have been identified:

- Need for a consistent approach to securing information shared within the University community;
- Requirement for formal information security programs, honouring both a central position as well as local, unit-level concerns (to build on existing unit-specific ad-hoc procedures that may be specific in orientation);
- Need for cyber awareness programs within Faculties and Support Units;
- Need for an overall institutional cyber-security framework and strategy;
- Need for an overall risk management-oriented approach to cyber-security.

Over the course of 2019, WTS and WGIS have addressed these cyber security needs through activities that are described in this report and will continue to consult on information security risks with faculties, support units, and respective departments.

One of the ways Western can better appreciate the digital risks facing the institution is to engage with units across campus to understand the line-of-business processes that are in place. In the past, these understandings have been gained through interviews with each unit, scheduled over the course of the year. These interviews have been critical in helping to shape the institution's understanding of technological and cyber-related risks. They have also been helpful in identifying critical information systems that are deployed throughout the organization. In the final analysis, this process has been designed to produce an institutional inventory of critical information systems (and their associated risk factors) that exist across the campus. However, these interviews are

time-consuming and, for logistical reasons, spread across multiple years which has an impact on gaining footholds on mitigating these risks.

In 2020, a new unit-level risk assessment process will unfold which will use a self-assessment questionnaire (SAQ) methodology, followed by specific interviews where warranted. Through this process, a more quickly-realized list of digital assets can be achieved and an identification of risks throughout the organization understood. The timing of the SAQ will be determined in Summer 2020, following the conclusion of a number of important campus-wide initiatives coming to fruition in Spring 2020 (WE SPEAK and Congress).

2. Policies, Procedures, and Best Practices

Security Policy Review (Data Classification Standards)

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

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

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

In 2020, a comprehensive review of MAPP 1.13 (and any other relevant policies and procedures) will ensue. There are a number of elements that need to be embedded within these policies, including more details related to password management, data governance (integrated with the Data Strategy effort established in 2019), and information risk management processes (Technology Risk Assessments).

3. Cyber Protection

CyberSmart: Information Security Awareness (ISA) Training

Over the course of 2019, information security awareness was once again an important focus for both WTS and WGIS. Over the past year, WGIS's subgroup, the CyberSmart Committee, worked closely with WTS and other partners on the following activities:

- 2019 saw the launch of a series of Information Security Awareness modules under the CyberSmart umbrella. There are a number of modules available, with the following two modules already published and available on the CyberSmart website (<https://cybersmart.uwo.ca>):
 1. **Cyber Security Essentials at Western**
 - a. Main training course, tailored for Western
 2. **Online Safety** (Optional)
 - a. Identity Theft
 - b. Confidentiality on the Web
 - c. Protecting Your Home Computer
 - d. Smartphones
 - e. Mobile Devices
 - f. Social Networks

Further optional modules will be released over the coming year:

- Introduction to Information Security
- Passwords
- Email
- Malware
- Phishing
- Social Engineering
- Working Remotely
- Traveling Securely
- Cloud Computing
- The Clean Desk Principle
- Physical Security
- Access Control
- Responsible Use of the Internet
- Bring Your Own Device (BYOD)
- Privacy
- Information Classification
- Information Lifecycle
- Intellectual Property
- Protecting Payment Card Data
- Ransomware
- Data Leakage
- Business Email Compromise
- Unintentional Insider Threat
- Incident Reporting

The engagement related to these modules has been quite positive and WTS and WGIS are working with HR to better provide opportunities across campus for our constituents to undertake this important aspect of Health and Safety training.

- In 2019, WTS created and distributed a series of focused pamphlets related to cyber security at Western. These pamphlets have been very well received and we have used the opportunity at various speaking/presentation events to draw attention to them:
 - Protecting Yourself and Western from Ransomware
 - Protecting Yourself and Western from Phishing
 - Cyber Security and Travel Considerations
- Once again, in October, WTS and the CyberSmart Committee, ran a Halloween-themed cyber security information booth in the UCC where we engaged with students, faculty, and staff. Visitors to the booth were encouraged to “Spin to Win” to find out if they were *cyber smart*. Each person who spun the wheel won either candy or another prize that had a cyber security message attached to it. This culminating activity, held during Cyber Awareness month, capped off a successful run of activities within the organization. This event was highly engaging and anecdotal information from the event would indicate that, overall, Western’s constituents are well-equipped to deal with cyber threats. See below for photos taken at the October CyberSmart event:



Wheel of (mis)Fortune!



Security Analysts Ed Zuidema and Juliann Stewart and WTS OnSite member Ed Paczkowski talk with students about being “cyber smart”

- To promote cyber security while travelling, WTS participated in the Travel Vendor show hosted by Procurement. See below for a photo taken of the CyberSmart booth at the Travel Vendor show:



Security Analysts Ed Zuidema and Juliann Stewart

Security Incident Event Management Tool (SIEM)

For the last few years, Western has employed a SIEM tool which combines real-time analysis of security alerts generated by network hardware and applications with security event management. As our expertise with the tool has grown, additional data sources have been included – thus increasing the capability of the SIEM. Additional investment in infrastructure was made in 2019 to accommodate this increase in capacity and performance. This tool has introduced a tremendous capability to track and proactively manage security and event information.

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

Average Number of Phishing Victims / day – **12.59**

NOTE: July and August of 2019 were months where significant activity was recorded (resulting in a sharp increase in the daily average). This increase is reflective of new threat vectors where our students are being specifically targeted.

Average Number of Machines Locked (for security reasons) / month – **6.08**

NOTE: The month of June 2019, was 23 locks higher than the next highest month of 6, skewing the monthly average from 4 to 6.08 (again, the result of targeted attacks).

Multi-Factor Authentication (MFA)

One of the most effective ways to protect an organization’s digital assets is to implement Multi-Factor Authentication (MFA) as an augmentative security strategy. Think of MFA as a second piece of “proof” of an individual’s digital identity: if a

username and password is something that a user would “know”, then a second factor would be something that the user “has” (like a mobile phone or a hardware token). If it happens that an individual who has MFA enabled for their account inadvertently gives up their username and password, the malefactor involved would not be able to access resources via that information without the second factor.

The development and pilot phases of this implementation concluded in December and the next phases of implementation are **underway**. Over the course of 2020, all Staff, Students, and Faculty will see messaging related to when their phases will be engaged.

The first Multifactor Authentication (MFA) initiative at Western started in 2017 with the procurement of a product called “DUO” and is being used for critical-access systems such as PeopleSoft for select users with administrative (or elevated) access to Human Resources (HR) and Finance (FIN). The DUO solution was also implemented in select cases for access to Western’s VPN solution ROAMS (an application that provides secure access to our network from off campus) as well.

The current project is concerned with **implementing MFA for Office 365** as we look to minimize the amount of SPAM and PHISHing emails received within our environment, as well as provide deeper and required security for Western’s user accounts, distributed systems, and to further protect user privacy overall.

Note: Multifactor Authentication (MFA) for email affects all users who utilize the Microsoft Office 365 platform at Western (<https://myoffice.uwo.ca>), whether the connection is over a web browser, email client, or mobile device.

The MFA initiative is a central pillar of Western’s methodology to protect our digital identities and to secure against unauthorized access to institutional digital assets, including our email services.

Ongoing “Phishing” Attack Mitigation Efforts

A series of activities to mitigate the effect of PHISHing on our community were undertaken in 2019:

- Re-evaluation of the technology-related email filtering application in use at Western;
- Quick-response processes are in place to identify when accounts have been compromised and to have these resources locked until the password can be reset;
- Reducing the number of aged passwords process started in January 2017 to ensure passwords older than 5 years (at that time) were changed;
 - Password management will continue to be a topic of discussion with a recommendation from WTS and WGIS to move towards allowing for passphrase instead of password (lengthening this authentication method

to a larger set of characters vastly reduces the ability for brute-force attacks to be successful).

Email and SPAM Management

The migration to Microsoft Office 365 (O365) has significantly improved Western's email capabilities.

PHISHing via email continues to be the most prominent attack vector against our credentials. As many of Western's constituents will recognize, the institution is constantly assailed with messages looking for individuals to click on links or open malware-laden attachments. Many of these messages are becoming increasingly sophisticated and appear to come from prominent members of our community.

Western uses several techniques to detect and block approximately 95% of incoming messages identified as spam (including PHISHing attempts). This equates to tens of millions of message per month. Robust spam management minimizes the phishing threat because it prevents high risk emails from being delivered to an inbox where it has the potential to be acted upon. However, many messages continue to be delivered within the further 5%.

Unauthorized access to individual's credentials allows perpetrators to gain access to Western's resources like Library on-line journals, provides a venue to conduct fraud through the Human Resources system, etc. Due to these serious consequences, it is critical that we address this risk through technical and non-technical mechanisms. CyberSmart initiatives represent a collection of ways for awareness to be built within the organization. MFA is a technological method of further securing our accounts (and, once fully in place, will nullify the ability for malefactors to assume a Western user's account to conduct further accounts).

As can be appreciated, there is still much work to do in reducing the annoyance (and real threat) associated with email spam messaging and in managing the risks associated with the ever-increasing PHISHing threat vector. Revising the institution's approach to email filtering will be a further technological intervention that should reap positive reward for the institution in 2020.

It was also recommended in 2019 that action be taken to further protect the Western directory from bot-scraping (automated processes that gather credentials and emails from public online directories). From these lists, organizational structure can be inferred which can lead to targeted spear PHISHing campaigns. The recommended course of action at that time was to place the Western directory behind a credential prompt, so that only employees and/or students can utilize. Most Faculties have online research profiles for their members and those apparatuses would serve as public means for interested parties to connect. This recommendation from WTS and WGIS stands and will be brought forward to relevant parties in 2020.

Financial Information Protection: Payment Card Industry (PCI) Compliance

As an institution that conducts substantive commercial activities, both at the point of sale (PoS) as well as through ecommerce, Western has obligations to be compliant under the industry Payment Card Industry Data Security Standard. Several WTS and WGIS members are actively involved with ensuring Western University remains PCI compliant through activities orchestrated through the Bank Card Committee. Emerging payment technologies, new e-commerce solutions on campus, and a changing payment card security standard require that Western's payment card environment be reviewed regularly to determine the implications to Western's PCI status.

In 2019, Western again achieved Level 1 compliance under version 3.2.1 of the Payment Card Industry Data Security Standards (PCI DSS). This was the 9th successful validation of compliance for Western, the first being in 2010. Western is one of very few Canadian universities to attest compliance with these stringent standards.

In 2020, the Bank Card Committee will continue to ensure Western remains PCI compliant, review all payment-related processes associated with the Western ONE card, and review the Bank Card Policy.

TRAC: Technology Risk Assessment Committee

Over the course of the past few years, a process has been introduced at Western known as Technology Risk Assessment (TRA). In 2019, the TRA process was re-evaluated and revised (<https://security.uwo.ca/tra>) to better facilitate and formalize the emerging workload associated with this effort.

The purpose of Technology Risk Assessments (TRA) is to provide the organization the due diligence required to ensure that software, hardware, and data-provisioning initiatives are adequately protected, and/or that the risks involved are understood and accepted by the required stakeholders within Western University. This approach is conducted by the Technology Risk Assessment Committee (TRAC) and is largely concerned with technologies being introduced into the organization for the purposes of operations, administration, and research goals. It is also a process concerned with the renewing of technology use as contracts come to maturity.

Earlier in this document reference was made to Unit-Level Risk Assessments and a differentiation between these initiatives should be made. TRAC is concerned with items being introduced or renewed on an ongoing basis where the Unit-Level Risk Assessments are concerned with understanding where business data and critical processes are situated. TRAC is concerned with providing tools and resources to our constituents to better understand the risks associated with their projects and Unit-Level Risk Assessments helps the institution as a whole understand where data-level risks exist for the purposes of disaster recovery (DR) and business continuity practices (BCP).

While the approach is geared towards technological initiatives, there is great variability in the types of solutions that are within scope. Some projects might require a formal Request for Proposal (RFP) based on the costs involved and others might be cloud-based solutions that have no fees at all. Some solutions may require ecommerce transactions and others may not be geared as such. And others may deal with Personally Identifiable Information (PII), while many may not. In each scenario, (significant) risk may exist and this process is meant to help our partners across the organization understand these components and to assist in mitigating and/or accepting the understood risks.

Western University has a legal obligation and an ethical responsibility to protect the information and processes related to our operational, academic, and research portfolios. One of the ways that we accomplish this goal is through a Technology Risk Assessment (TRA) for any initiative being brought forward at Western University that has some sort of technological (in a broad sense) dimension.

This process is geared towards Western and its partners, employees, researchers, and operations to better understand the risks associated with technology-related solutions. The advent of web-based, cloud-oriented applications, along with traditional client/server applications, has grown tremendously and there has been an acute increase in how these technologies use data (Western's or others'), interact with other systems, and transmit information. Each process may be vulnerable and the Technology Risk Assessment is Western's due diligence in understanding the risks.

Primarily, the TRAC is comprised of 5 central functions at Western: Legal Counsel, Privacy Office, Financial Services (if commerce is involved), Procurement Services, and Western Technology Services (WTS).

The TRAC is co-chaired by the Director of Procurement Services and the Director of Cyber Security and Business Services.

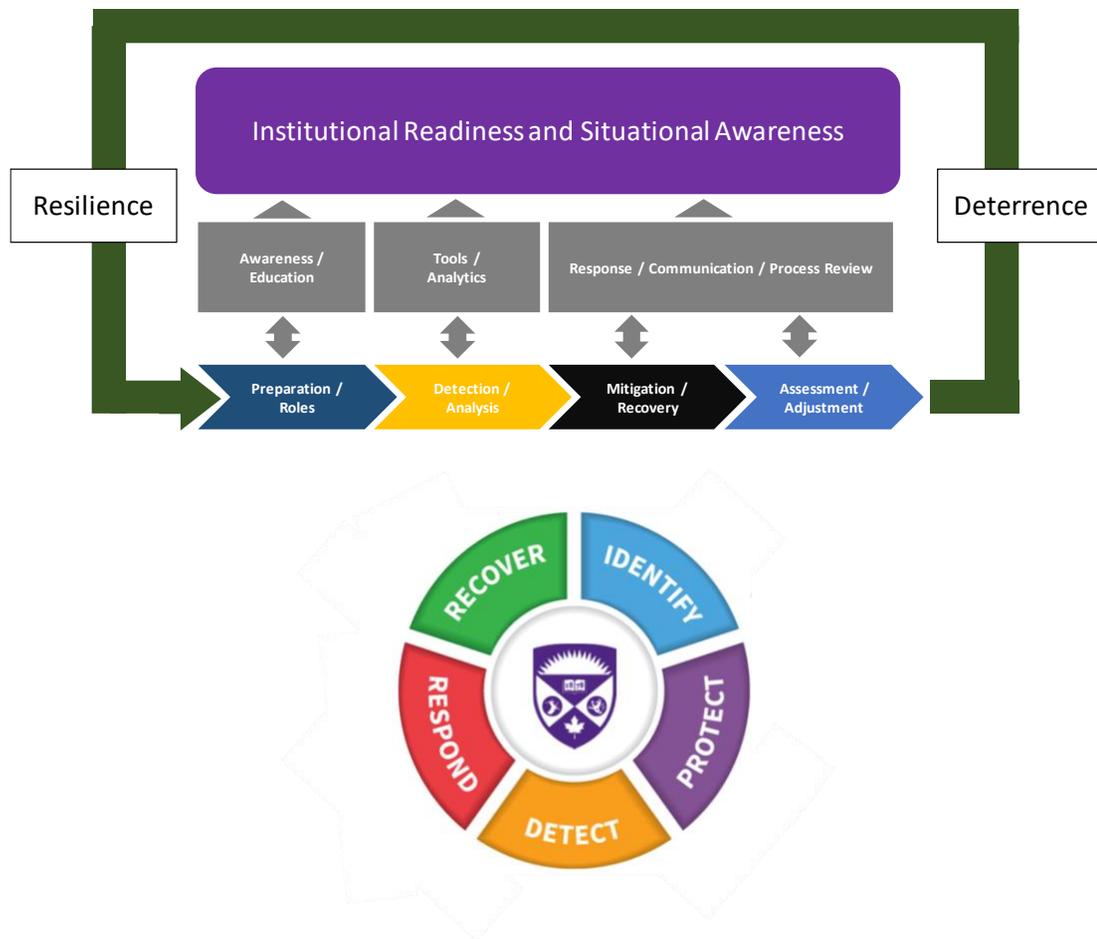
Other members include representation from the Office of the Registrar, Western Research, and Western's Internal Audit Group.

Over the course of 2019, 69 TRAs were conducted for units and research projects across the institution.

4. Incident Response & Investigations

As stated earlier in this document, Western Technology Services (WTS) and relevant partners across the institution have developed a comprehensive Cyber Security Incident Response Plan (CSIRP). A cohesive CSIRP enables Western to act quickly and with the appropriate resources to mitigate potential issues these incidents may cause.

The CSIRP is primarily informed by the following high-level model, where the institution is balanced by both Resiliency (culture and practices) and Deterrence (technology):



Over the course of 2019, Western continued to be attacked with a daily average of over 600,000 times per day as recorded and measured by our organizational firewall.

Western experienced a similar number of investigated security incidents in 2019 (24) when compared to 2018 (23).

5. Future Plans

WGIS will focus on the following initiatives in 2020 and beyond.

As stated above, WTS and WGIS are working with HR to better provide opportunities across campus for our constituents to undertake the Information Security Awareness training. 2020 will see large-scale promotion of the training modules to staff, faculty, and students. As well, further modules will be rolled out in 2020, including specific elements related to Phishing, Social Engineering, Protecting Information, and content directed towards managers and IT personnel.

As a new initiative, instead of only promoting cyber security during Cyber Awareness month (October), promotion of cyber awareness will be an ongoing exercise and will

see a number of initiatives unfold throughout 2020. Using posters, social media messaging that can be shared on Facebook and Twitter, and other tools, many aspects of cyber security will be highlighted. The theme for the 2020 cyber awareness campaign is “One click cost me...” This theme will then have 4 subthemes that will be focused on in 2020.

In order to have one point of cyber security information for Western’s constituents, the Security website (<https://security.uwo.ca>) and CyberSmart website (<https://cybersmart.uwo.ca>) are being amalgamated under one Cybersmart brand (<https://cybersmart.uwo.ca>).

Review of policies and procedures (MAPP) associated with technology and security implications.

Appendix A – Current WGIS Members

Glen Tigert (Chair)	University Registrar
Erika Basile	Research Ethics
Rob Brennan	Western Technology Services
James Ciesla	Schulich School of Medicine & Dentistry
Colin Couchman	Western Technology Services
Jim Dunkin	Housing and Ancillary Services
Paul Eluchok	General Counsel
Aleks Essex	Faculty of Engineering
Sharon Farnell	Internal Audit
Dave Ghantous	Western Technology Services
Ed Gibson	Western Technology Services
Lisa Latif	Office of Registrar
Scott May	Communications and Public Affairs
Geoff Pimlatt	University Students' Council
Dan Redmond	Campus Community Police Service
Chris Wedlake	Robarts Research Institute
Julie Whitehead	Faculty of Health Sciences
Ed Zuidema (Scribe)	Western Technology Services

TO: Faculty Relations

FROM: Equity & Human Rights Services

DATE: May 15, 2020

SUBJECT: *Reports on Promotion, Tenure and Continuing Appointment*

Attached you will find reports summarizing the information requested on the designated group status of those individuals considered for Promotion, Tenure and/or Continuing Appointment under the UWOPA and UWOPA-LA Collective Agreements for 2019-2020.

As in previous years, these reports are provided with the following notes:

- The information related to the designated groups – with the exception of gender – was provided by Equity & Human Rights Services (EHRS).
- The information provided by EHRS is in aggregate form only and was drawn from the employment equity database.
- All information in the database is obtained through self-identification surveys sent to employees; therefore, information is only available for those individuals who have completed surveys.
- Where the information is unknown, it is considered to be a “no” response (i.e. not a member of designated group).
- For reasons of confidentiality, the information provided by EHRS is suppressed in cases where there are fewer than 5 individuals in the group considered for Promotion, Tenure and/or Continuing Appointment. Data may also be suppressed where deemed necessary by EHRS.

2019-2020 REPORT ON PROMOTION AND/OR TENURE CASES CONSIDERED UNDER THE FACULTY COLLECTIVE AGREEMENT

(as required under the Article *Promotion and Tenure*)

Total cases considered for Promotion and/or Tenure									
Men	30								
Women	26								
Indigenous peoples	0								
Members of racialized groups	10								
Persons with Disabilities	0								

Probationary Assistant Professors considered for Promotion and Tenure									
	Process initiated by Dean in the last year - Clause 16.1	Process initiated by Dean in any year before the last year - Clause 16.3	Process initiated by Member by March 1 of the 4th year - Clause 16.4	Process initiated by Member by March 1 in the last year notwithstanding leave extensions - Clause 16.7.1	Positive Committee recommendation - Clause 17	Negative Committee recommendation - Clause 17	Positive Provost decision - Clause 19.4	Negative Provost decision - Clause 19.4	
Men	7	3	0	0	10	0	10	0	
Women	9	2	1	1	13	0	13	0	
Indigenous peoples	0	0	s	s	0	0	0	0	
Members of racialized groups	3	1	s	s	4	0	4	0	
Persons with Disabilities	0	0	s	s	0	0	0	0	

Probationary Associate Professor considered for Promotion or Granting of Tenure									
	Process initiated by the Dean in the last year of the appointment - Clause 16.2	Process initiated by Dean in any year before the last year - Clause 16.3			Positive Committee recommendation - Clause 17	Negative Committee recommendation - Clause 17	Positive Provost decision - Clause 19.4	Negative Provost decision - Clause 19.4	
Men		1			1	0	1	0	
Women		1			1	0	1	0	
Indigenous peoples		s			s	0	s	0	
Members of racialized groups		s			s	0	s	0	
Persons with Disabilities		s			s	0	s	0	

Tenured Associate Professors considered for Promotion									
	Process initiated by Dean - Clause 16.5	Process initiated by Member no earlier than three years after promotion to Associate Professor - Clause 16.6			Positive Committee recommendation - Clause 17	Negative Committee recommendation - Clause 17	Positive Provost decision - Clause 19.4	Negative Provost decision - Clause 19.4	
Men	12	3			15	0	15	0	
Women	9	2			11	0	11	0	
Indigenous peoples	0	0			0	0	0	0	
Members of racialized groups	3	2			5	0	5	0	
Persons with Disabilities	0	0			0	0	0	0	

Limited-Term Assistant and Associate Professors Considered for Promotion									
	Process initiated by Dean - Clause 16.5.1	Process initiated by Member - Clause 16.4.2	Process initiated by Member - Clause 16.6.1		Positive Committee recommendation - Clause 17	Negative Committee recommendation - Clause 17	Positive Provost decision - Clause 19.4	Negative Provost decision - Clause 19.4	
Men	3	1	0		4	0	2	2	
Women	0	0	1		1	0	1	0	
Indigenous peoples	s	s	s		s	0	s	s	
Members of racialized groups	s	s	s		s	0	s	s	
Persons with Disabilities	s	s	s		s	0	s	s	

Total cases considered for Promotion and/or Tenure									
									56

The information related to the designated groups - with the exception of gender - was provided by Equity & Human Rights Services. This information was provided, in aggregate form only, from the Employment Equity database. All information in this database is obtained through the self-identification surveys sent to employees. Therefore, information about membership in a designated group is only available for individuals who completed the equity survey. Those who have not completed a survey and who were considered for tenure and/or promotion are counted as not being members of a designated group. For reasons of confidentiality, with the exception of gender, equity data is suppressed (s) in cases where there were fewer than 5 individuals considered in a group (i.e. under a given Clause). The equity data for the total cases considered has not been suppressed.

2008-2020 REPORT ON PROMOTION AND CONTINUING APPOINTMENT CASES CONSIDERED UNDER THE LIBRARIANS AND ARCHIVISTS COLLECTIVE AGREEMENT

(as required under the Article *Promotion and Continuing Appointment*)

Total cases considered Promotion or Continuing Appointment

Men	8						
Women	20						
Indigenous peoples	0						
Members of racialized groups	3						
Persons with Disabilities	1						

Probationary Appointees and/or Members holding Continuing Appointments considered for Promotion

	Process initiated by Vice Provost and Chief Librarian or Dean within the first month of the last year of probationary period	Process initiated by the Vice Provost and Chief Librarian or Dean	Process initiated by Member	Positive Committee recommendation	Negative Committee recommendation	Positive Provost recommendation	Negative Provost recommendation
Men	1	2	0	3	0	3	0
Women	3	0	3	6	0	6	0
Indigenous peoples	s	s	s	s	0	s	0
Members of racialized groups	s	s	s	s	0	s	0
Persons with Disabilities	s	s	s	s	0	s	0

Probationary Appointees considered for Continuing Appointment

	Process initiated by Vice Provost and Chief Librarian or Dean within the first month of the last year of the Member's probationary period at the General Rank	Process initiated by Vice Provost and Chief Librarian or Dean within the first month of the last year of probationary period combined with Process initiated by Member	Process initiated by Vice Provost and Chief Librarian or Dean at any time prior to final six months of probationary period	Positive Committee recommendation	Negative Committee recommendation	Positive Provost recommendation	Negative Provost recommendation
Men	0	5	0	5	0	5	0
Women	1	11	2	14	0	14	0
Indigenous peoples	s	0	s	0	0	0	0
Members of racialized groups	s	2	s	2	0	2	0
Persons with Disabilities	s	1	s	1	0	1	0

Total cases considered for Promotion and Continuing Appointment

The information related to the designated groups - with the exception of gender - was provided by Equity & Human Rights Services. This information was provided, in aggregate form only, from the Employment Equity Database. All information in this database is obtained through the self-identification surveys sent to employees. Therefore, information about membership in a designated group is only available for individuals who completed and returned the surveys. Those who have not completed a survey and who were considered for promotion and/or continuing appointment are counted as not being members of a designated group. For reasons of confidentiality data is suppressed (s) in cases where there were less than 5 individuals considered in a group and/or where deemed necessary by EHRS. Please note that Clause numbers have been removed from this report, as they have varied across the Collective Agreements (i.e. between 2008-2020). The equity data for the total cases considered has not been suppressed.

REPORT TO SENATE OF THE ACADEMIC COLLEAGUE, COUNCIL OF ONTARIO UNIVERSITIES

The spring COU Council meeting was cancelled due to COVID-19. The Academic Colleagues held shorter virtual meetings on April 23 and May 13. Colleagues shared their experiences on the pandemic-related changes to course delivery, assessments, and research. We also received updates on COU's efforts to coordinate sector-wide responses to the pandemic and engage in advocacy with the federal and provincial governments.

COU advocacy contributed to the development of several programs, including the suspension of student loan repayments until September 2020, the extension of research periods for the Ontario Research Fund and Early Researcher award programs, and the postponement of the implementation of SMA3 and outcomes-based funding.

Turning to planning for the fall, each institution has established a representative to help manage and provide data in response to the provincial government's ongoing requests for information, ensure that information about policy directions are disseminated, and facilitate information-sharing among universities. The COU has also created three-cross-functional working groups to help guide the sector's planning and advocacy:

Working Group on Student Supports: Major sources of student income (for example: employment opportunities and parental income) have been significantly affected by policies enacted to control the spread of COVID-19. This working group will develop recommendations on financial supports to address students' education and living costs. Members of the group include Financial Aid Administrators, Institutional Planners, Registrars, and representatives from Student Affairs and Government Relations.

Working Group on Alternative Program Delivery: The need for continued physical distancing requires that universities move to remote delivery of programs. This shift is not without challenges for institutions who have to transition large numbers of courses to online delivery and for students who may have limited access to technology and broadband internet.

This working group will:

1. Analyze costs to institutions associated with developing digital courses and infrastructure for the Spring/Summer and Fall 2020 terms;
2. Explore opportunities for shared course delivery and/or credit transfer; and
3. Develop recommendations for increasing students' ability to access the technology needed to participate in online learning.

Members of this group include Provosts, members of the Ontario Universities Council on E-Learning and the Council of Ontario Educational Developers, and a COU Academic Colleague (Erika Chamberlain).

Working Group on Financial Sustainability: The COVID pandemic will have broad financial implications for universities over the short-, medium- and long-terms, including:

- potential decreases in tuition revenue as a result of lower international and domestic enrolment in the Spring/Summer and Fall terms;
- refunds to students and lost revenue for services cancelled as a result of closing campuses and residences;
- additional costs of online learning;
- increases in the cost of borrowing; and
- pension solvency challenges.

The working group will focus on calculating the current and projected financial impact of COVID-19 and will develop a series of recommendations on how the government can help stabilize the postsecondary sector. This working group is composed of Administrative Officers, Finance Officers, Institutional Planners, as well as a VP of Research and a Government Relations Officer.