



**AGENDA OF THE MEETING OF
THE OPEN SESSION OF THE BOARD OF GOVERNORS**

Wednesday, March 10, 2021, at 4 p.m.
via Zoom Video Conferencing

Join Zoom Meeting: <https://concordia-ca.zoom.us/j/934444097334>

Meeting ID: 934 4409 7334

Passcode: 702802

Join by conference call: 1-438-809-7799

Time	Item	Presenter/s	Action
4:00	1. Call to order	H. Antoniou	
	1.1 Adoption of the Agenda	H. Antoniou	Approval
CONSENT AGENDA			
	2. Adoption of the December 9, 2020 Minutes		Approval
	3. Memberships of Advisory Search Committees (BG-2021-2-D1)		Information
	4. Request for the use of the Concordia name (BG-2021-2-D2)		Approval
	5. Protocol with SPVM regarding background checks (BG-2021-2-D3)		Approval
	6. Report on compliance with environmental legislation and health and safety (EH&S) regulations (BG-2021-2-D4)		Information
REGULAR AGENDA			
4:05	7. Business arising from the Minutes not included on the Agenda		

4:10	8.	President's report (BG-2021-2-D5)	G. Carr	Information
4:20	9.	Finance Committee recommendation regarding revisions to <i>Procurement Policy</i> (CFO-20) (BG-2021-2-D6)	K. Brooks/ D. Cossette	Approval
4:30	10.	Presentation on future of work-integrated learning	N. Bhuiyan	Information
4:55	11.	Other business		
5:00	12.	Adjournment	H. Antoniou	

**MINUTES OF THE OPEN SESSION
OF THE BOARD OF GOVERNORS**

Held on Wednesday, December 9, 2020, at 4 p.m.
via Zoom Video Conferencing

PRESENT

Governors: Helen Antoniou, *Chair*, Françoise Bertrand, Jeff Bicher, Antoinette Bozac, Ken Brooks, William Bukowski, Graham Carr, *President and Vice-Chancellor*, Gina P. Cody, Selvadurai Dayanandan, Pat Di Lillo, Adriana Embiricos, Rana Ghorayeb, Claude Joli-Coeur, *Vice-Chair*, Isaiah Joyner, Claudine Mangen, Frédérica Martin, *Vice-Chair*, Georges Paulez, Philippe Pourreaux, Prasanth Shunmugan, Ted Stathopoulos

Alternate Governor: Chelsea Okankwu

Also attending: Philippe Beauregard, Robert Cassidy, William Cheaib, Paul Chesser, Denis Cossette, Michael Di Grappa, Sandra Gabriele, Nadia Hardy, Frederica Jacobs, Lisa Ostiguy, Anne Whitelaw, Carolina Willsher, Paula Wood-Adams

ABSENT

Governors: Roy Cross, Caroline Jamet, Odile Joannette, Suzanne Sauvage

Non-voting observer: Jonathan Wener, *Chancellor*

1. **Call to Order**

The Chair called the meeting to order at 4:05 p.m., welcoming Prasanth Shunmugan who was attending his first meeting.

She also congratulated Françoise Bertrand, appointed Commander of the Order of Montreal, Ken Brooks, winner of the M&A Club Award for Deal of the Year (over \$20 million) in the financial advisor category, and Ted Stathopoulos, for receiving the Honorary Genius Award, presented for the first time this year, from the Ordre des Ingénieurs du Québec.

1.1 **Adoption of the Agenda**

Upon motion duly moved and seconded, it was unanimously RESOLVED:

R-2020-8-1 *That the Agenda be approved, including the items on the Consent Agenda.*

CONSENT2. Adoption of the October 21, 2020 Minutes

R-2020-8-2 *That the Minutes of the meeting of October 21, 2020 be approved.*

3. Audit Committee report (BG-2020-8-D1)
4. Finance Committee report (BG-2020-8-D2)
5. Governance and Ethics Committee report (BG-2020-8-D3)
6. Human Resources Committee report (BG-2020-8-D4)

These reports were submitted for information.

7. Collection of undergraduate student fee levies (BG-2020-8-D5)R-2020-8-3 ***CJLO Campus Radio***

That the Board of Governors authorize Concordia University to collect a fee levy to \$0.43 per credit (an increase of \$0.09 per credit from \$0.34 per credit) to support the CJLO 1960 AM Campus Radio, from all undergraduate students, annually adjusted to the Consumer Price Index of Canada, to be implemented with registration for the Winter 2021 (2204) term, in accordance with the University's tuition, refund and withdrawal policy.

Student Care Integrated Virtual Telemedicine

That the Board of Governors authorize Concordia University to collect a fee levy of \$19.52 per semester to support the Student's care integrated virtual medicine, from all undergraduate students, to be implemented with registration for the Winter 2021 (2204) term, including the administration of an "opt-out" option in the Fall and Winter, independent of the main plan, in accordance with the University's tuition, refund and withdrawal policy.

8. Request for the use of the Concordia name (BG-2020-8-D6)

R-2020-8-4 *That, subject to the conditions set out in the Policy on the Use of Concordia University's Name, Logo and Related Insignia, and the Governance of its Visual Character and Digital Presence (SG-4), the Board of Governors approve the following request to use the Concordia name:*

- *Concordia Mentorship Among Psychology Students (MAPS) Committee*

9. Report on compliance with environmental legislation and health and safety (EH&S) regulations (BG-2020-8-D7)

This report was provided for information.

REGULAR

10. Business arising from the Minutes not included on the Agenda

There was no business arising from the Minutes not included on the Agenda.

11. President's report (BG-2020-7-D8)

Dr. Carr reiterated the congratulations expressed by Ms. Antoniou and added the following as complementary information to his written report:

- Alumnus Howard Alper was promoted to the rank of Companion within the Order of Canada, while alumni Ella Amir and Elliot R. Lifson were appointed Member of the Order of Canada together with retired professor Elizabeth Langley, founder of Concordia's dance program.
- He congratulated the 1,831 graduates recognized on November 19 as part of CU Celebrate.
- A series of virtual Town Halls are being hosted by various sectors across the University, which is a great way to engage with all members of the community and obtain feedback.
- The holiday break has been extended, the activities of the University resuming on January 11, and an additional day off for staff has been added during Reading Week.
- The Stingers participated in *Giving Tuesday*, a fundraising moment that takes place the first Tuesday after American Thanksgiving. Approximately \$245,000 was raised in 24 hours to support Concordia athletes.
- Concordia's Centraide Campaign raised an all-time record of \$204,000, surpassing our goal of \$170,000.
- Concordia's pension plan won the Investment Governance Award, given by the Canadian Investment Review. The University Treasurer and Chief Investment Officer, Marc Gauthier, and his team were recognized for their governance and reshaping of operations.

The President also update the Board on other ongoing initiatives and grants and concluded by noting that the Applied Science Hub on the Loyola Campus was officially inaugurated on December 1 via a virtual opening ceremony. This is the fourth major building to be erected on the Loyola Campus in the past 15 years. He thanked the staff and faculty involved in planning and organizing of the event. The approximately 250 guests and many more on Facebook Live were given a virtual tour of the LEED adherent facilities.

12. Audit Committee recommendation regarding *Information Technology Policy* (BG-2020-8-D9)

Committee Chair Georges Paulez introduced this item which is being recommended by the Audit Committee, further to review at its meetings of November 25, 2020. This Policy responds to the need to strengthen our processes regarding information security and ensures compliance with government guidelines.

Mr. Di Grappa summarized the highlights of the Policy. He noted that the Policy codifies the governance structure and clarifies the roles and responsibilities of the various committees having purview in IT governance. It also formalizes the data classification system and defines user responsibilities to cultivate the culture of information security.

He added that the Policy also responds to recommendations from two internal audit reports regarding identity and access management review and review of cloud management practices. Training is also a critical part of the Policy, which provides for mandatory training on various modules, such as phishing, etc.

A comprehensive institutional communications plan has been elaborated and will be deployed as of January 2021. In response to a question, Mr. Di Grappa made the point that the Policy covers data in possession of the University and will therefore apply to any individual, including students, who interacts with our system.

Upon motion duly moved and seconded, it was unanimously RESOLVED:

R-2020-8-5 That, on recommendation of the Audit Committee, the Board of Governors approve the Information Security Policy.

13. Human Resources Committee recommendation regarding selected employment and evaluation policies (BG-2020-8-D10)

Committee Chair Jeff Bicher introduced this item which is being recommended by the Human Resources Committee, further to review at its meetings of November 20, 2020.

For the benefit of new Governors, Me Jacobs explained that in August 2018 the government modified section 5.11 of the *Règles budgétaires et calculs des subventions de fonctionnement aux universités du Québec*, (RB) which imposed a variety of restrictions on the remuneration of certain senior administrative personnel positions (collectively referred to as SAPS), retroactive to May 2018. In order to be in compliance with the RB, in October 2018, the Board adopted the Omnibus Policy.

Since then, a small working group met regularly to review all existing employment and remuneration policies of senior management personnel to ensure that those policies comply with the RB as well as to harmonize and modernize them based upon employment practices and the evolution of employment contracts.

Me Jacobs presented the highlights of the proposed modifications for each policy, as outlined in the table included in the documentation. She underlined which positions are within the scope of the current policies Policies BD-8, HR-39 and HR-40. She explained that since the Academic Deans and the University Librarian are excluded from the scope of the RB, those positions have been removed from Policy BD-8 and will be housed in a separate policy. She also conveyed the decision to add the positions of Associate Vice-President (formerly in Policy HR-39), Deputy Provost and Vice-Provost (formerly in Policy HR-40) to Policy BD-8, noting that the goal is to capture those senior roles in one policy.

Me Jacobs summarized the main policy changes as follows:

- Introduction of the definition of remuneration, which includes any possible sum paid for the fulfilment of employment duties. Stipends can only be paid if the additional position held on an interim basis is higher than the one occupied.
- Harmonization of the salary formula for all academic SAPS, with all annual salaries being fully pensionable.
- More restrictive provisions for academic SAPS' administrative leave.
- Harmonization of vacation days to 25 days for all SAPS, Academic Deans and the University Librarian.
- Continued rigour of process for approval of expenses.
- Severance pay may not exceed one year of the base salary and cannot be paid if a SAP is terminated for cause, resigns or ceases to exercise their duties but remains employed by the University.

Following the presentation, Me Jacobs, Ms. Willsher and Mr. Cossette responded to questions of clarification.

Upon motion duly moved and seconded, it was unanimously RESOLVED:

R-2020-8-6 *That, on recommendation of the Human Resources Committee, the Board of Governors approve the revisions to the:*

- *Policy on Employment and Remuneration of Senior Administrators, Deputy Provosts, Vice-Provosts and Associate Vice-Presidents (BD-8) (formerly entitled Policy on the Remuneration and Evaluation of Senior Administrators)*
- *Policy on Employment and Remuneration of Academic Administrators (HR-40) (formerly entitled Remuneration and Evaluation Guidelines for Academic Administrators)*
- *Policy on Employment and Remuneration of Managerial and Other Employees not Governed by a Collective or Other Employment Agreement (HR-39) (formerly entitled Remuneration and Evaluation Guidelines for Managerial and Other Employees not Governed by a Collective or Other Agreement); and*
- *Omnibus Policy on the Remuneration of Senior Administrative Personnel (BD-11); and*

That the Human Resources Committee recommend that the Board of Governors approve the Policy on Employment and Remuneration of the Academic Deans and the University Librarian.

14. Presentation on future of teaching and e-learning (BG-2020-8-D11)

Sandra Gabriele, Vice-Provost, Innovation in Teaching and Learning and Robert Cassidy, Director, Centre for Teaching and Learning Services (CTL), presented an update on the state of teaching and learning at Concordia 10 months into the pandemic, the full details

of which are outlined in the document included in the Board package and summarized as follows:

The massive transition to remote delivery done in March was based on four guiding principles:

- Evidence-based approaches, which are learner-focused and based on best practices for online learning;
- Accessibility and flexibility, to take into account the variability in student contexts, and using Moodle, the University's learning management system, as one centralized place where all courses, documents and information can be accessed;
- Support faculty so that they can adapt rapidly; and
- Recognition that teaching and learning is a shared responsibility.

Moodle use has more than tripled, which required an investment of \$4 million to directly support faculty, the largest portion of that investment being spent on hiring teaching assistants.

Since March 2020, CTL has been working to foresee the issues that faculty will run into and has provided support in the form of workshops, one-on-one support, new web resources, department and Faculty consultations, Q&A, training and information sessions regarding Zoom invigilation and teaching tools such as protocols and best practices. Staff at CTL was significantly expanded from its pre-COVID size as were the services of KnowledgeOne.

The most profound change related to transforming services which demanded new collaborations to create partnerships for teaching and learning that work well. This resulted in the establishment of a new permanent Advisory Committee on Teaching and Learning, which includes student representation. The Office of Institutional Planning provided some data, which can deepen the understanding of what is going on and provide some indicators of student success in connection with course grades, GPAs, use of DISC and PASS options, the number of students remaining at the University and the number of new students coming to Concordia.

More needs to be done, and the short term plans include enhancing Moodle to create a better learning experience. To that end, a new Moodle developer and a new Moodle specialist have been hired. Assessment is an issue but work will continue in order to create equitable evaluation and exam schemes for students. Improvements also need to be made on the communication from professor to student and student to student as well as on student workload and estimation guidelines. The Lab for Innovation in Teaching and Learning is up and running and provides ways to respond to changing learner needs and expectations and pedagogical practices and technologies.

In the short to medium term, we will need to look at what a mixed return to campus will look like, with a dual delivery of online and in-person classes, and establish principles in relation thereto. Pedagogies will have to be developed to ensure student success and wellness. Shared priorities will have to be established on how to innovate in the future so that Faculties can develop the strategies that are appropriate for them or their disciplines.

Further to their presentation, Drs. Gabriele and Cassidy responded to questions and addressed comments from Governors.

15. Other business

There was no other business to bring before the meeting.

16. Adjournment

The Chair declared the meeting adjourned at 5:56 p.m.



Danielle Tessier
Secretary of the Board of Governors



**BOARD OF GOVERNORS
OPEN SESSION
Meeting of March 10, 2021**

AGENDA ITEM: Memberships of Advisory Search Committees

ACTION REQUIRED: For information

SUMMARY: Following the establishment by the President of the Advisory Search Committee for the Provost and Vice-President, Academic and of the Advisory Search Committee for the Dean of the Gina School of Engineering and Computer Science, the committee memberships are outlined below, in accordance with the composition set out in the *Policy on Senior Administrative Appointments* ([BD-5](#)).

These memberships do not require Board approval and are being presented for solely for information purposes.

Advisory Search Committee for the Provost and Vice-President, Academic

- Graham Carr (*Chair*)
- Gina Cody (*representing the external members*)
- Jill Didur (A&S), Abdelwahab Hamou-Lhajd (ENCS), Aaron Johnson (A&S), Rahul Ravi (JMSB) and Mark Sussman (FA) (*representing the full-time faculty members*)
- Scott Chlopan (*representing the part-time faculty members*)
- Geoffrey Little (*representing the librarians*)
- Sarah Mazhero (*representing the undergraduate students*)
- Naveena Kumaresan (*representing the graduate students*)
- Céline Fortin (*representing the administrative and support staff*)

Danielle Tessier (Secretary)

Advisory Search Committee for the Dean of Gina Cody School of Engineering and Computer Science

- Anne Whitelaw (*Chair*)
- Rana Ghorayeb (*representing the external members*)
- Otmane Ait Mohamed, Osama Moselhi, Muthukumaran Packirisamy and Radu Zmeureanu (*representing the full-time faculty members*)
- Stuart Thiel (*representing the part-time faculty members*)
- Alexander Stojda (*representing the undergraduate students*)
- Foyisal Ahmed (*representing the graduate students*)
- Zineb Bencheikh (*representing the administrative and support staff*)

Andrea Renaud (Secretary)

PREPARED BY:

Name: Danielle Tessier
Date: February 9, 2021



**BOARD OF GOVERNORS
OPEN SESSION
Meeting of March 10, 2021**

AGENDA ITEM: Request for the use of the Concordia name

ACTION REQUIRED: For approval

SUMMARY: Associations or groups wishing to use the Concordia name must obtain the permission of the Board of Governors, as set out in the *Policy on the Use of Concordia University's Name, Logo and Related Insignia, and the Governance of its Visual Character and Digital Presence* ([SG-4](#)).

BACKGROUND: The following request was reviewed by the Dean of Students and the Office of the Secretary-General which are recommending Board approval:

- **Mentoria Student Association of Concordia**, whose goal is to encourages interdisciplinary learning and multidisciplinary co-mingling to try and bridge the gap of segregation between majors and helps students learn from another by engaging them in events with broad diverse topics without having to sacrifice the "fun" element.

DRAFT MOTION: That, subject to the conditions set out in the *Policy on the Use of Concordia University's Name, Logo and Related Insignia, and the Governance of its Visual Character and Digital Presence* ([SG-4](#)), the Board of Governors approve the following request to use the Concordia name:

- **Mentoria Student Association of Concordia**

PREPARED BY:

Name: Danielle Tessier
Date: February 27, 2021



**BOARD OF GOVERNORS
OPEN SESSION
Meeting of March 10, 2021**

AGENDA ITEM: Protocol with SPVM regarding background checks

ACTION REQUIRED: For approval

SUMMARY: The Board is being asked to designate the individuals responsible for interacting with the City of Montreal Police Department (SPVM) in connection with background checks.

BACKGROUND: The University is required, from time to time, to ask the SPVM to conduct background checks on individuals working with vulnerable clients, such as those working with minors in the summer camps.

In order to submit a request for background verification, the University must sign a protocol with the SPVM, and the Board must designate the individuals who are authorized to interact with the SPVM on behalf of the University in accordance with the protocol.

DRAFT MOTION: That the Board of Governors designate the Director of Security, Jacques Lachance, as the individual responsible for interacting with the City of Montreal Police Department (SPVM) in connection with requests for background checks on behalf of Concordia University and that investigators Lyne Denis and Claude Dastous be designated as the latter's primary and secondary substitute, respectively.

PREPARED BY:

Name: Danielle Tessier
Date: February 24, 2021



**BOARD OF GOVERNORS
OPEN SESSION
Meeting of March 10, 2021**

AGENDA ITEM: Report on compliance with environmental legislation and health and safety (EH&S) regulations

ACTION REQUIRED: For information

SUMMARY: This report is provided to members of the Board of Governors on a quarterly basis to apprise them of matters concerning EH&S at Concordia.

PREPARED BY:

Name: Danielle Tessier

Date: March 2, 2021



Report on Due Diligence for Concordia University Board of Governors

Reporting Period
2020 Q4
(October, November, December)
&
2020 Full Year

Pietro Gasparini, C.I.H.
Director, Environmental Health & Safety
February 17, 2021

Environmental Health & Safety (**EHS**) supports the academic, research and operational activities of the University and promotes a safe, healthy and sustainable campus environment. EHS manages and coordinates programs and services that minimize health, safety, environmental and regulatory risks. It also monitors compliance with federal and provincial health and safety legislation and internal university policies. We identify and evaluate risks, develop control strategies and implement appropriate internal procedures.

Section A presents the university's Leading Safety Key Performance Indicators (KPIs) which measure safety performance and help reflect the safety culture within the University. **Section B** presents the traditional Lagging Safety KPIs which are retrospective and which now include four incident/injury rates.

2020 Summary

In 2020, the COVID-19 pandemic caused a significant reduction of activity on campus, particularly at the onset, which had a consequential impact on all of the university's health and safety key performance indicators.

2020 Leading Safety Key Performance Indicators Summary, compared to 2019:

- 9556 participants safety and security training, of which 6491 was COVID-related safety training (72% increase)
- 26 Injury & Near-Miss Investigations (38% decrease)
- 1344 Preventative Internal Inspections & Assessments (1230% increase)
- 277 Internal Non-Compliance Citations (341% decrease)
- 15 EHS Research Safety Compliance Reviews (69% decrease)

2020 Lagging Safety Key Performance Indicators Summary, compared to 2019:

- 17% decrease in Total Injuries
- 48% decrease in Work-Related Injuries
- 36% decrease in Accepted Worker's Compensation Claims
- 67% increase in Lost-Time Day
- 68% decrease in Near-Misses
- 46% decrease in External Inspections
- 184% increase in Regulatory Non-Compliance Citations
- 84% decrease in Regulatory Fines
- 58% decrease in Hazardous Materials Emergency Response

The one area not affected by the pandemic was the Regulatory Non-Compliance Citations. Although there were less inspections by regulatory agencies, this did not influence the number of citations. Although there was a 184% increase in Regulatory Non-Compliance Citations in 2020 compared to 2019, the actual number of non-compliance citations in 2020 was equal to the 5-year annual average (54).

Suspected or Confirmed COVID-19 cases on Campus

Concordia has been fortunate to have a limited number of reported COVID-19 cases on campus in 2020. At the onset of the pandemic, during the Winter 2020 semester, there were a total of 5 suspected cases,

of which only one was positive. As the pandemic continued, regional public health authorities provided the university with protocols for dealing with COVID-19. In preparation for In-Person Teaching Activities in the Fall of 2020, we developed and implemented detailed [procedures for dealing with suspected or confirmed COVID-19 cases](#) (one for employees and one for students). The procedures define roles and responsibilities in the event of a suspected or confirmed COVID-19 case on university property and describe the protocol to assist the individual experiencing symptoms and prevent the spread of the virus on campus and beyond. The procedures are limited in scope in that they only address situations in which individuals were on campus at the moment they developed symptoms or up to 48 hours prior to developing symptoms. The focus is to ensure the health and safety of the university community on campus. The procedures meet the requirements of the *Direction régionale de santé publique de Montréal* and the *Commission des normes, de l'équité, de la santé et de la sécurité du travail (CNESST)* as indicated in the « Guide de normes sanitaires en milieu de travail pour le réseau de l'enseignement supérieur – COVID-19 ». With Environmental Health & Safety, a small, dedicated team was put in place to deal with COVID cases, including an Occupational Health and Infection Control Advisor, a welcomed addition to the department.

From August to December 2020, there were 25 COVID-19 cases on campus (again limited to individuals who were on campus when they developed symptoms or who were on campus 48 hours prior to developing symptoms).

There was only one case of community spread in the university in 2020. The case involved two students; it was determined that the transmission of the virus between the two students was due to non-compliance with public health directives. In all, the low case numbers, coupled with one case of community spread linked to non-compliance indicates that the preventive measures put in place to prevent and limit the spread of the virus at the university appear to be working.

The pandemic brought unprecedented demands on EHS and the team rose to the challenge. I would like to recognize the senior leadership of the university; without their support, we would not have been able to implement the necessary public health preventive measures and procedures. Finally, I would like to thank all Concordians for respecting the university's COVID-19 directives and procedures. Collectively, our efforts have kept our community safe.



Pietro Gasparini, C.I.H.
Director, Environmental Health & Safety

Section A: Leading Safety Key Performance Indicators

1. Safety & Security Training

During the period of October 1 to December 31, 2020, the transition to on-line learning for safety training continued. There were **13** training sessions that took place, either in-person or via video conference, with a total of **1449** participants. Of those who took safety training during the fourth quarter, 942 (65%) completed COVID-19-related training. As of September 2020, 3 different COVID-19-related safety trainings are available via Moodle. For students, there is a training for In-Person Activities and another for access to Library Study Spaces. For faculty, staff and graduate students with recurring access to campus, including for research or teaching purposes, COVID-19 Safety Training for General Campus Access is required.

	2019 Q4 <i>Oct., Nov., Dec.</i>	2019 <i>Full Year</i>	2020 Q4 <i>Oct., Nov., Dec.</i>	2020 <i>Full Year</i>
Total Safety Training Sessions	65	304	13	163
Total Participants	648	2686	1449	9556

The pandemic had an impact on both the number of training sessions provided and the number of participants. Concerning the number of sessions, the pandemic accelerated the adoption of on-line training delivery since in-person safety training was not possible for a period of time. Therefore, the decrease in the number of sessions (over 70%) did not affect our ability to provide safety training; it simply highlights the transition to an online delivery method.

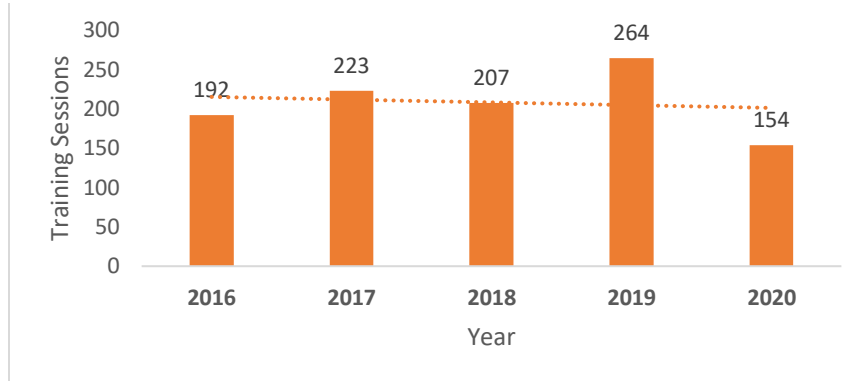
Only since 2018 has security training data been integrated into this KPI, therefore 5-year trend data is unavailable. However, 3-year data is available and is included in the table below; COVID-19-related training was excluded from the table in order to provide a more accurate picture of the security and safety training delivered.

	2018 <i>Full Year</i>	2019 <i>Full Year</i>	2020 <i>Full year</i>
EHS Training Sessions <i>(excluding COVID-related training)</i>	207	264	72
Security Training Sessions	57	40	9
Total Training Sessions	264	304	81
EHS Training Participants <i>(excluding COVID-related training)</i>	2322	2314	1519
Security Training Participants	354	372	97
Total Participants	2676	2686	1616

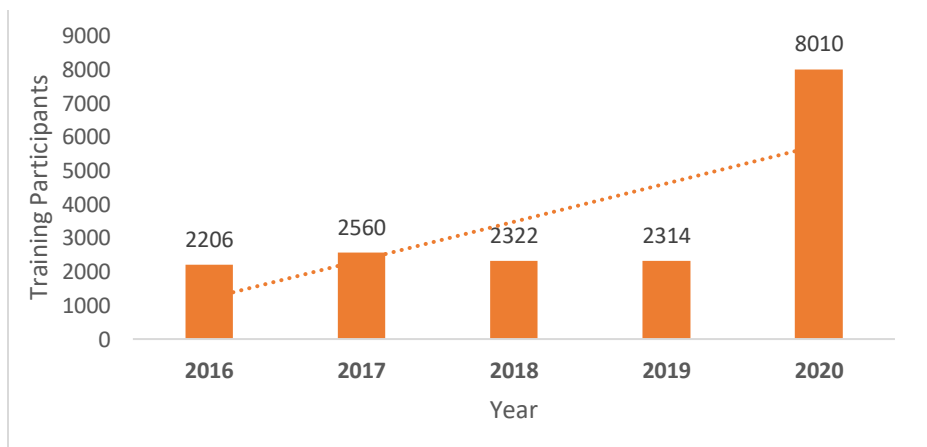
The 40% decrease in participants in 2020 compared to 2019 can be explained by the decrease in overall activity on campus due to the pandemic. For example, in 2020, there was a decrease in the number of undergraduate students who worked in research labs, especially during the summer.

Graph 1 and 2 presents 5-year data for safety training only, including COVID-19-related safety training.

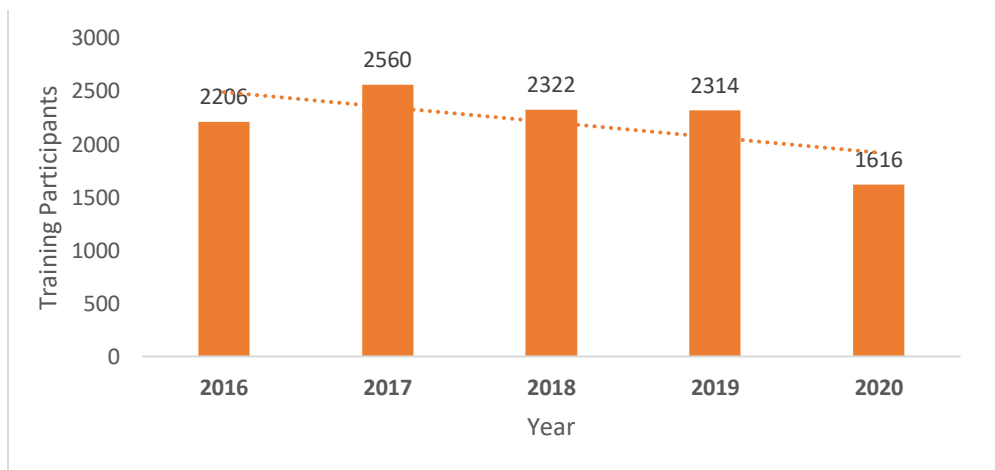
Graph 1: Total Number of Safety Training Sessions per Year (including COVID-related training)



Graph 2: Total Number of Individuals Trained per Year (including COVID-related training)



Graph 3: Total Number of Individuals Trained per Year (excluding COVID-related training)



2. Injury & Near-Miss Investigations

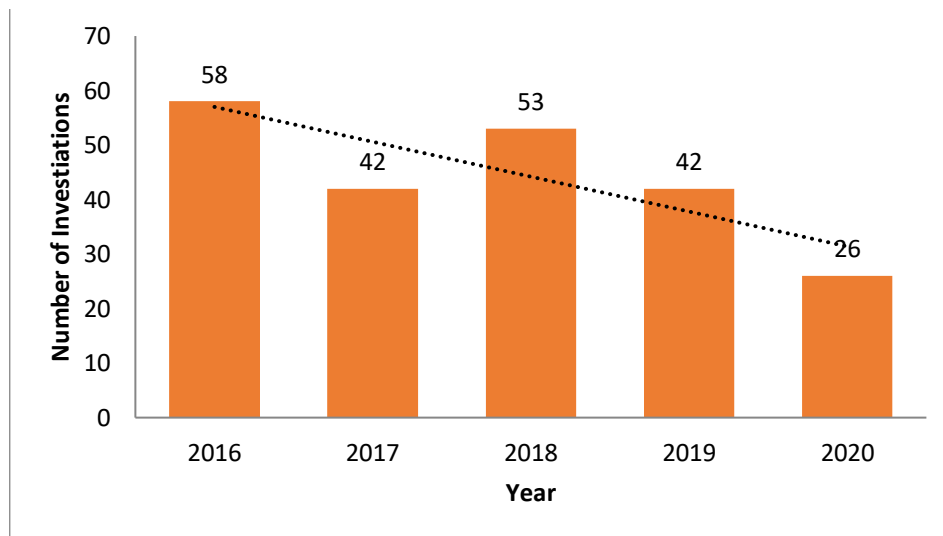
Depending on the circumstances surrounding a reported injury or near-miss, EHS staff will conduct a formal investigation in partnership with supervisors. Investigations are conducted in order to: determine the root causes of injuries and near-misses, prevent similar occurrences in the future, determine compliance with applicable safety regulations, and collect information for workers' compensation claims (if applicable). In some instances, injury and near-miss investigations result in the identification of corrective actions that can prevent injury and near-miss reoccurrence (see Section 5).

For the period of October 1 to December 31, 2020, **5** injury investigations and **1** near-miss investigation were conducted, bringing the 2020 totals to **21** injury investigations and **5** near-miss investigations.

	2019 Q4 <i>Oct., Nov., Dec.</i>	2019 <i>Full Year</i>	2020 Q4 <i>Oct., Nov., Dec.</i>	2020 <i>Year To Date</i>
Injury Investigations	2	29	5	21
Near-Miss Investigations	3	13	1	5
TOTAL Investigations	5	42	6	26

Compared to 2019, in 2020 there was a 27% decrease in the number of injury investigations and a 74% decrease in the number of near-miss investigations. These decreases are to be expected, given the 48% decrease in the total number of injuries (see Section 9), the 71% decrease in the number of work-related injuries (see Section 8) and the 68% decrease in the number of near-misses. The 5-year average number of Injury & Near-Miss Investigations per year is 50.

Graph 4: Total Number of Injury & Near-Miss Investigations per Year



3. Preventative Internal Inspections & Assessments

Preventative internal inspections and assessments (total number) refer to workplace inspections and risk assessments conducted by, or in collaboration with, EHS staff on university premises.

Workplace inspections involve a walkthrough of a workplace (e.g. research laboratory, studio, workshop, mechanical room) to determine the degree of compliance with both government regulations and internal policies and procedures. Inspections result in internal non-compliance citations (Section 4) and require corrective actions (Section 5).

Workplace risk assessments are a more thorough evaluation of the workplace with the objective of identifying all hazards and determining if the hazards can be eliminated. If elimination of the hazard is not possible, the risk assessment determines if the hazard is adequately controlled.

Workplace inspections are conducted on a more routine basis (annually or bi-annually), whereas risk assessments, which take more time, are conducted once and repeated when there is a major change in the level or area of activity in the workplace.

Workplace inspections and risk assessments are complimentary and together form an integral part of the University’s comprehensive health and safety program. Both serve as a mechanism to determine compliance with government regulations and internal policies and procedures.

Following the mandatory shutdown of the university in March, there was a need to complete a thorough assessment of all campus activities **prior** to their resumption. EHS staff worked closely with researchers, faculty and managers to ensure that their activities could resume safely given the new risk, COVID-19. Referred to as Return to Campus Safety Assessments, these are considered preventative internal inspections since they help ensure that all public health directives are respected in order to prevent the spread of the virus on our campuses.

For the period of October 1 to December 31, 2020, EHS conducted **409** preventative internal inspections and assessments.

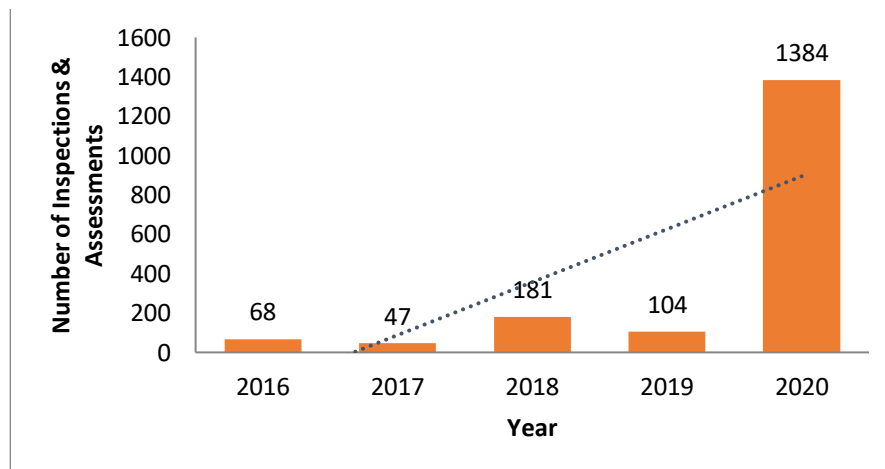
Year	Preventative Internal Inspections & Assessments
2019 Q4 <i>Oct., Nov., Dec.</i>	37
2019 <i>Full Year</i>	104
2020 Q4 <i>Oct., Nov., Dec.</i>	409
2020 <i>Full Year</i>	1384

During Q4, 23 new research labs underwent a Return to Campus Safety Assessment and reopened. As well, EHS re-evaluated nearly all previously opened research labs. These labs started to reopen in April 2020; however, over the course of 2020, research activity increased and additional researchers were permitted to return to campus. As a result, a large portion of the original Return to Campus Safety Assessments were outdated. Additional people and increased activity meant returning to each space and re-establishing the maximum capacity based on a full resumption of activity. In Q4, EHS

staff re-evaluated 347 research spaces that were previously re-opened and posted the maximum occupancy in each space. In addition, 18 Return to Campus Safety Assessments were done for non-research/non-teaching areas, 10 spaces were assessed for In-Person Teaching Activities planned for the Winter 2021 semester, and 11 biosafety program inspections were conducted. The estimated time required to complete the COVID-related assessments and re-evaluations is over 450 hours.

EHS aims to conduct a minimum number of preventative internal inspections and assessments. The annual target is based on regulatory requirements and the availability of department staff, which is influenced by the number of other initiatives and projects being developed and implemented by the department. By all accounts, 2020 was an outstanding year; however, the quantity of inspections and assessments was unsustainable. In order to allow university activities to resume, once permitted by the government, the Return to Campus Safety Assessments had to be quickly and efficiently conducted. One of the downsides of this was the inability to properly document non-compliance issues. An alternative process was established, which continued to ensure that identified non-compliance issues were properly corrected. When possible, we will revert to our pre-pandemic methodology.

Graph 5: Total Number of Preventative Internal Inspections & Assessments per Year



4. Internal Non-Compliance Citations

EHS is mandated to monitor compliance with both government regulations and internal safety policies and procedures. Compliance monitoring allows us to ensure the safety and well-being of the university community and to mitigate external non-compliance citations.

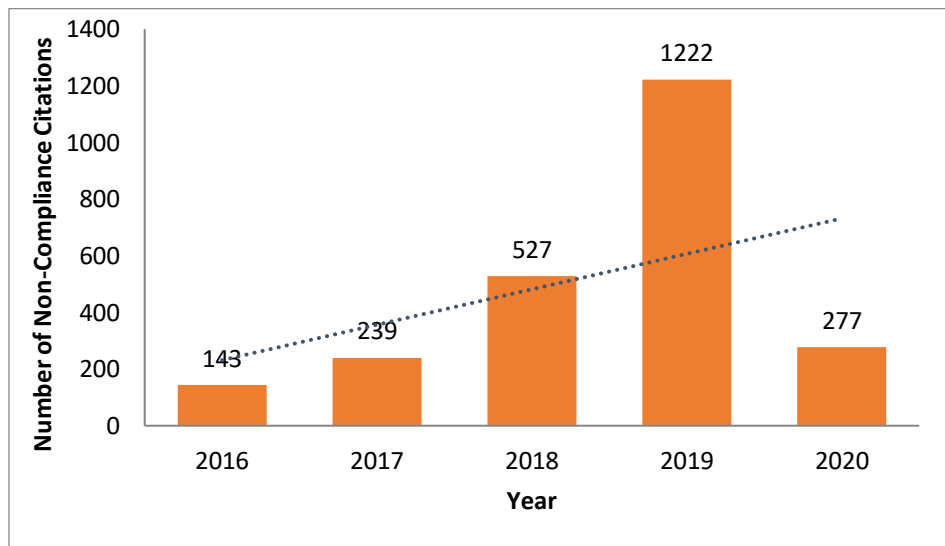
The majority of internal non-compliance citations result from preventative internal inspections and assessments, as well as injury and near-miss investigations. Identification of non-compliance issues and their subsequent correction improves the overall safety performance of the University prior to the intervention of regulatory bodies. Often, a single internal workplace inspection or injury investigation can generate several non-compliance citations.

For the period of October 1 to December 31, 2020, **67** internal non-compliance citations were documented, of which 31 were associated with biosafety program inspections. As in Q3, the documentation of internal non-compliance citations was not as rigorous as usual, leading to a drop in the number of citations. During the Return to Campus Safety Assessments, supervisors were responsible to correct non-compliance issues that could not be immediately corrected.

Year	Internal Non-Compliance Citations
2019 Q4 <i>Oct., Nov., Dec.</i>	357
2019 <i>Full Year</i>	1222
2020 Q4 <i>Oct., Nov., Dec.</i>	67
2020 <i>Year To Date</i>	277

The 5-year annual average number of Internal Non-Compliance Citations is 482. As illustrated in Graph 6, the total number of Internal Non-Compliance Citations fluctuates annually. Although there was a drop in 2020 compared to 2019, the 5-year trend remains on the increase.

Graph 6: Total Number of Internal Non-Compliance Citations per Year



5. Corrective Action Completion Rate

Corrective actions are assigned as the result of an intervention by EHS, including injury investigations and internal inspections. When non-compliance issues are identified, corrective actions are generally required. These actions are assigned to the supervisor responsible for the area where the citation occurred or for the individuals involved.

All non-compliance citations (internal and external) must be resolved in a timely manner. External Non-Compliance Citations from external bodies received during external inspection (Section 12) are accompanied by obligatory corrective actions and imposed deadlines. Internal Non-Compliance Citations (Section 4) are also accompanied by obligatory corrective actions and target deadlines. This metric tracks the percentage of assigned corrective actions that are completed. This is tracked by calendar year until all actions are completed.

Due to the COVID-19 pandemic and the redeployment of EHS resources to the pandemic response, very limited follow-up was possible regarding open Corrective Actions, with exception of those corrective actions that resulted from regulatory agency inspections.

2014

As of December 31, 2020, **99%** (137) of Corrective Actions assigned in **2014** (138) were completed with the remaining corrective action in progress.

Year	Corrective Action Completion Rate
2014	99%

2015

As of December 31, 2020, **99.6%** (448) of Corrective Actions assigned in **2015** (450) were completed, 0.4% (2) are currently in progress.

Year	Corrective Action Completion Rate
2015	99.6%

2016

As of December 31, 2020, **98%** (213) of Corrective Actions assigned in **2016** (217) were completed, 1.5% (3) are currently in progress and 0.5% (1) has not yet begun.

Year	Corrective Action Completion Rate
2016	98%

2017

As of December 31, 2020, **97%** (356) of Corrective Actions assigned in **2017** (369) were completed, 2% (8) are currently in progress and 1% (5) have not yet begun.

Year	Corrective Action Completion Rate
2017	97%

2018

As of December 31, 2020, **71%** (539) of Corrective Actions assigned in **2018** (755) were completed, 5% (39) are currently in progress and 24% (178) have yet to begin.

Year	Corrective Action Completion Rate
2018	69%

2019

As of December 31, 2020, **43%** (524) of Corrective Actions assigned in **2019** (1222) were completed, 31% (379) are currently in progress and 26% (318) have yet begun.

Year	Corrective Action Completion Rate
2019	43%

In 2020, there were a total of **1222** corrective actions assigned, the largest amount in a year since tracking began in 2014.

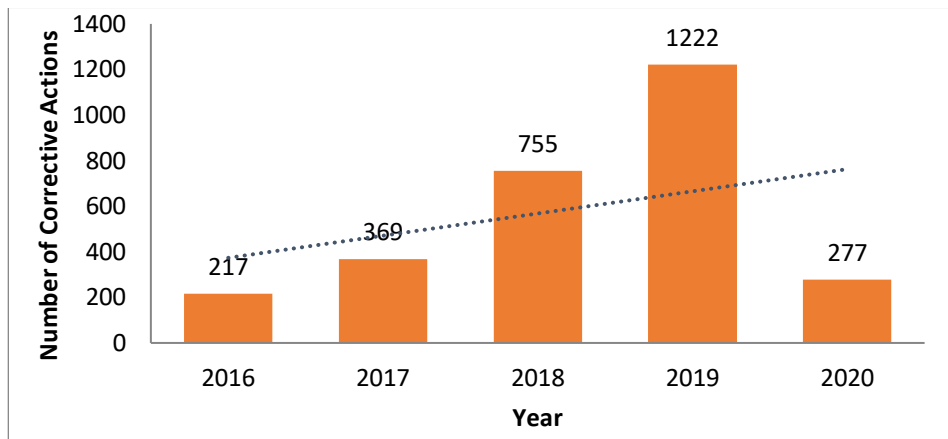
2020

As of December 31, 2020, **60%** (166) of Corrective Actions assigned in **2020** (277) were completed, 20% (55) are currently in progress and 20% (56) have yet to begin.

Year	Corrective Action Completion Rate
2020	60%

In 2020, there were a total of **277** corrective actions assigned. As stated earlier, the speed at which Return To Campus Safety Assessments had to be conducted meant that the non-compliance issues identified that were corrected on site were not formally documented. As a result, the number of documented Corrective Actions in 2020 was significantly lower than in previous years.

Graph 7: Total Number of Corrective Actions per Year



Prior to the pandemic, the challenge was ensuring that corrective actions were being addressed in a timely manner. In many instances, specifically with corrective actions resulting from the roof safety assessments, the actions can only be implemented when the roofs are redone, which will take multiple years. EHS is working with internal stakeholders to re-evaluate the manner in which corrective actions are categorized in order to separate corrective actions that require large capital investments and time to complete from simpler corrective actions. It is important to note that when a corrective action cannot be completed and non-compliance poses a risk to employees or students, interim measures are put in place to ensure everyone’s safety.

6. EHS Research Compliance Reviews

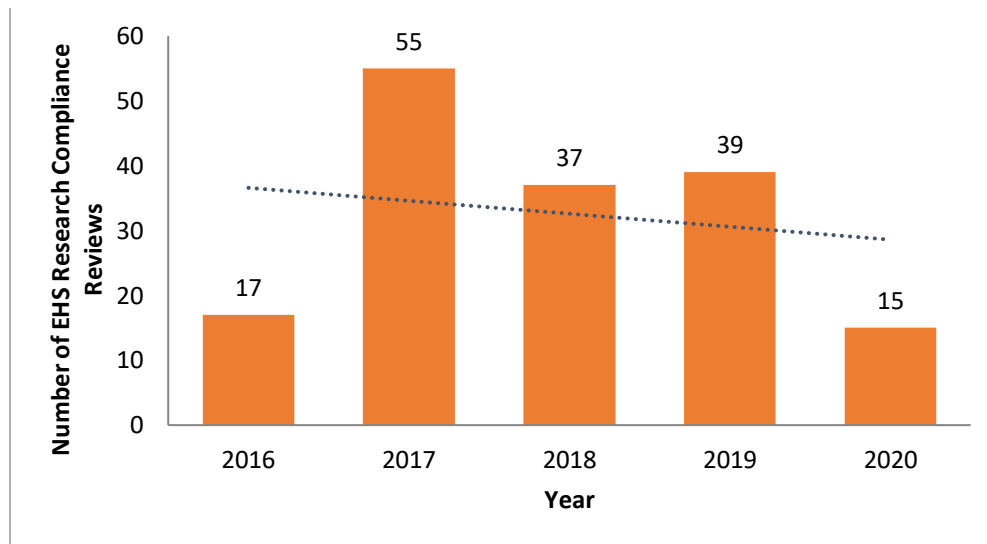
In collaboration with the Office of Research, EHS reviews research and teaching activities that involve hazardous materials, in order to ensure compliance with applicable government regulations and internal policies and procedures.

For the period of January 1 to December 31, 2020, there were **15** EHS Research Compliance Reviews, of which **5** were from Q4 (October 1 to December 31, 2020). The number of compliance reviews in 2020 decreased by 69% compared to 2019.

Year	EHS Research Compliance Reviews
2019 Q4 <i>Oct., Nov., Dec.</i>	4
2019 <i>Full Year</i>	39
2020 Q4 <i>Oct., Nov., Dec.</i>	5
2020 <i>Full Year</i>	15

The 5-year average number of EHS Research Compliance Reviews per year is 33 and the overall 5-year trend is slightly decreasing, influenced by the COVID-19 pandemic.

Graph 8: Total Number of EHS Research Compliance Reviews per Year



Section 2: Traditional (Lagging) Safety Key Performance Indicators

7. Total Injuries

An injury refers to the occurrence of a sudden and unforeseen event arising out of, or in the course of, a university-sanctioned activity attributable to any factor that caused an injury or an occupational disease (an exposure to conditions or substances that resulted in a disease). Injuries are grouped as work-related (involving staff and faculty), student or visitor/contractor.

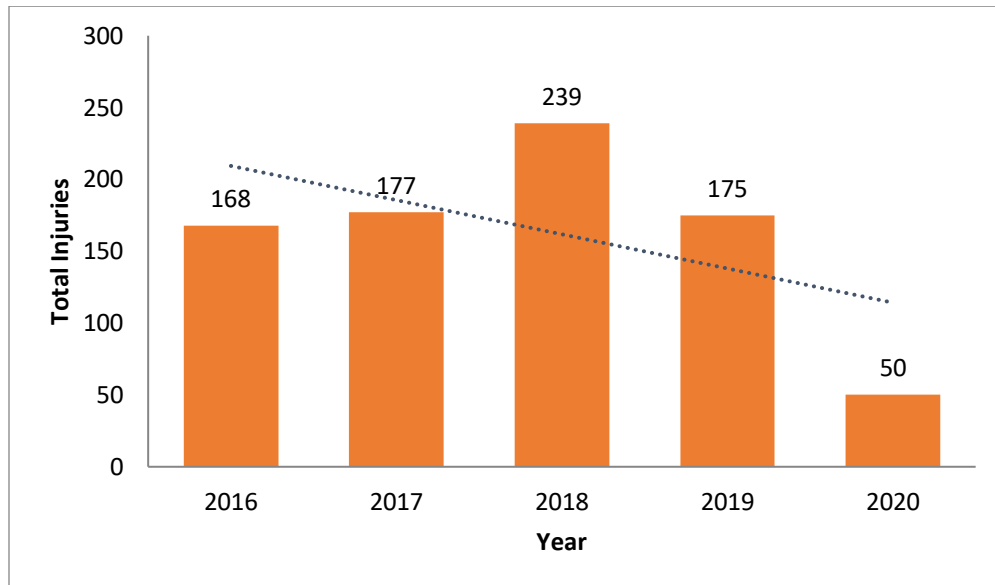
For the period of October 1 to December 31, 2020, **7 injuries** were reported, bringing the 2020 total to **50**. This represents a 71% decrease in total injuries in 2020 when compared to 2019. The pandemic had a major influence on this KPI. The closure of the university campuses, the switch to on-line delivery of teaching, and the fact that the majority of university employees work from home all affected the number of injuries on campus.

Year	Total Injuries
2019 Q4 <i>Oct., Nov., Dec.</i>	33
2019 <i>Full Year</i>	175
2020 Q4 <i>Oct., Nov., Dec.</i>	7
2020 <i>Full Year</i>	50

Due to the pandemic, the 5-year average number of total injuries per year dropped to 162 from 184 and the 5-year trend is decreasing. Unfortunately, the pandemic impact on the 5-year trend means that we

will not know if pre-pandemic preventive measures and safety activities were continuing to have a positive impact on the number of injuries.

Graph 8: Total Injuries per Year



Sports Injuries Included in Total Injuries

Sports Injuries are a sub-set of Total Injuries. Currently the Sports Injuries that are reported to the University via the Injury/Near-Miss Report Form are those injuries (trauma) or illnesses (repetitive stress) suffered by a Member (staff/student) or Non-Member (visitor) of the university community. These injuries occur during the course of a voluntary activity (personal time), either participating in team or individual sport activities or personal physical conditioning, on Concordia property. Whenever external medical attention is required to treat the injury, the Security Department calls for an ambulance. As a result, the majority of the injuries within this category are reported to EHS by the Security Department.

Year	Sports Injuries
Q4 2019 <i>Oct., Nov., Dec.</i>	6
2019 <i>Full Year</i>	32
Q4 2020 <i>Oct., Nov., Dec.</i>	0
2020 <i>Year To Date</i>	4

The pandemic caused almost all Recreation & Athletics activities to stop, with many prohibited by public health directives. As a result, the number of sports injuries in 2020 was significantly less than 2019.

8. Work-Related Injuries

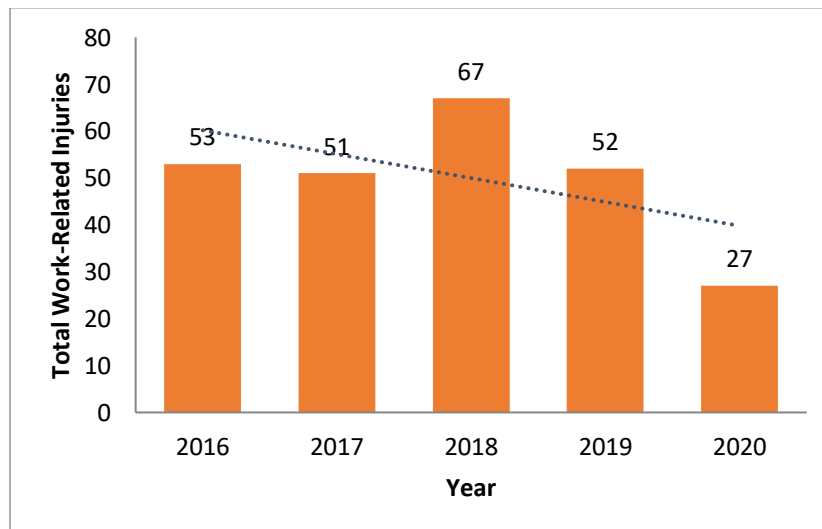
Work-Related Injuries are a subset of the total Injuries (Section 7), whereby the injured person is a worker (staff or faculty). An injury or illness is considered work-related when an employee is involved and if an event, or exposure in the work environment, either caused or contributed to the resulting condition or significantly aggravated a pre-existing injury or illness. Work-related injuries are investigated by EHS staff and when warranted, an investigation report with corrective actions is submitted to the employee’s supervisor.

For the period of October 1 to December 31, 2020, **7** of the 50 reported injuries (Section 7) were work-related, bringing the 2020 total to **27**.

Year	Work-Related Injuries
2019 Q4 <i>Oct., Nov., Dec.</i>	11
2019 <i>Full Year</i>	52
2020 Q4 <i>Oct., Nov., Dec.</i>	7
2020 <i>Full Year</i>	27

In 2020, the total number of work-related injuries (27) decreased by 48% compared to 2019. This is good news; however, the pandemic’s influence on the number of work-related injuries cannot be ignored.

Graph 9: Work-Related Injuries per Year



Recordable Injury Rate (RIR)

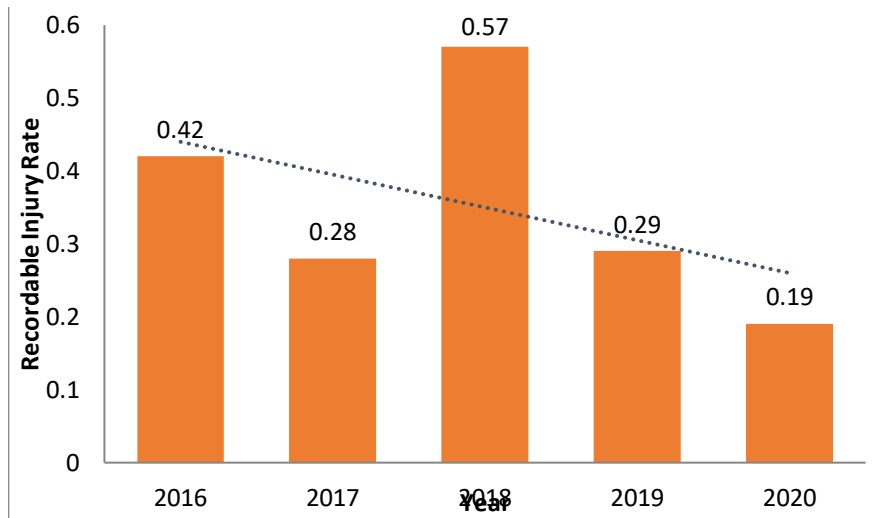
The Recordable Injury Rate (RIR), also commonly referred to as the recordable incident rate, is calculated by multiplying the number of Work-Related Injuries by 200,000 labour hours, and then

dividing that number by the number of labour hours during that period. Furthermore, 200,000 labour hours equates to 100 employees, who work 40 hours per week 50 weeks per year. The calculated rate is per 100 employees.

Year	Recordable Incident Rate
2019 Full Year	0.29
2020 Full Year	0.19

The University's 2020 Recordable Injuries Rate was 0.19 work-related injuries per 100 full-time employees, compared to 0.29 in 2019. The lower RIR in 2020 is a direct result of the decrease in the number of work-related injuries and was influenced by the pandemic.

Graph 10: Recordable Injury Rate per Year



9. Worker Compensation Claims

Employees who sustain a work-related injury may be eligible for compensation from the *Commission des normes, de l'équité, de la santé et de la sécurité du travail* (CNESST).

For the period of October 1 to December 31, 2020, there were **2** accepted worker's compensation claims. As a result, the total number of accepted claims in 2020 is 36% less than 2019.

Year	Accepted Compensation Claims
2019 Q4 <i>Oct., Nov., Dec.</i>	0
2019 <i>Full Year</i>	11
2020 Q4 <i>Oct., Nov., Dec.</i>	2
2020 <i>Full Year</i>	7

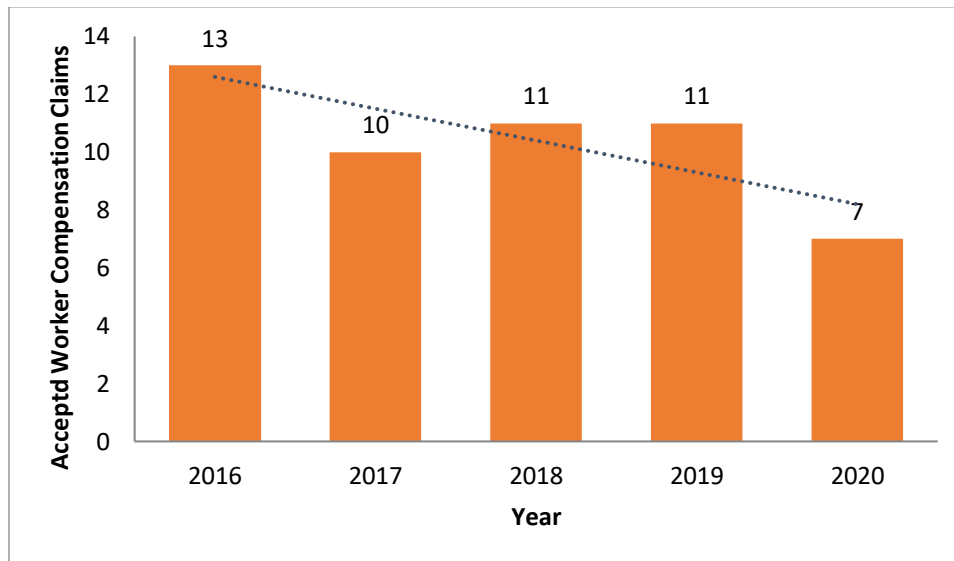
The following table provides details on all accepted worker compensation claims for 2020. For each claim, the total number of lost-time days in 2020 is indicated, if applicable.

Table: 2020 Accepted Worker Compensation Claims

Date	Description	Department	Diagnosis	Lost-Time Days YTD
08-Jan-2020	The employee tripped on a step and sustained a knee sprain.	Facilities Operations	Knee Sprain	10
14-Jan-2020	The employee was lifting a table and felt pressure in the back.	Facilities Operations	Lumbar Sprain	13
15-Jan-2020	Falling ice/snow struck the employee's head, causing a concussion.	Library	Concussion	56
31-Jan-2020	The employee tripped on a step and sustained an ankle sprain.	IITS	Ankle Sprain	2
24-Apr-2020	The employee injured their right elbow from repetitive motion.	Facilities Operations	Tendinitis	67 (Q2) + 47 (Q3)
13-Oct-2020	The employee hit their head on a duct and sustained a concussion.	Facilities Operations	Concussion	79
20-Nov-2020	The employee was walking down the stairs, fell and sustained an ankle injury.	Psychology	Ankle Sprain	16

The 5-year average number of accepted worker's compensation claims per year is 10.

Graph 11: Accepted Worker Compensation Claims per Year



Every year, the Commission des normes, de l'équité, de la santé et de la sécurité du travail (CNESST) assigns the University a personalized insurance rate that is based in part on the University's past worker's compensation claims.

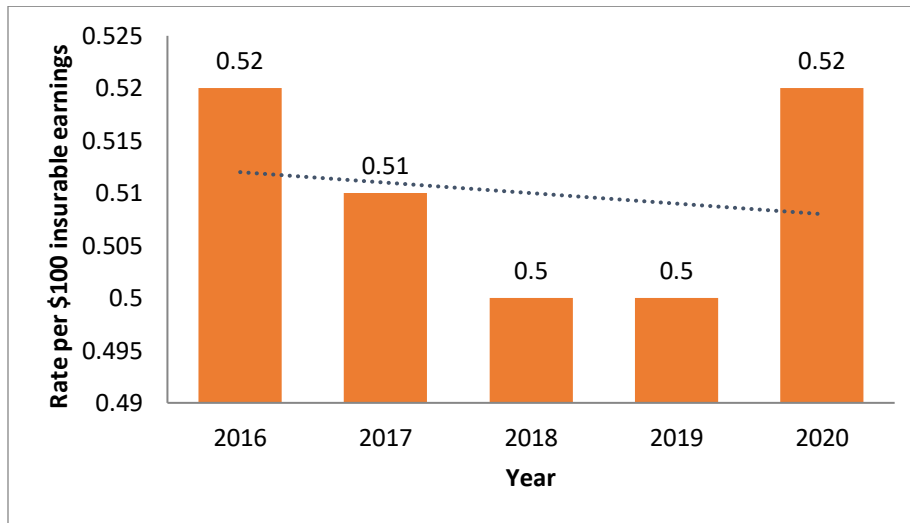
After being on a downward trend in 2017 and 2018, and stable for 2019, the University's personalized rate increased slightly for 2020. The 2020 rate was set at \$0.52 per \$100 of insurable payroll, compared to \$0.50 for 2019. All efforts to reduce workplace injuries and to reduce the total number of lost-time days, including temporary reassignment, help contribute to maintaining the cost of the university's CNESST program at a relatively stable level.

Quebec universities are part of the "Enseignement collégial ou universitaire, bibliothèque, laboratoire ou centre de recherche" sector. In 2020, the CNESST assigned those institutions who are not using a personalized insurance rate a general sector rate of \$0.59 per \$100 of payroll, up from \$0.58 in 2019. Concordia's personalized rate for 2020 (\$0.52) is significantly lower than the general sector rate for 2020 (\$0.59); the risk factor attributed to Concordia by the CNESST is lower than the average risk factor of other employers operating in the same sector. Compared to others in the sector, we are doing better. However, the pace at which the University's personalized rate is increasing is faster than the sector's rate. Our personalized rate was 37% lower than the sector rate in 2019, but only 25% lower in 2021. The diminishing gap may be due to several factors, including a compensation claim associated with asbestos exposure, and two claims in 2016 and two claims in 2017 that exceeded the maximum for an injury as per the University's chosen limit. The university will receive detailed data for 2019 towards early April 2021.

In 2019, the base contribution paid to the CNESST was \$1,379,050, calculated on the insurable payroll for 2019 (earnings up to \$76,500). In 2020, based on a slightly higher rate and higher insurable payroll,

the base contribution paid to CNESST was slightly higher at \$1,494,336*¹ based on insurable payroll (earnings up to \$78,500). These amounts, calculated using the University’s personalized insurance rate, only represents an approximation of the true cost of insurance. The true cost is only finalized four years following the year of the claim; this allows the CNESST to adjust the cost of insurance based on the severity of the compensation claims from any given year.²

Graph 12: Concordia’s Personalized Insurance Rate per Year



10. Lost-Time Days

A Lost-Time Work-Related Injury is defined as a work-related injury or illness that results in days away from work, other than the day of injury or the day the illness began. Lost-Time Days refers to the total number of calendar days employees are away from work due to a work-related injury or illness.

For the period of January 1 to December 31, 2020, there were 7 Lost-Time Work-Related Injuries which resulted in **290 Lost-Time Days**. See Accepted Worker Compensation Claims table in Section 9 for details.

Year	Lost-Time Days
2019 Q4 <i>Oct., Nov., Dec.</i>	0
2019 <i>Full Year</i>	174
2020 Q4 <i>Oct., Nov., Dec.</i>	95

¹ Note that this amount is an estimate based on disbursements in the financial system as the payroll report on actual insurable salaries for 2020 is not yet available (this information will be available by the end of February)

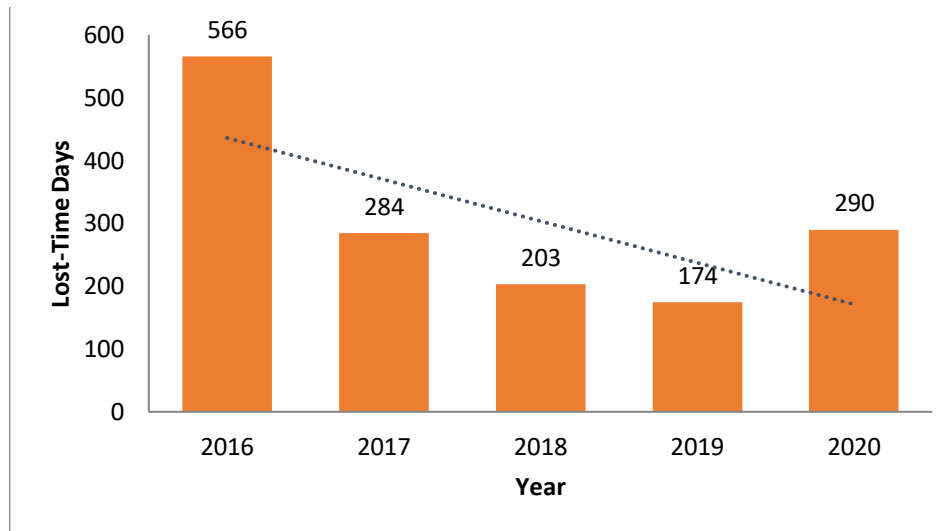
² Analysis provided by the Office of the Treasury

Year	Lost-Time Days
2020 <i>Full Year</i>	290

There was a 67% increase in Lost-Time Days in 2020 compared to 2019 despite a 48% decrease in Work-Related injuries in 2020 compared to 2019. All of the accepted worker’s compensation claims in 2020 included lost-time. A review of all the work-related injuries with compensation claims revealed that the injuries were more severe than in the past, requiring more time for the employees to return to work.

In 2021, EHS will launch a formal Return to Work program. A Return to Work program is a proactive, formal program that aims to help injured workers remain at work or safely return to suitable work while recovering from an injury. The Return to Work program is meant to protect employability and recognizes that even though a worker may not be able to do their original tasks (temporarily or permanently), they can still make a valuable contribution to the workplace. The program is part of the new injury management module that will be included in the first release of the UNITY project. A formal Return to Work program will help reduce the number of Lost-Time Days.

Graph 13: Total Lost-Time Days per Year



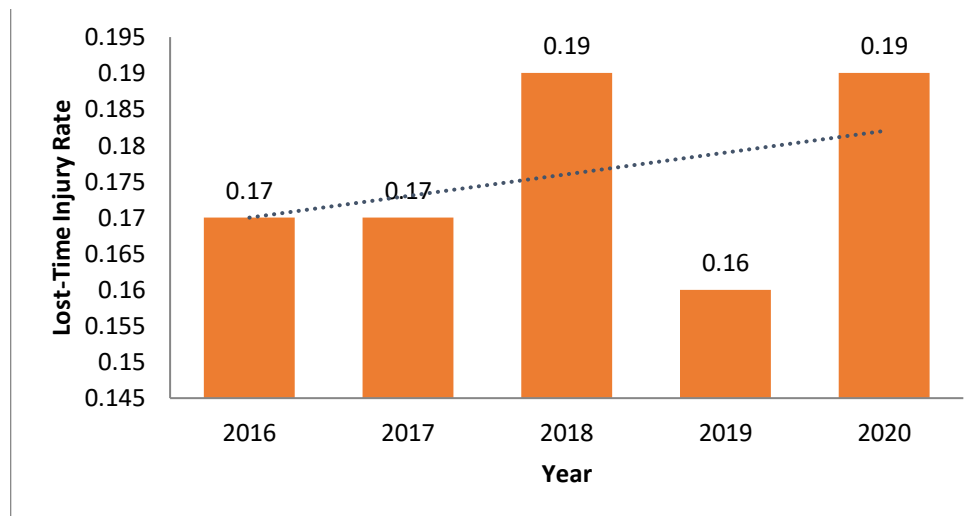
Lost-Time Injury Rate (LTIR)

The Lost-Time Injury Rate measures the occurrence of work-related injuries that resulted in an employee’s inability to work the next workday. It represents the number of lost-time injuries per 100 full-time employees in the stated period. The LTIR is calculated by multiplying the number of Lost-Time Work-Related Injuries by 200,000 labour hours and then dividing that number by the number of labour hours during that period. Therefore, 200,000 labour hours equate to 100 employees who work 40 hours per week 50 weeks per year. The calculated rate is per 100 employees.

Year	Lost-Time Injury Rate
2019 <i>Full Year</i>	0.16
2020 <i>Full Year</i>	0.19

The University's 2020 Lost-Time Injury Rate is 0.19 lost-time injuries per 100 full-time employees. 2020 was the fifth year that this data was collected; the 5-year average Lost-Time Injury Rate is 0.18 lost-time injuries per 100 full-time employees.

Graph 14: Lost-Time Injury Rate per Year



Lost-Time Day Rate (LTDR)

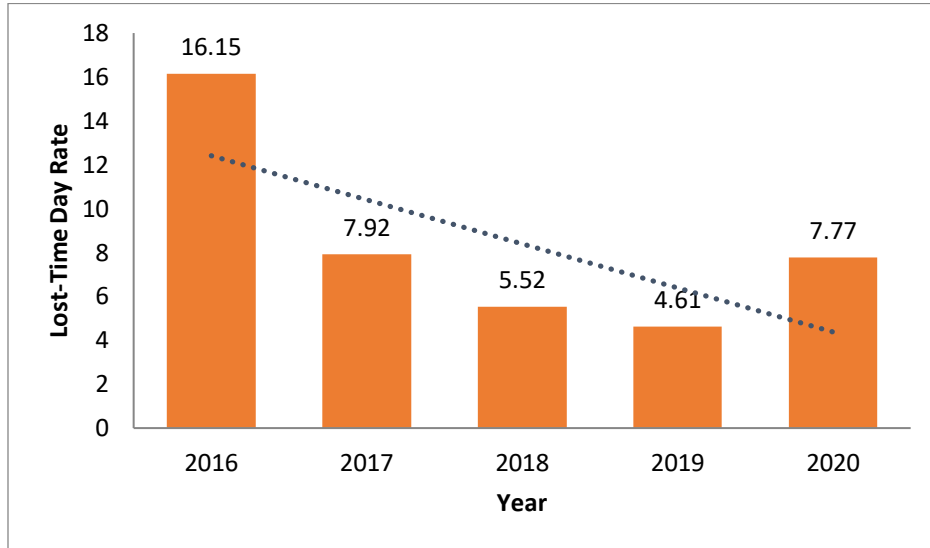
The Lost-Time Day Rate is a rate that measures the length of time an employee is away from work due to a work-related injury. It represents the number of lost-time days per 100 full-time employees in the stated period. The LTDR is calculated by multiplying the number of Lost-Time Days by 200,000 labour hours and then dividing that number by the number of labour hours during that period. Therefore, 200,000 labour hours equates to 100 employees, who work 40 hours per week, 50 weeks per year. The calculated rate is per 100 employees.

Year	Lost-Time Day Rate
2019 <i>Full Year</i>	4.61
2020 <i>Full Year</i>	7.77

The University's 2020 LTDR was 7.77 lost-days per 100 full-time employees. In 2020, for every work-related injury, an employee was more likely to have associated lost-time. 2020 was the fifth year that this data was collected; the 5-year average Lost-Time Day Rate is 8.39 lost-days per 100 full-time

employees. Although the LTDR was higher in 2020 compared to the last 4 years, the overall 5-year trend continues to be decreasing.

Graph 15: Lost-Time Day Rate per Year



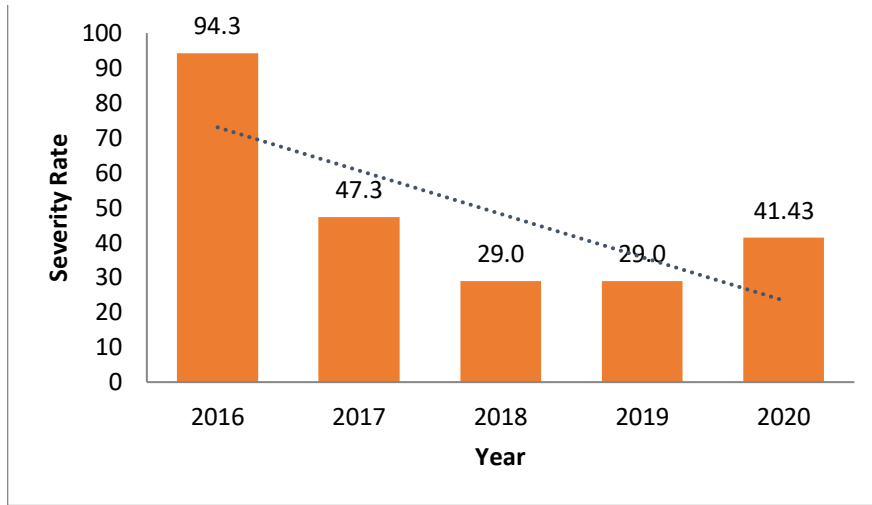
Severity Rate

The Severity Rate provides an average of the number of Lost-Time Days per Lost-Time Work-Related Injury. The Severity Rate is calculated by dividing the total number of lost-time days by the total number of work-related injuries with lost-time. The Severity Rate is a cumulative rate calculated at the end of each quarter.

Year	Severity Rate <i>average lost-time days per lost-time injury</i>
2019 <i>Full Year</i>	29.0
2020 <i>Full Year</i>	41.4

The University’s 2020 Severity Rate was 41.4; this is the average number of lost-time days per lost-time injury. As stated earlier, the injuries sustained by employees in 2020 were more serious and is illustrated by the Severity Rate. The 5-year average Severity Rate is 48.2, still heavily influenced by the 2016 Severity Rate, but the 5-year trend is decreasing.

Graph 16: Severity Rate per Year



11. Near-Misses

A Near-Miss is the occurrence of an event on university property, arising out of, or in the course of, a university-sanctioned activity attributable to any factor that could have caused either an injury or material damage. For example, events such as tripping on a stair or slipping in a water puddle, where no injury occurred, would be categorized as a near-miss. As per the University’s Policy on Injury Reporting and Investigation (VPS-42), reporting of near-miss is required. Traditionally, near-misses go unreported because no injury has occurred. Steps have been taken to encourage near-miss reporting, including discussing the importance of near-miss reporting at safety committee meetings, during safety training and new Principal Investigator orientation sessions.

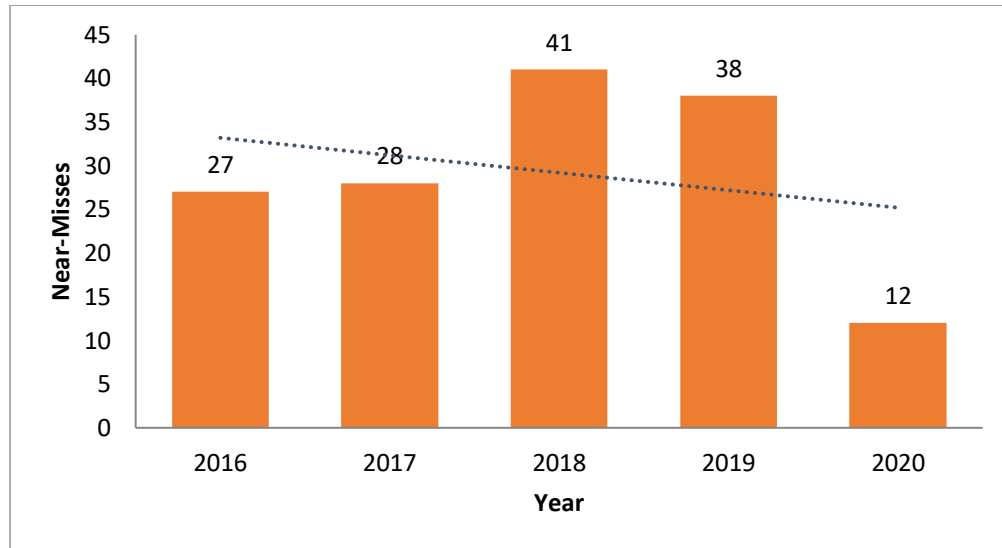
For the period of January 1 to December 31, 2020, a total of **12** Near-Misses were reported, of which 2 were from Q4. Compared to 2019, there was a 68% decrease in reported Near-Misses in 2020.

Year	Near-Misses
2019 Q4 <i>Oct., Nov., Dec.</i>	13
2018 <i>Full Year</i>	38
2020 Q4 <i>Oct., Nov., Dec.</i>	2
2020 <i>Full Year</i>	12

Near-Misses are also traditionally underreported since employees do not often see the relevance of reporting a Near-Miss. Near-Miss reporting is correlated to the safety culture of the institution. Given that the number of people on campus dropped significantly due to the pandemic, there was an expected drop in the number of reported near-misses. The 5-year trend for reported near-misses is decreasing, with a 5-year average of 29 Near-Miss reported per year. Pre-pandemic, this decreasing

trend would have been a concern, an indicator that the University’s safety culture was wavering. However, given the pandemic, the decrease in 2020 is of less concern.

Graph 17: Total Number of Near-Misses per year



12. External Inspections

External inspections refer to inspections or audits of University premises or safety programs conducted by government agencies or third parties (e.g., insurance provider). Third-party audits include those performed at the request of Environmental Health & Safety. These inspections and audits ensure that the University’s activities and facilities comply with all applicable legislation and regulations.

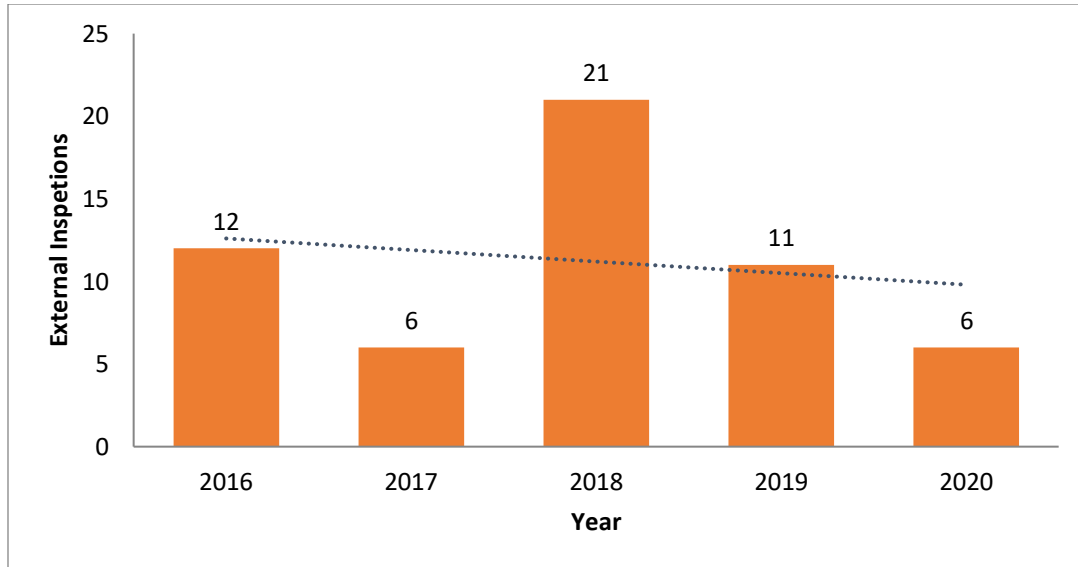
For the period of October 1 to December 31, 2020, there were **2** external inspections by the CNESST that occurred on October 2 and 19. Both CNESST inspections were follow-up inspections related to the machine safety initiative. During the October 19 inspection, the inspector noted 23 non-compliance issues (see Section 13). The 2020 total number of external inspections was 6, a 46% drop compared to 2019.

Year	External Inspections
2019 Q4 <i>Oct., Nov., Dec.</i>	4
2019 <i>Full Year</i>	11
2020 Q4 <i>Oct., Nov., Dec.</i>	2
2020 <i>Full Year</i>	6

Summary of 2020 Regulatory Inspections

- 5 CNESST follow-up inspections related to their machine safety initiative that began in 2018, and
- 1 request from the Public Health Agency of Canada’s Centre for Biosecurity to provide information regarding Concordia researchers who domestically transferred human or animal pathogens or toxins

Graph 18: Total Number of External Inspections per year



CNESST Inspections

As of December 31, 2020, a total of 150 non-compliance citations were received over the last 3 years from the CNESST initiative to verify the university’s compliance with machine safety regulations. As of December 31, 2020, 124 of the 150 the non-compliance citations (83%) were corrected. 23 non-compliance citations from the October 19, 2020 inspection remain to be corrected as well as 3 outstanding non-compliance citations from previous inspections for specialized machines. It is important to note that the 3 non-compliant machines have been locked out by EHS and are not in use since the inspection when the non-compliance was identified. Due to the complexity of the machinery, finding suitable machine guarding solutions has been challenging.

13. Regulatory Citations

The University may receive regulatory citations for non-compliance with federal, provincial or municipal laws, regulations or by-laws. Regulatory citations can be the outcome of government inspections or interventions (e.g., CNESST, Public Health Agency of Canada, Canadian Nuclear Safety Commission) or violations of regulations and by-laws (e.g., false fire alarm citation from the *Service de sécurité incendie de Montréal*). This metric tracks the total number of regulatory citations received by the University.

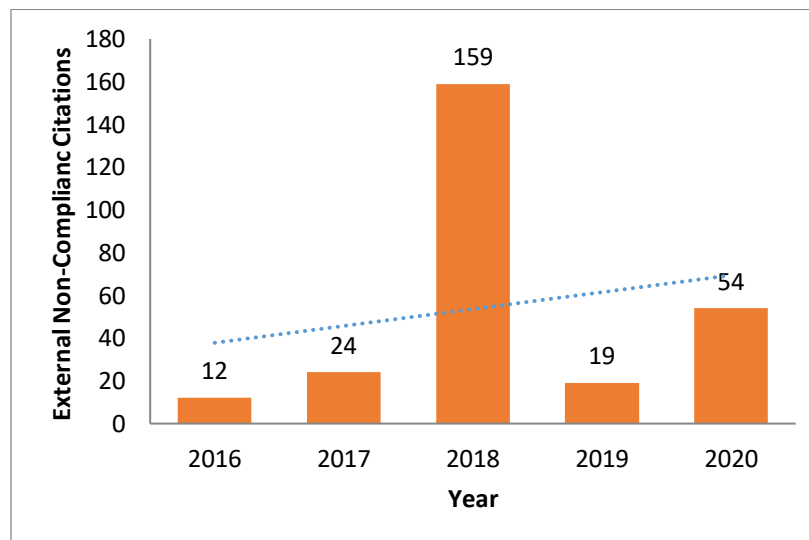
For the period of October 1 to December 31, 2020, the university received **24** regulatory citations. One citation was from the *Service de sécurité incendie de Montréal* associated with a false fire alarm and the remaining 23 were associated with the October 19, 2020 CNESST Inspection (See Section 12).

The 2020, 49 of the regulatory non-compliance citations from CNESST inspection, representing 91% of all regulatory citations.

Year	Regulatory Citations
2019 Q4 <i>Oct., Nov., Dec.</i>	4
2019 <i>Full Year</i>	19
2020 Q4 <i>Oct., Nov., Dec.</i>	24
2020 <i>Full Year</i>	54

The 5-year trend in regulatory citations is increasing, however it is heavily influenced by the 2018 CNESST initiative to improve compliance with machine safety and guarding regulations. The 2018 initiative continued to have an impact in 2020, with follow-up inspections resulting in new non-compliance citations.

Graph 19: Regulatory Citations per Year



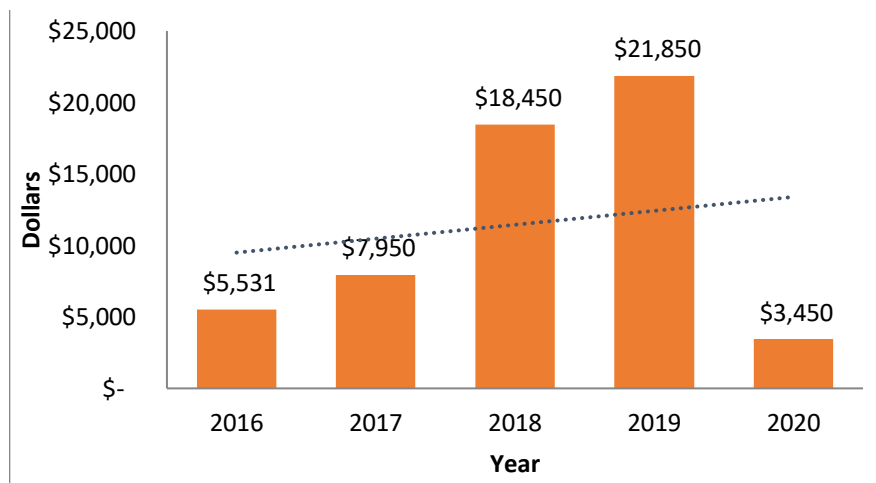
14. Regulatory Fines

Regulatory Citations (Section 13) may have associated monetary fines or penalties that are issued to the University.

For the period of October 1 to December 31, 2020, Concordia receive 1 regulatory fine from the *Service de sécurité incendie de Montréal* associated with a false fire alarm that occurred during the quarter; the value of those fines was **\$2,700**. The total value of regulatory fines paid in 2020 was \$3,450, a significant decrease (84%) compared to 2019.

Year	Fines Received
2019 Q4 <i>Oct, Nov, Dec</i>	\$2,950
2019 <i>Full Year</i>	\$21,850
2020 Q4 <i>Oct, Nov, Dec</i>	\$2,700
2020 <i>Full Year</i>	\$3,450

Graph 19: Regulatory Fine Received per Year



15. Hazardous Materials Emergency Responses

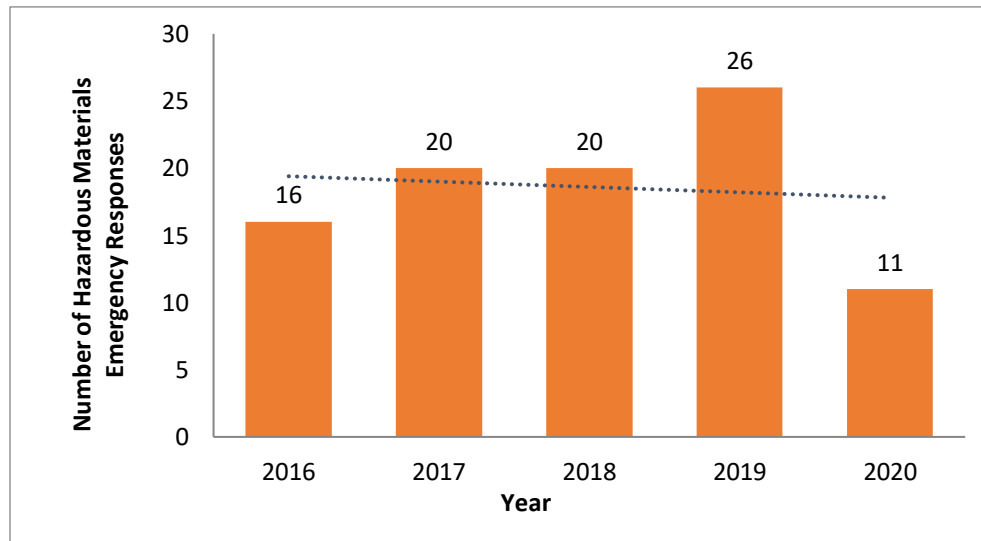
The University's Hazardous Materials Emergency Response Team responds to hazardous material emergencies that occur on university premises, including spills and odours. Service providers are called upon to assist when a major spill occurs and additional resources are required.

For the period of October 1 to December 31, 2020, there was **1** hazardous materials emergency response by the Hazardous Materials Spill Response Team. In 2020, there were a total of 11 hazardous emergency responses, a 58% decrease compared to 2019. The dramatic drop can also be linked to the pandemic, given that it caused a significant decrease in activity on the university's campuses.

Year	Hazardous Material Spill Responses
2019 Q4 <i>Oct., Nov., Dec.</i>	5
2019 <i>Full Year</i>	26
2020 Q4 <i>Oct., Nov., Dec.</i>	1
2020 <i>Full Year</i>	11

The previously increasing trend in the number of hazardous materials emergency responses by the University's Hazardous Materials Spill Response Team has reversed, however influenced heavily, if not exclusively, by the pandemic.

Graph 20: Total Hazardous Materials Spill Responses per Year



BG-2021-2-D5



REPORT TO THE BOARD OF GOVERNORS

GRAHAM CARR
PRESIDENT AND VICE-CHANCELLOR

MARCH 2021

INTRODUCTION

Though encouraged by news from the Government of Quebec that universities can begin to reopen gradually, we have nonetheless announced that, for the most part, Concordia will continue to deliver **remote teaching and learning this summer**. This week we introduced a booking system that allows small numbers of students to access street-level spaces for group work for the balance of the semester. This is in addition to individual access that students have had to our libraries since September. The activities for which students can register are outside of course requirements and on a strictly voluntary basis. Health and safety conditions permitting, this summer students can also come on campus for teaching labs, courses or studio work where in-person attendance is imperative. We are also hoping to hold in-person final exams for some courses this summer. Given the evolving public health situation we, like other Montreal universities, have told our community that we anticipate that fall 2021 will be hybrid, with a mixture of remote and in-person learning.

In Concordia leadership news, our recently formed **Equity Office** – which was launched in October 2020 – appointed **Lisa White** as its inaugural Executive Director, effective May 1st. We're excited to welcome Lisa into this role, transitioning from her current function as Director of Concordia's Office of Rights and Responsibilities, where she has served in different capacities since 2013. Lisa is an ideal candidate with deep knowledge and expertise in applying and administering Concordia's Code of Rights and Responsibilities, possessing a strong focus on outreach and education. She has close to a decade of experience working to address issues of discrimination and equity within the university community.

Following the success of Concordia's first-ever virtual **Open House** last October, the winter 2021 undergraduate Open House took place online February 20th. More than 3,500 registrants from 138 countries participated in the virtual event, which allows prospective students to experience a bit of what Concordia has to offer, through virtual tours, live chats with faculty members and recruiters, presentations and Q&A sessions. An added benefit of a virtual Open House is that presentations and tours are available online for a month following the event.

For the sixth time in as many years, Concordia was named a **top Montreal employer**. We are proud to be among a small number of enterprises to have made the list every year since 2016.

TEACHING, RESEARCH, INNOVATION

Mohamed Amine Arfaoui (PhD candidate, Information and Systems Engineering) was awarded February's **Relève étoile Louis-Berlinguet** by the *Fonds de recherche du Québec – Nature et technologies* (FRQNT) in recognition of his article *Physical Layer Security for Visible Light Communication Systems: A Survey*, which was published in IEEE Communications Surveys and Tutorials.

Margaret Brehony (School of Irish Studies) and **Stéphanie Bertrand** (Milieux Institute) are the latest Concordians to receive **Marie Skłodowska-Curie Individual Global Fellowships** from the European Commission. The MSC Actions, as they are known, are among Europe’s most competitive and well-respected research grants. The program supports researchers at all stages of their careers, encouraging them to work abroad and make international connections. Margaret will spend two years of her MSC Actions fellowship at the School of Irish Studies under the supervision of **Gearóid Ó hAllmhuráin**, Johnson Chair in Quebec and Canadian Irish Studies, followed by a year at NUI Galway in Ireland. Her project examines the interrelated processes of Irish migration in the Atlantic World and white colonization strategies in the expanding slave society of 19th century Cuba. Stéphanie is researching the social function of virtual museums in collaboration with the Milieux Institute and Crete’s Institute for Computer Science.

The **Institute of Electrical and Electronics Engineers** made **Akshay Kumar Rathore** (Department of Electrical and Computer Engineering) a Fellow. At 41, he is the youngest Concordian to earn this highly coveted global distinction. It comes with a raft of opportunities for Akshay, such as participation in technical societies and candidacy for IEEE awards and medals.

The **International Association for Pattern Recognition** (IAPR) awarded its 2020 **King-Sun Fu Prize** to Concordia’s **Ching Yee Suen** (Department of Computer Science and Software Engineering). The honour celebrates pioneering research and exceptional contributions to handwriting recognition and document understanding in theory, practice and education.

The School of Graduate Studies led the **Global Impact Project** to glean better insight into the types of careers our PhDs pursue after graduation. The study tracks the career development and current employment of PhDs who earned their degree at Concordia between 2009 and 2019, and successfully located 92 per cent of our PhD graduates from that period. The results tell a compelling story of individuals pursuing rewarding careers in all sectors of society. As interdisciplinary artists, software developers, climate scientists and senior executives, Concordia PhDs are using their creative and critical capabilities to tackle some of today’s most pressing global challenges.

As part of **Black History Month**, Concordia’s Black Perspectives Office has been highlighting events taking place across the university that centre on Black viewpoints. The office has also been offering project funding to departments and units interested in hosting speakers from the Black community.

Concordia students in a Bachelor of Science program can now apply for a 24-credit **minor in science journalism**, which will begin in the fall. Students will have access to hands-on reporting and multimedia courses in the department, capped off with two dedicated courses in science journalism. The goal is to significantly enhance the communication skills of undergraduate science students at the university.

The Department of Journalism also offers **Projected Futures**, an intensive and experiential summer school that challenges participants to rethink how science is communicated with society. Its fourth edition will be held from July 12th to 16th. Graduate students in the program are exposed to the foundations of evidence-based science journalism and then asked to experiment to create new forms of scientific storytelling.

Concordia's **Institute for Investigative Journalism** launched its **Clean Water, Broken Promises** project, a collaborative investigation focused on water systems in Indigenous communities across Canada. The initiative involves 75 students from 10 universities and colleges nationwide as well as nearly two dozen journalists from six news outlets. About 30 articles are being released from collaborators APTN News, *Global News*, *Le Devoir*, the *Saskatoon StarPhoenix*, *Canada's National Observer* and *The Tyee*. The investigation is based on standardized interviews with water operators developed by the IJ and its collaborators. Between January and March 2020, 75 students from 10 universities and colleges reached out to approximately 600 First Nations communities in Canada. Individuals responsible for water systems in 122 of those communities responded through in-depth, standardized interviews. In those interviews, about half of water operators said they are managing an ongoing challenge, from frequent boil-water advisories to plants whose capacity was inadequate to meet community needs.

After a successful pilot year, the **Connect Concordia** student-staff mentorship program continues to see a rise in participation. Roughly 40 pairs have now taken part in the program. Third-year communication studies undergraduate student **Emily Andrews** started Connect Concordia in fall 2018. Connect Concordia allows students to be in touch with people who work at the university while also allowing staff to benefit from students' perspectives. The initiative is supported by the Sustainability Action Fund, Concordia Council on Student Life, the Faculty of Arts and Science, and now is in partnership with the Student Success Centre.

In June 2020, the *Ordre des comptables professionnels agréés du Québec* re-accredited the 30-credit **John Molson Graduate Diploma in Chartered Professional Accountancy** until June of 2025. The news of the official re-accreditation was transmitted in December of 2020, hence the announcement being made to the community only now.

The 13th annual **John Molson Undergraduate Case Competition** was run entirely online this year, between February 28th and March 6th. The competition hosted 150 participants from 28 schools and 13 countries.

Tangible Media Studio is a new course taught by **Alice Jarry** (Department of Design and Computation Arts) in partnership with Montreal computation arts company, VYV. Students in the winter 2021 course will learn how to design multimedia installations, benefitting from access to both VYV's expertise and their advanced imaging and digital arts design technologies. Class projects will be designed with specific Montreal locations in mind and students will be able to work

with VYV's partner institutions, including such major cultural institutions as the *Quartier des Spectacles*, the *Société des Arts Technologiques* and the *Grande Bibliothèque de Montréal*.

Concordia Continuing Education (CCE) is designing a new training program for the digital industry sector. The project's funding comes from the City of Montreal's *Accélérer les talents initiative*. CCE will develop a training program in the IT sector with a specific focus on user experience and user interface (UX/UI) design. Like the cyber-resilience program, the new training program aligns with the city's strategic sector focus on the digital industry and will help fill the gaps where talent from a qualified workforce is required in this emerging sector.

The Concordia-led **Landscape of Hope** initiative received nearly **\$430,000** to significantly expand its work researching hate speech and discrimination in Quebec. The funding comes from three sources — the *Fonds de recherche du Québec*, Canadian Heritage and the Michaëlle Jean Foundation. It will enable the transdisciplinary team to hold workshops, create installations and performative events around Montreal in collaboration with marginalized communities, including Black and racialized youth, and in Chicoutimi, Quebec, with Indigenous community partners. Landscape of Hope co-founder **Vivek Venkatesh** is the UNESCO Co-Chair in Prevention of Radicalisation and Violent Extremism, Director of Concordia's Centre for the Study of Learning and Performance and professor of inclusive practices in visual arts in the Department of Art Education.

The **Concordia Library Researcher-in-Residence** 2021-2022 call for applicants is now open. The program was created to promote the conduct of research in the library and the use of research by practitioners. The program offers the opportunity for librarians, archivists, scholars, or doctoral students to focus on an area of inquiry in a supportive and enriching environment, and to interact with Concordia Library staff and resources. The call closes March 19th, 2021.

The call for applicants for an **Indigenous student librarian** recently closed and a successful candidate will be announced in the spring of 2021. The program offers the opportunity for an Indigenous student to work part-time as a student librarian (or archivist) at Concordia Library, while pursuing a master's degree in information studies at either McGill University or *Université de Montréal*.

The **Library Special Collections** reopened for research on January 19th to Concordia students, faculty and staff. The reading room is open by appointment three days per week (Tuesday through Thursday) for two separate shifts (9 a.m. to 12 p.m. and 1 p.m. to 4 p.m.). In order to ensure proper distancing, only one researcher will be able to reserve a space in the reading room at a time.

In an effort to support student success while promoting university-wide initiatives and research-creation projects, **4TH SPACE** partnered with the Concordia University Centre for Creative Reuse (CUCCR), the Curating and Public Scholarship Lab (CaPSL) and the Studio Arts MFA program to activate a series of live events. CUCCR's weekly making sessions invited community members to learn about creative reuse through experiential learning activities; CaPSL's major international

residency project brought together over 300 participants to experience a virtual exhibition and conversation series centered on questions of Caribbean identity, migration, and water; and each MFA stream found fun and creative ways to walk potential students, established artists and other art world professionals through their research practices.

PERFORM held “Engaging performance audiences as listeners of a restorative justice process in the context of sexual abuse” with guest speaker **Luis Sotelo Castro**, Associate Professor, Department of Theatre, on February 24th. **Emily Coffey**, Department of Psychology and PERFORM research member, also gave a brief talk on her research. PERFORM hosted “Wearable Sleep Technologies: Toward Pervasive Health Management” with guest speaker **Mohamad Forouzanfar**, *École de technologie supérieure*, on March 10th. **Christophe Grova**, Department of Physics and PERFORM research member, also gave a brief talk on his research.

On February 11th, the **Leonard and Bina Ellen Art Gallery** re-opened to the public with the exhibition *Going to, Making Do, Passing Just the Same* by artists **Edith Brunette** and **François Lemieux**. The gallery launched the online version of Sightings. *Sightings 31 What is a weed?* is a collaborative project by **Eve Tagny** and **Io Makandal** that aims to challenge Western perceptions of and relationships with nature. Since the month of April, the gallery has organized more than 19 online events and launched the recurrent semi-annual program, “Terms.” One term each year will be addressed from two different angles in two editions. The term for 2020-21 is “vulnerability.” Also at the Gallery, on February 8th was the launch of the publication **Vincent Meessen. Blues Klair**, a 312-page fully illustrated bilingual book with essays by six different authors on the project Blues Klair that investigates the presence of colonialism in modernity.

SERVICES AND SUSTAINABILITY SECTOR

An **equity census** was launched in collaboration with the Office of the Provost in order to help Concordia achieve its goal to see all members of the community not only reflected, but welcomed, included and supported in their efforts to contribute to all areas of university life. This census will also allow Concordia to meet its government reporting obligations to the *Commission des droits de la personne et des droits de la jeunesse* (CDPDJ).

The **Employee Assistance Program** (EAP) was extended to August 31st, 2021 for those who do not have access to insured health benefits.

In February the university launched mandatory **cybersecurity training** for all staff and faculty members.

The **Sustainability Living Lab** has been launched through a partnership with the Sustainability Action Fund (SAF) for the Sustainability Living Labs Funding Program. The University will be contributing \$40,000 towards projects, which will be matched by the SAF. A targeted stakeholder

consultation will take place pertaining to Concordia's needs and capacities to build a supportive framework for multi-stakeholder sustainability projects at the university.

In solidarity with individuals experiencing food insecurity, Hospitality's Food Services and Aramark will participate in an event titled "**Cuisine Solidaire**" with *La tablée des chefs* in March, with the goal of preparing 1,000 meals to distribute to shelters. Out of those 1,000 meals, Hospitality is seeking to provide 350 meals to Concordia students experiencing food security issues.

Renovation upgrades to all 53 bedrooms (showers and heating units) in the **Jesuit Residence** on Loyola Campus are complete.

UNIVERSITY ADVANCEMENT

The **Rossy Foundation** made a gift of **\$350,578** to support the Institute for Investigative Journalism's (IJ) "State of Surveillance" project. The project will include research and interviews led by journalism students and other collaborators on the topic of data privacy.

The IJ also received a **\$162,089** grant from **Google's GNI Innovation Challenge** to create a data hub. This searchable, user-friendly platform will serve as a digital repository for data sets, analyses, maps, access to information requests, sources, interview transcripts and other information acquired over the course of the IJ's work.

A **\$150,000** gift from the **Jean-Paul Riopelle Foundation** will establish the Jean-Paul Riopelle Foundation Fund at Concordia's Centre for Oral History and Digital Storytelling (COHDS). The fund will support an innovative and multi-channel project, driven by top students, which will celebrate Jean-Paul Riopelle's life and artistic legacy.

Mitchell Kendall made a gift of **\$115,000** to create the Nicole and Mitchell Kendall Endowment in support of the Nicole and Mitchell Kendall Bursary. The bursary supports female undergraduates at Concordia who are residents or former residents of On Our Own, a not-for-profit community organization that provides subsidized housing, programs and services for young parents.

The **Naim S. Mahlab Foundation** gave **\$100,000** towards the Naim Mahlab Fellowships Endowment, which supports students enrolled in Jewish and Israeli Studies, and the Student Emergency and Food Fund.

Brian Neysmith, BSc 66, former Board of Governors member, has made another **\$75,000** gift to fund the Carolyn and Brian Neysmith Graduate Fellowships. Brother **John Neysmith**, BComm 68, BA 72, a student mentor, dedicated volunteer and long-time donor gave an additional **\$50,000** to the Neysmith Family Undergraduate Bursaries.

Tulsi N. Mirchandaney, AMBA 00, gave **\$50,000** to her Tulsi Nowlakha Mirchandaney Endowment, which supports students enrolled in Supply Chain Operations Management at the John Molson School of Business.

An anonymous donor gave **\$50,000** to support the varsity men’s hockey program at Concordia.

Ralph J. Zarboni, BComm 73, gave **\$44,659** towards his bursary endowment for students enrolled in commerce or engineering.

Engineer, inventor and entrepreneur **Robert A. Walsh**, BSc 63, LLD 09, has doubled his commitment to students enrolled at the Gina Cody School with a gift of **\$40,000** towards the Robert Walsh Entrance Scholarship in Engineering and Computer Science.

Gabriel Safdie, BA 64, established the Gabriel Safdie Award in Creative Writing with a gift of **\$30,000**. The award will encourage full-time undergraduate students enrolled in the Major in Creative Writing or the Honours in English and Creative Writing program at the Faculty of Arts and Science.

With a **\$30,000** gift, the Steve Hon-Ying Seto Scholarship has been established by **Ben H. Szto** in memory of his brother Steve Hon-Ying Seto, BSc 78, MSc 82, to support undergraduate students in the Department of Chemistry and Biochemistry.

The Shirley Reed Graduate Scholarship, the result of a newly established partnership with the **Tenaquip Foundation**, will provide two Painting and Drawing MFA candidates with **\$15,000** each, over two years. Founded by Shirley Reed in honour of her late husband Kenneth George Reed, the Tenaquip Foundation has donated over \$20 million since 2006 towards causes such as children’s welfare, homelessness, medical research and poverty.

Paul Pathy made a gift of **\$25,000** to support two athletic therapy awards named in honour of Concordia Physio Sport co-founders Dave Campbell, BSc 78, and Ron Rappel, BSc 85.

A gift of **\$25,000** by **Select Vantage Inc.** will support both undergraduate and MBA case competition programs at the John Molson School of Business. Select Vantage’s CEO and president, **Daniel Schlaepfer**, MBA 08, was named to both Concordia’s 50 Under 50 Shaping Business and Canada’s Top 40 Under 40 lists in 2019.

In community engagement news:

The first event of 2021, an Alumni Career Services initiative with Concordia Continuing Education, featured speaker **Vesna Pankovska**, GrCert 09, on the topic of “Communicating with emotional intelligence.” The seminar was attended by 300 guests.

A second event held in January aimed to support the **professional development of Black students**. Led by student ambassadors and sponsored by the **Black Alumni Network**, the event featured alumni speakers and industry recruiters. More than 200 people registered, with 166 total guests in attendance, 146 of whom were made up of alumni, staff and students. Participants included 52 alumni, 68 students, 11 company recruitment booths and 46 friends of Concordia. Students, alumni and professionals alike were engaged with the content as it was delivered and were active on social media, in the chat box and in the mentorship breakout rooms throughout the course of the event.



**BOARD OF GOVERNORS
OPEN SESSION
Meeting of March 10, 2021**

AGENDA ITEM: Finance Committee recommendation regarding revisions to *Procurement Policy* (CFO-20)

ACTION REQUIRED: For approval

SUMMARY: The Finance Committee reviewed revisions to the *Procurement Policy* (CFO-20) at its meeting of January 14, 2021 and is recommending Board approval thereof.

BACKGROUND: CFO-20 was last revised in 2013. The proposed revisions aim to achieve a comprehensive structure focused on clarity, transparency and user experience. The highlights of the main revisions are detailed in the attached presentation.

DRAFT MOTION: That, on recommendation of the Finance Committee, the Board of Governors approve the revisions to the *Procurement Policy* (CFO-20).

PREPARED BY:

Name: Danielle Tessier
Date: February 9, 2021



New Procurement Policy – CFO-20

Board of Governors

March 10, 2021



Objectives

- More flexibility and autonomy for end-users for procurements under the public tendering threshold.
- Integrate best practices and sustainable vision for the management of procurement activities.
- Improved agility, efficiency and quick processes for low value procurements.
- Reallocation of resources to strategic activities (master contracts, high risk, highly-regulated procurements).
- Standardized processes with clear guidelines.
- Process enhancements to leverage UNITY (SAP/ARIBA) best-in-class functionalities.
- Continued compliance with applicable legislation.
- Controls and Processes by Procurement Services in case of non-compliance.

Key pillars

A) User Experience and Processes

- A comprehensive structure focused on clarify, transparency and user experience.
- Clarification of authorized procurement channels. Incorporating catalogue buying in ARIBA.
- Cooperation with other public organizations will be increased.

B) Governance

- Clarifying roles, responsibilities and accountabilities of Procurement Services and key stakeholders involved in the procurement cycle.
- Exceptions to policy process documented

Key pillars

C) Legal and Compliance

- Explaining the role of the RARC (Responsable de l'application des règles contractuelles). The RARC is accountable for the University's compliance with contract rules prescribed by LCOP and the regulations, policies and directives under LCOP (Loi sur les contrats des organismes publics). The CFO is the RARC for Concordia.
- Addition of new legislative requirements such as the AMP (*Loi sur l'autorité des marchés publics*) and associated processes relating to vendor complaints during the procurement process.
- Monitoring and addressing non-compliance to policy such as splitting of purchases and off-contract purchases.
- Use of standardized terms and conditions established by Legal Services.
- Process controls, supported by measures in case of willful and/or repeated non-compliance.

Ethical Procurement and Vendor Relations

New section on Ethical Procurement and vendor relations

Stronger focus on the following areas:

- Corruption and collusion in contract management processes. Includes awareness of new plan that was created Aug 2019 for monitoring of criteria for corruption and collusion in the contracting process.
- Conflicts of interest
- Segregation of duties
- New procedure for vendor complaints (AMP)
- Confidentiality of vendor information
- Fair competition
- Solicitation of vendors

Sustainability and social responsibility

New section on sustainability and social responsibility

We are encouraging procurement practices that support the following:

- Environmental protection and preservation
- Efficient, effective and ethical use and distribution of resources
- Supplier diversity – underrepresented groups
- Economic and social development
- Local procurement

The University will endeavour to procure Goods and/or Services from businesses with sustainable practices, businesses owned by members of Underrepresented Groups, local Vendors as well as small and medium-sized Vendors, the whole in compliance with University policies and procedures as well as with Public Procurement Laws.

Note: LCOP provides very limited capacity and agility regarding sustainability, social responsibility and local procurement.

Opportunity for procurements under the public tendering threshold (\$105,700)



Consultation and Next Steps

Consultation and Next Steps

Completed consultations - Internal

- Procurement Advisory Committee – Since Nov 2018
 - Regular consultations every 3 months with member on proposed policy changes.
- Gina Cody School Council – March 2020
- Research Advisory Group – March 2020
- Academic Cabinet – June 2020
- President's Executive group – June 2020

Completed consultations and validation – External

- Benchmark with other universities Procurement Policies:
 - McGill, Université Laval, Université de Montréal, University of Ottawa, UQAM, Université de Sherbrooke, University of Toronto, Western University, University of Alberta, Carleton University, Queen's University, McMaster University, University of Guelph, UWindsor.
 - Others: Metrolinx (Government of Ontario), Ontario Broader Public Sector Procurement Directive.
- Integration of Secrétariat du Conseil du Trésor framework and rules.

Approvals required

- Finance Committee – January 14, 2021
- Board of Governors – March 2021
- Implementation – May 2021



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PROCUREMENT POLICY

Effective Date: [insert date]

Approval Authority: Board of Governors

Supersedes /Amends: April 26, 2013

Policy Number: CFO-20

PREAMBLE

This Policy regulates the Procurement of Goods and/or Services (as such expressions are defined below) made by Concordia University (the “University”). The terms, guidelines and restrictions contained in this Policy and its related *Procurement Handbook* serve to ensure the efficient, sustainable, economical and ethical Procurement of Goods and/or Services while complying with the legislative and regulatory framework applicable to the University.

This Policy sets forth the following five principles, which collectively serve as the cornerstone for any Procurement activity conducted by the University:

- **Accountability** – The University is Accountable (as defined below) for regulating Procurement activities in reference to federal and provincial laws and directives, and for the results of Procurement decisions.
- **Transparency** – All stakeholders have equal access to information on Procurement opportunities, activities and results.
- **Service excellence** – Procurement Services is focused on delivering high-quality service to all stakeholders throughout the Procurement cycle. This includes, without limitation, setting quality service standards, timely and transparent communications, employee training and support for the University.
- **Continuous improvement** – Procurement Services is dedicated to continuously improving Procurement operations, as well as promoting leading practices among employees and organizations involved in Procurement activities.
- **Compliance and ethics** – When conducting Procurement activities, the University is committed to acting with integrity and observing its legal and ethical framework at all times, based on expertise, fairness and reliability.

PROCUREMENT POLICY

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PURPOSE

Procuring Goods and/or Services is fundamental to the University's operations. These Procurements must be made in compliance with the legislative and regulatory framework and in accordance with best administrative practices. Therefore, the purpose of this Policy is to:

- ensure that publicly funded Goods and/or Services are acquired by the University through a Procurement cycle that is open, fair and transparent;
- outline responsibilities of Employees (as defined below) and Procurement Services throughout the Procurement cycle; and
- ensure that the Procurement cycle is managed consistently throughout the University.

SCOPE

This Policy and its *Procurement Handbook* applies to Goods and/or Services acquired by all faculties, departments and units of the University and to all Employees of the University. Employees who acquire or wish to acquire Goods and/or Services must be duly authorized to do so by their faculty, department or unit.

The following contracts and/or third-party transactions are out of the scope of this Policy:

- any agreement which is not a Procurement Contract (as defined below);
- the lease or rental of immovable property as well as any real estate transaction;
- any expenses incurred by an Employee for the University's operations, which are governed by the *Travel and Conference Policy* ([CFO-3](#));
- any other contract and/or third-party transactions identified as out of scope of this Policy in the *Procurement Handbook*.

This Policy must be interpreted in accordance with the other relevant University policies.

PROCUREMENT POLICY

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DEFINITIONS

For the purposes of this Policy, the following definitions shall apply:

“Accountable” means having to answer for and justify decisions for work, action or failure to act.

“Bidder(s)” means a Vendor (as defined below) who submits, or intends to submit, a bid in response to a call for tenders.

“Co-operative Procurement(s)” means an acquisition for the supply of Goods and/or Services through the *Centre d’acquisitions gouvernementales, Infrastructures technologiques Québec* or any other group purchasing organization.

“Competitive Procurement” means a set of procedures used to acquire Goods and/or Services through a bidding process.

“Competitive Tendering Threshold(s)” means the total dollar value of a Procurement (including the value of any renewal options but excluding taxes) at which a Competitive Procurement is required, as determined in the *Procurement Handbook*.

“Consulting Services” means professional, expert or strategic advice services provided by a Vendor under an agreement.

“Contract Owner(s)” means the individual that manages a Procurement Contract as outlined in the *Procurement Handbook*.

“Delegated Unit(s)” means a unit of the University to which Procurement Authority (as defined below) has been delegated by Procurement Services.

“Goods and/or Services” means any good or service, including, but not limited to, supplies, movable property and construction.

PROCUREMENT POLICY

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“Employee(s)” is deemed to include:

- a) any full-time, part-time or temporary employee of the University, including staff, faculty, postdoctoral fellows, researchers, members of the administration, stagiaires and interns;
- b) any physical or moral person engaged by the University on a consulting basis or in virtue of any other contractual agreement;
- c) any appointee (including volunteers) of the University; and
- d) any Governor, Director and/or Officer of the University.

“Non-Competitive Procurement” means a set of procedures used to acquire Goods and/or Services without a competitive bidding process.

“P-Card Transaction(s)” means the authorized Procurement Channel (as defined below) used to purchase Goods and/or Services without a Requisition (as defined below) through the University’s Procurement Card (“P-Card”).

“Procurement(s)” means an acquisition of Goods and/or Services made through the Procurement Channels authorized by Procurement Services.

“Procurement Authority” means the right to perform Procurement activities in compliance with this Policy.

“Procurement Channel(s)” means, without limitation, any authorized process, procedure, platform or application through which a Procurement is made.

“Procurement Contract(s)” means a binding agreement for the supply of Goods and/or Services, including, but not limited to, a contract entered into by the University and a Vendor or a purchase order.

“Public Call for Tenders” means a public Competitive Procurement where Vendors are offered the opportunity to provide bids for Goods and/or Services.

PROCUREMENT POLICY

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“Public Procurement(s)” means a Procurement whose total value (including the value of any extension option but excluding taxes) is equal or exceeds the Public Tendering Threshold (as defined below).

“Public Procurement Laws” mean all applicable laws and government regulations, policies, decrees and directives, including without limitation and when applicable, the [Loi sur les contrats des organismes publics, RLRQ, chapitre C-65.1](#) (the “LCOP”) and its associated regulations, the [Loi sur l’autorité des marchés publics, RLRQ, chapitre A-33.2.1](#) (the “LAMP”), and all laws, regulations, policies, decrees and directives applicable to Public Procurements.

“Public Tendering Threshold(s)” means the dollar value threshold determined by the government for a Public Call for Tenders, as outlined in the [Procurement Handbook](#).

“Regulated Goods” means any Goods and/or Services whose Procurement, receipt, storage, transfer, distribution, return, destruction or disposition is regulated by any federal or provincial government entity, including, without limitation, any controlled substances, goods and products, nuclear substances and radiation emitting devices, biological materials and undenatured alcohol.

“RENA” means the “*Registre des entreprises non admissibles aux contrats publics*”, being the register of businesses that are not admissible to public contracts adopted pursuant to the [Loi sur les contrats des organismes publics, RLRQ, chapitre C-65.1](#) (the “LCOP”). This register can be consulted [here](#).

“Requisition” means a request to initiate a Procurement.

“Responsible” means having the duty to complete a task.

“SEAO” means the “*système électronique d’appel d’offres*”, Québec government’s electronic tendering system.

“Underrepresented Groups” means groups whose representation in a community does not reflect local and national demographic diversity due to historic and systemic exclusion, including, but not limited to, women, Indigenous peoples, persons with disabilities and visible minorities.

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“Vendor(s)” means a physical person or a moral person, such as a company, that offers Goods and/or Services.

POLICY

Legislative Framework

1. All University Procurements must be made in compliance with Public Procurement Laws.
2. For the purposes of the LCOP, universities are deemed public bodies. The Public Procurement Laws provide for Public Procurement requirements for most Procurement Contracts and set out the procedures to follow, certain eligibility requirements of Bidders, certain conformity requirements of bids as well as the process for the adjudication of certain Procurement Contracts and reporting requirements, among others.
3. The Public Procurement Laws confer operational powers and decision-making authority directly to the Board of Governors (the “Board”) but allow the Board to delegate all or part of these powers.
4. Pursuant to the Board Regulation [BG-2008-10-D17](#), the Board has delegated the entirety of the powers that are conferred upon it by the LCOP and its associated regulations that it is empowered to delegate, to the President, or the relevant Vice-President and/or Secretary-General, the whole as outlined in the *Policy on Contract Review, Signing and Required Approvals (BD-1)*.

Procurement Services

5. Procurement Services, a unit of Financial Services, is Responsible and Accountable for the Procurement of Goods and/or Services on behalf of the University. Where it is more efficient or functional for certain units to perform their own Procurement activities, Procurement Services may delegate its Procurement Authority to such units. Delegated Units are Responsible and Accountable to perform all Procurement activities pursuant to, and in compliance with, this Policy and all Public Procurement Laws.
6. Procurement Services and Delegated Units are each Responsible and Accountable for the Procurements under their responsibility, including ensuring the University’s compliance

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with the reporting requirements of the Public Procurement Laws. Other units and departments are Responsible and Accountable for ensuring that Procurement records required for reporting purposes are available to Procurement Services at all times.

7. When the Procurement of Goods and/or Services is subject to regulations of an external funding agency, and such regulations are more restrictive than the present Policy, Procurement Services and any Delegated Unit must ensure that the Procurement of such Goods and/or Services complies with the regulations of such funding agency.

Roles and Responsibilities

8. Formal roles and responsibilities of Procurement Services and key stakeholders involved in the Procurement cycle are outlined in the [Procurement Handbook](#).

Procurement of Goods and/or Services

9. Goods and/or Services acquired with University funds must be for the sole benefit of the University.
10. Goods purchased with University funds are the property of the University. Unless specified otherwise by Procurement Services, Goods purchased with University funds must be delivered to the University premises.
11. Upon awareness of their needs, Employees are Responsible and Accountable for planning their Procurement, taking into account all steps of the Procurement cycle and all required approvals, including Board and governmental approvals, when appropriate.
12. Before initiating any Procurement, Employees must ensure that sufficient funds are available.
13. Any Procurement of Goods and/or Services on behalf of the University may only be made through the Procurement Channels authorized by Procurement Services in accordance with the [Procurement Handbook](#), and is subject to all applicable internal and/or governmental approvals. The use of any unauthorized means (including, but not limited to, the University corporate credit card or personal credit cards) to purchase Goods and/or Services on behalf of the University is prohibited.

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14. With the exception of construction, all Public Procurements must be processed by Procurement Services, in collaboration with the relevant units and/or departments.
15. Goods and/or Services identified as disallowed P-Card Transactions may not be purchased through the University's P-Card, in accordance with the [P-Card Guidelines](#) set by the University.
16. Regulated Goods must be procured through a purchase order, in accordance with the [Procurement Handbook](#).
17. The University's P-Card must be used exclusively for Procurements that have a valid University business purpose. In no circumstance can the P-Card be used for expenses or personal purchases. Employees must ensure that P-Card Transactions are managed in conformity with the [P-Card Guidelines](#) set by the University and/or by the relevant funding agencies, and that sufficient funds are available for such Procurements.
18. The University has Procurement Contracts in place with Vendors for certain recurring Goods and/or Services. Before making any Procurement, Employees must verify if any Procurement Contract is available for the required Goods and/or Services and must purchase these Goods and/or Services through such Procurement Contract, in accordance with the [Procurement Handbook](#).
19. Whenever possible, Procurement Services will promote and develop Co-operative Procurements to reduce the cost of Procurements. Employees must honour the commitments and comply with all Procurement Contracts entered into by the University, including Procurement Contracts resulting from Co-operative Procurements.
20. It is expressly forbidden to split or segment any Procurement (e.g. splitting a single Procurement into multiple Procurements) in order to circumvent regulatory requirements including, but not limited to, Competitive Tendering Thresholds and/or Public Tendering Thresholds.
21. The Procurement of Consulting Services is subject to the guidelines and requirements outlined in the [Procurement Handbook](#).

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Ethical Procurement

22. Whenever engaging in Procurement activities, Employees are expected to comply with the policies, guidelines and restrictions set by the University with respect to the risks of corruption and collusion in contract management processes.
23. Where Employees have knowledge of a conflict of interest, as such term is defined in the *Policy on Conflict of Interest* ([BD-4](#)), with an existing or potential Vendor of the University, they must report such conflict of interest in accordance with the *Policy on Conflict of Interest* ([BD-4](#)) or the *Policy on Conflicts of Interest in Research* ([VPRGS-5](#)), as applicable.
24. Responsibilities for Requisition, Procurement and payment activities must lie with different departments or, at a minimum, with different individuals. When it is not feasible to segregate such activities, adequate compensating controls approved the Associate Vice-President, Financial Services and Controller must be implemented.
25. Employees must not discriminate or exercise preferential treatment in awarding a Procurement Contract to a Vendor.
26. Privileged Vendor information must be treated in strict confidence, preserved securely and used exclusively for the purpose for which the information was provided. This includes, but is not limited to, prices and pricing methods, bidding strategies, Procurement Contract terms and conditions, technology, specifications, drawings and know-how.

Vendor Relations

27. Employees are expected to maintain relationships with Vendors in a manner that contributes to and promotes fair competition in the market and protects the interests and reputation of the University.
28. Soliciting Vendors for donations, sponsorship or charity must be made in accordance with applicable University policies and guidelines.

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29. In accordance with the Public Procurement Laws, the University has issued a [procedure for handling vendor complaints](#). This procedure covers Vendor complaints filed by a Vendor during a Public Procurement.
30. Where the University has established standards of ethical, social and environmental conduct, all Vendors are expected to comply with these standards throughout their own business practices.

Sustainable Procurement and Social Responsibility

31. Employees should take into account the guiding principles and commitments stated in the *Sustainability Policy (BD-7)* as related to their activities at the University, the whole in compliance with Public Procurement Laws.
32. Whenever engaging in Procurement activities, Employees are encouraged to favour the use and distribution of resources in an efficient, effective and ethical manner, support social rights extended to all people, encourage vendor diversity and leverage opportunities for the protection and preservation of the environment, the whole in compliance with Public Procurement Laws.
33. When it is in the best interests of the University to do so and when acceptable Goods and/or Services are readily available at competitive prices and comparable quality and service, the University will endeavour to procure Goods and/or Services from businesses with sustainable practices, businesses owned by members of Underrepresented Groups, local Vendors as well as small and medium-sized Vendors, the whole in compliance with University policies and procedures as well as with Public Procurement Laws.

Approvals and Controls

34. No commitment may be made, either verbally or in writing, by individuals who do not have signing authority in accordance with the *Policy on Contract Review, Signing and Required Approvals (BD-1)*.
35. Only individuals with signing authority in accordance with the *Policy on Contract Review, Signing and Required Approvals (BD-1)* may sign a Procurement Contract or any amendment thereto.

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36. The University's Contract Rules Compliance Monitor (Responsable de l'Application des Règles Contractuelles or "RARC") is Accountable for the University's compliance with Public Procurement Laws and for ensuring the integrity of the Procurement cycle.

Competitive Procurement

37. Competitive Procurement aims to obtain the best value for the University while enhancing access, competition and fairness. Employees must utilize Competitive Procurement in accordance with the *Procurement Handbook*.
38. Where the total expenditure equals or exceeds the Public Tendering Threshold outlined in the *Procurement Handbook*, Public Calls for Tenders are mandatory and must be posted on the SEAO. Only a designated Procurement Services employee or a Delegated Unit employee is authorized to issue a Public Call for Tenders.
39. Notwithstanding section 38, exceptional circumstances may require the University to utilize Non-Competitive Procurement above the Competitive Tendering Threshold. Employees may utilize Non-Competitive Procurement only in situations outlined in the *Procurement Handbook*. Prior to commencement of any such Non-Competitive Procurement, supporting documentation must be completed and approved in accordance with the *Procurement Handbook*.

Procurement Contract Management

40. Whenever standardized terms and conditions have been established by Legal Services, these standardized terms and conditions must be used for any Procurement Contract as specified in the *Procurement Handbook*. In special circumstances, some Procurements may be carried out according to other terms and conditions, as approved by the Senior Director, Procurement Services, in consultation with Legal Services.
41. It is prohibited to contract with any Vendor listed in the RENA.
42. Employees are Accountable for the thorough evaluation of their Procurement requirements and for ensuring that the scope of work is properly and accurately documented.

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43. Contract Owners must manage Procurement Contracts responsibly and effectively. Payments must be made in accordance with the relevant Procurement Contract.
44. Once a Procurement Contract has been entered into between the University and a Vendor, Contract Owners are Responsible and Accountable for the review, approval and control of all expenditures incurred against such Procurement Contract.
45. Where applicable, Vendor performance must be managed and documented, in an on-going manner during the course of the Procurement Contract, and any performance issues must be addressed, as outlined in the *Procurement Handbook*.
46. Considering that any amendment of a Procurement Contract affects its terms and conditions, any Procurement Contract amendment must be documented and approved in accordance with the *Procurement Handbook* to ensure protection of the University and compliance with legal requirements.

Exceptions

47. With the help of process controls, Procurement Services analyzes Procurements which are considered contrary to University policies and regulations, informs managers and helps them rectify these situations. Any exception to this Policy or the *Procurement Handbook* is subject to the written approval of the Senior Director, Procurement Services prior to any Procurement being incurred.

Non-Compliance

48. Employees who willfully and/or repeatedly circumvent or materially fail to comply with this Policy or the *Procurement Handbook* may have their Procurement privileges suspended or revoked. The failure of an Employee to comply with the provisions of this Policy or the *Procurement Handbook* may constitute a disciplinary offence under the relevant provision, contract, or [collective or employment agreement](#).

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Policy Responsibility and Review

49. The overall responsibility for implementing and recommending amendments to this Policy shall rest with the Chief Financial Officer.

Approved by the Board of Governors on October 1, 1996, and amended on December 14, 1998, April 26, 2013, and [insert date].

