

**BOARD OF GOVERNORS MEETING**

**1:00 p.m., Thursday, June 20, 2013  
Room 4155 Stevenson Hall**

1. Adoption of Agenda - Open Session
2. **Report of the President** (Amit Chakma)
3. Unanimous Consent Agenda - **Appendix I**
  - Includes Open Session Minutes of the Meeting of April 25, 2013
4. Business Arising from the Minutes
5. Reports of Committees:
  - Property & Finance Committee - **Appendix II** (Paul Jenkins)
  - Senior Operations Committee - **Appendix III** (Steve Coxford)
  - Audit Committee - **Appendix IV** (Jim Knowles)
  - Fund Raising and Donor Relations Committee - **Appendix V** (Jackie Moss)
6. Items Referred by Senate - **Appendix VI** (Amit Chakma)
7. Questions from Members
8. Other Business
9. Adjournment to Confidential Session

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



**MINUTES OF THE MEETING OF THE BOARD OF GOVERNORS**

**JUNE 20, 2013**

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

PRESENT: Mr. S. Coxford, Chair  
Ms. I. Birrell, Secretary

Dr. C. Beynon  
Dr. A. Chakma  
Dr. R. Darnell  
Mr. M. Dietrich  
Mr. J. Fontana  
Ms. L. Gainey  
Ms. L. Gribbon  
Ms. S. Grindrod  
Mr. P. Jenkins

Mr. J. Knowles  
Ms. G. Kulczycki  
Mr. D. Lemieux  
Mr. C. Shah  
Dr. S. Sims  
Dr. J. White  
Mr. M. Wilson  
Mr. K. Zerebecki

By Invitation: M. Belanger, L. Logan

BG.13-60 **REPORT OF THE PRESIDENT**

The President reported on the following: Spring Convocation 2013; appointment of Peter White as the Executive Director, Government Relations and Strategic Partnerships; update on the search process for the Vice-President (External); update on transition process with Foundation Western; International Advisory Board meeting. The report distributed with the agenda included updates on: Clusters of Research Excellence; Internationalization; Strategic Plan renewal update; student enrolment projections.

BG.13-61 **UNANIMOUS CONSENT AGENDA**

It was moved by K. Zerebecki, seconded by M. Wilson,

That the 17 items listed in Appendix 1 be approved and/or received for information by the Board of Governors by unanimous consent.

CARRIED

BG.13-62 **Minutes from the Previous Meeting**

The open session minutes of the meeting of April 25, 2013, were approved as circulated.

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

BG.13-63 **Centre for Environment & Sustainability – Increase to Supplemental Fee for Masters Program**

It was moved by K. Zerebecki, seconded by M. Wilson,

That the Master of Environment and Sustainability supplementary fee increase to \$2,000 effective September 2013.

CARRIED (By Unanimous Consent)

BG.13-64 **Information Items Reported by the Property & Finance Committee**

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

- Professorship in Vascular Surgery
- Beattie Professorship – Name Change
- UHIP Fees 2013-2014
- New Supplemental Fees
- Dental Kit Fees 2013-2014
- Ancillary Financial Report
- Quarterly Ratio Report on Non-Endowed Funds
- Investment Committee Report
- Quarterly Financial Report (Operating Budgets)
- New and Revised Scholarships and Awards

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

BG.13-65 **Campus Alcohol Policy – MAPP 1.33 - Amendments**

It was moved by M. Wilson, seconded by S. Sims,

That the Board of Governors approve amendments to the Campus Alcohol Policy (MAPP 1.33) as outlined in Appendix III, Annex 1.

CARRIED

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

BG.13-66 **Retirement Income Fund Financial Statements for the year ended December 31, 2012**

It was moved by P. Jenkins, seconded by K. Zerebecki,

That the Board of Governors approve the audited financial statements for The University of Western Ontario Retirement Income Fund for the calendar year 2012, as attached in Appendix IV, Annex 1.

CARRIED

BG.13-67 **Western Retirement Plans – Report to the Audit Committee for the year ended December 31, 2012**

The Board received for information the annual report on the Western Retirement Plans detailed in

Appendix IV, Annex 2.

**FUNDRAISING & DONOR RELATIONS COMMITTEE** [Appendix V]

BG.13-68 **Information Item Reported by the Fundraising and Donor Relations Committee**

The Report of the Fundraising & Donor Relations Committee, detailed in Appendix V, contained the following item that was received for information by unanimous consent:

- Quarterly Report on Fund Raising

**ITEMS REFERRED BY SENATE** [APPENDIX VI]

BG.13-69 **Creation of the Department of Management and Organizational Studies**

The Board approved the following recommendation through an e-vote subsequent to the meeting.

That the Department of Management and Organizational Studies be created effective July 1, 2013 and that the Aubrey Dan Program in Management and Organizational Studies be housed within the new department.

CARRIED (E-VOTE)

BG.13-70 **Articulation Agreement: Brescia University College, Bachelor of Science (Food and Nutrition) Honors Program, and George Brown College, Culinary Management – Nutrition Diploma Program**

It was moved by K. Zerebecki, seconded by M. Wilson,

That effective May 1, 2013, graduates of the Culinary Management – Nutrition Diploma Program at George Brown College be admitted into the Bachelor of Science (Food and Nutrition) Honors program at Brescia University College, according to the procedures set out in the Articulation Agreement attached as Appendix VI, Annex 1.

CARRIED (By Unanimous Consent)

BG.13-71 **Information Items Referred by Senate**

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

- Annual Report of the University Librarian
- Report of the Academic Colleague
- Announcements and the Reports on Promotion and/or Tenure 2012-13

The meeting adjourned to the confidential session.

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S Coxford  
Chair

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I. Birrell  
Secretary

## REPORT OF THE PRESIDENT

To: Board of Governors  
From: Amit Chakma  
Date: June 11, 2013  
Re: President's Report to the Board

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I'm pleased to provide the following update on important developments and achievements since the last meeting of the Board on April 25, 2013.

**1. Clusters of Research Excellence:** In late April, Western announced and began promoting the newly created \$30-million Clusters of Research Excellence program. The program aims to attract top researchers from around the world by providing up to \$5 million over five years to help establish and build up to four areas of interdisciplinary strength. Cognitive Neuroscience has been identified as the first of these clusters, leveraging Western's globally renowned [Brain & Mind Institute](#), which leads efforts to understand consciousness, various cognitive disorders, and how our brains see, learn and think about the world. Up to three remaining clusters will be identified through ongoing strategic planning efforts over the coming year. Complementing the Clusters of Research Excellence program, Western has also announced the Western Research Chairs program, which will recruit up to 10 high-calibre researchers whose expertise complements one of the interdisciplinary clusters.

**2. Internationalization:** Four Western disciplinary areas — philosophy, psychology, accounting and finance, and economics and econometrics — have been ranked among the top five in Canada and top 200 globally, according to the third annual edition of the QS World University Rankings by Subject. Released May 8, the 2013 survey evaluated 2,858 universities and ranked 678 institutions in total, including 23 Canadian universities and 30 disciplines based on academic and employer reputation surveys and academic citations per faculty member. Globally, Harvard ranked first in 10 disciplines, ahead of schools such as MIT, University of California (Berkeley), Oxford and Cambridge. Among Canadian schools, the University of Toronto topped the list (No. 11 globally), followed by McGill and UBC.

Among several international engagements undertaken by University leaders in recent months, I had the honour and privilege of accompanying Canada's Governor General David Johnston during his

state visits to the Republics of Ghana, Botswana and South Africa in May. Western has a proud history of involvement with the African continent through volunteer programs such as the Western Heads East HIV/AIDS initiative and a wide range of academic exchange programs for faculty and students. In fact, as home to [The Africa Institute](#), Western has close to 200 faculty researchers, graduate students and post-doctoral fellows whose primary focus is Africa, in fields as diverse as waste management, ecosystem health, health policy, gender studies, linguistics, refugee studies, and transitional justice, to name only a few. Given our growing institutional connections and partnerships in Africa, this trip afforded me the opportunity to raise the profile of Canada's bilateral cooperation initiatives in the countries we visited.

**3. Strategic Plan renewal update:** After concluding initial consultations with faculty, staff, students, alumni and external stakeholder groups over the winter, the Senate Committee on University Planning (SCUP) has prepared a first draft of Western's new Strategic Plan. "*Going Global*" has been provided in draft form to Senators, Board of Governors, and senior academic and administrative leaders for comment. The 14-page document highlights Western's commitments to increasing research and interdisciplinary activity, enhancing the student learning experience, internationalization, and revenue diversification. Once feedback on the draft document is gathered, a second draft will be posted to Western's website for review and comment from the broader university community. Further revisions will be made to the Plan with a view to obtaining approval from Senate and the Board on a final draft in November.

**4. Student enrolment projections:** Western is presently projecting a 2013-14 entering undergraduate class of 4,845—including approximately 300 out-of-province Canadian students and 575 international students—versus a total target of 4,900. While these are preliminary projections that are subject to change as we finalize offers and confirm acceptances, this will mark the fourth consecutive year that international enrolment figures have risen at Western, illustrating that we are making progress against our goal to admit one in 10 of our undergraduates from outside Canada. Given that minimum entrance standards have risen again this year, we anticipate that average entering grades will increase over last year's average of 88.2%, reflecting that Western continues to be a destination of choice for very high-achieving students across Ontario, Canada and abroad.

## **ACTIVITIES OF THE PRESIDENT**

(April 20, 2013 – June 19, 2013)

April	21	Toronto	The Honourable Dr. Gjorge Ivanov (President of Macedonia) Dinner
	22	Ottawa	Roundtable Discussion on Education and Partnerships between Canada and Africa (with Governor General)
	23	London	President's Breakfast London Campaign (Gibbons)
	23	London	Teleconference U15
	24	London	Interview with James Bradshaw (Globe & Mail)
	25	London	Board of Governors
	26	Waterloo	U15 Research Committee
		London	Reception for Ivey Dean Elect Bob Kennedy
			Teleconference U15
	30	London, UK	John Thompson (Retired Principal, Gornitzki, Thompson and Little), Jack Cowin (Chairman, Competitive Foods Australia)
			International Advisory Board Reception & Dinner
May	1	London, UK	International Advisory Board Meeting
	2	Calgary	U15 Executive Committee
	3	Calgary	U15 Meeting
	6	London	Faculty of Music Campaign Strategy
			Teleconference AUCC June Panel
			Angie Francolini (Vice President, McCormick & Company)
			Teleconference with Minister Goodyear and U15 Presidents
	7	London	Richard Sifton (President, Sifton Properties)
			Schulich Campaign Strategy
	8	London	Foundation Western
		Toronto	Lunch with Chancellor Joe Rotman
			Queens Park Reception
	9	London	Telephone Call with Suzanne Corbeil (U15)
			Lunch with Governor General David Johnston
		London	Huron 150 <sup>th</sup> Convocation Ceremonies
	10	Toronto	Deputy Minister's Retreat
		London	Senate
	12-22	Africa	Governor General's Mission to Africa (Ghana, Botswana, South Africa)
	24	Hong Kong	Warren Gilman (Chairman & CEO, CEF Holdings), Steve Coxford
	25	Hong Kong	Ken Chu (Chairman & CEO, Mission Hills Golf Club), Catherine Chu (Executive Director, Hsin Chong Construction Group)
			Hong Kong Advisory Board Lunch
			2013 Graduation Dinner
	26	Hong Kong	Ivey Convocation Dinner and Reception

	27	Hong Kong	Elizabeth Thomson (Chairwoman), Donald Tsang (Dept Head), Vincent Bremmer (Managing Director), Orangefield ICS Ltd.
	28	London	Robert Collins (Alumni Association)
	29	London	Dennis Kavelman (COO, Desire2Learn)
	29	London	Telephone Call with Paul Young (VP Research, U of Toronto)
			Coaches Appreciation Dinner
	30	London	Teleconference COU Executive Heads (with Minister Reza Moridi)
June	1	London	Teleconference Asian University for Women
	2	London	Partners in Research Awards Reception & Dinner
	3	London	John & Melinda Thompson Gift Announcement Ceremony & Lunch
			UWOFA
			Dinner with Roger Thompson (Canadian Jones Scholarship Foundation), Dr. Louise Richardson (Principal, University of St. Andrews)
	4	London	Deans Meeting
			Teleconference OCE (Ontario Centres of Excellence) HR & Compensation Committee
			Alumni Association Board Meeting
	5	London	Foundation Western Executive Committee
	6	London	VP External Search Committee
			Faculty of Science Campaign Strategy
			Faculty of Law Campaign Strategy
			Harvey Filger (Director of Investments and Partnerships), Matt Daley (Innovation & Entrepreneurship), City of London
			Irfhan Rawji (Past Board Chair), Shannon von Kaldenberg (Chief Philanthropy Officer), Heart & Stroke Foundation of Canada
	7	London	Teleconference WUSC (World University Service Canada) Executive
			Senate
	10	London	Sherry MacDonald (President and CEO), Canadian Scholarship Trust
			Teleconference Fundraising & Donor Relations Committee
	11-19	London	Convocation Ceremonies, Lunches, Dinners
	11	London	CEMS (Global Alliance in Management Education) Strategic Board Members (Opening Welcome Remarks)
	13	London	London Imaging Discovery Day Keynote Address
	14	London	Jack Cowin Gift Announcement & Lone Star Grand Opening
	15	London	Opening Plenary Royal Society/Israel Academy Brain Plasticity Symposium

**UNANIMOUS CONSENT AGENDA**

**FOR APPROVAL**

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

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

**Minutes**

1. Open Session Minutes of the Meeting of April 25, 2013	ACTION
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**Report of the Property & Finance Committee – [Appendix II](#)**

2. Centre for Environment & Sustainability – Increase to Supplemental Fee for Master's Program	ACTION
3. Professorship in Vascular Surgery	INFORMATION
4. Beattie Professorship – Name Change	INFORMATION
5. UHIP Fees 2013-2014	INFORMATION
6. New Supplemental Fees	INFORMATION
7. Dental Kit Fees 2013-2014	INFORMATION
8. Ancillary Financial Report	INFORMATION
9. Quarterly Ratio Report on Non-Endowed Funds	INFORMATION
10. Investment Committee Report	INFORMATION
11. Quarterly Financial Report (Operating Budgets)	INFORMATION
12. New and Revised Scholarships and Awards	INFORMATION

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

13. Quarterly Report on Fund Raising	INFORMATION
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**Items Referred by Senate – [Appendix VI](#)**

14. Articulation Agreement: Brescia University College, Bachelor of Science (Food and Nutrition) Honors Program, and George Brown College, Culinary Management – Nutrition Diploma Program	ACTION
15. Annual Report of the University Librarian	INFORMATION
16. Report of the Academic Colleague	INFORMATION
17. Announcements and Reports on Promotion and/or Tenure 2012-13	INFORMATION

### The Unanimous Consent Agenda

The Board's parliamentary authority -- *Sturgis Standard Code of Parliamentary Procedure* -- explains the consent agenda:

Organizations having a large number of routine matters to approve often save time by use of a *consent agenda*, also called a *consent calendar* or *unanimous consent agenda*. This is a portion of the printed agenda listing matters that are expected to be non-controversial and on which there are likely to be no questions.

Before taking the vote, the chair allows time for the members to read the list to determine if it includes any matters on which they may have a question, or which they would like to discuss or oppose. Any member has a right to remove any item from the consent agenda, in which case it is transferred to the regular agenda so that it may be considered and voted on separately. The remaining items are then unanimously approved *en bloc* without discussion, saving the time that would be required for individual votes.

A number of Canadian university Boards have employed the consent agenda format to include not only routine approval items, but also information items. One reason for using this format is to allow the Board to focus on major items of business. While approval of an omnibus motion saves time at Board meetings, Board members will want to review the agenda materials carefully in order that they properly discharge their responsibilities.

#### **How it works:**

The Secretary identifies action and information items that are routine and/or likely non-controversial. In so doing, she may consult with the Chair of the Board, the relevant committee chair, and principal resource persons. In each Committee's report, these items are noted in the list of items at the beginning of the report. Action and information items on the agenda and in committee reports that are not noted on the consent agenda will be presented singly for discussion and voting (when appropriate).

When members receive their Board agendas, they should review all reports in the usual manner. **If any member wants to ask a question, discuss, or oppose an item that is marked for the consent agenda, he or she can have it be removed from the consent agenda** by contacting the Secretary of the Board of Governors prior to the meeting or by asking that it be removed before the Chair calls for a mover and seconder for the motion to approve or receive, by unanimous consent, the items listed.

At the Board meeting, before the unanimous consent motion is presented for approval, the Chair of the Board (1) will advise the Board of items that are to be removed from the list, based on prior requests from Board members; and (2) will ask if there are any other items that should be removed from the list. The remaining items are then unanimously approved *en bloc* without discussion, saving the time that would be required for individual presentation and voting. Those matters that have been struck from the consent agenda will be handled in the usual way as each Committee's report is presented.

The minutes of the Board meeting will report matters approved as part of the consent agenda as "carried by unanimous consent". Information items received as part of the consent agenda will be reported as received.

**REPORT OF THE PROPERTY AND FINANCE COMMITTEE**

Contents	Consent Agenda
<b>Centre for Environment &amp; Sustainability – Increase to Supplemental Fee for Master’s Program</b>	Yes
<b>Professorship in Vascular Surgery</b>	Yes
<b>Beattie Professorship – Name Change</b>	Yes
<b>UHIP Fees 2013-2014</b>	Yes
<b>New Supplemental Fees</b>	Yes
<b>Dental Kit Fees 2013-2014</b>	Yes
<b>Ancillary Financial Report</b>	Yes
<b>Quarterly Ratio Report on Non-Endowed Funds</b>	Yes
<b>Investment Committee Report</b>	Yes
<b>Quarterly Financial Report (Operating Budgets)</b>	Yes
<b>New and Revised Scholarships and Awards</b>	Yes

**FOR APPROVAL**

1. **Centre for Environment & Sustainability – Increase to Supplemental Fee for Master’s Program**

**Recommended:** That the Master of Environment and Sustainability supplementary fee increase to \$2,000 effective September 2013.

**Background:**

The Centre for Environment and Sustainability is requesting an increase for the Master of Environment and Sustainability fee from \$1,000 to \$2,000 effective September 2013. This fee is included in the Supplemental Fee Schedule but the request was received after Board approval of the schedule in April.

This fee was first approved for the 2009-2010 academic year and was designed to offset some of the costs associated with field excursions and four-month work placements for the 25 students initially enrolled in the program.

Since that time, the following changes have occurred:

- Co-op placements were previously unpaid. Now all students receive payment for the co-op term.
- Program enrolment has increased and is expected to be 45 for 2013-2014.
- The magnitude of the co-op program necessitates ongoing liaison with potential employers and monitoring of participants, resulting in the need for full-time, PMA-level staff support
- The cost of attending conferences such as “Sustainability Applied” as well as other venues were not incorporated into the original fee level
- The workshops that complement the academic courses offered to MES students are unique and lead to students receiving globally recognized accreditation in applying sustainability framework. It is being requested that \$700 be added to the existing fee to cover these workshop costs.

In summary, the proposed increase in fee is due to the following components:

- Increasing the fee related to the co-op placement to \$1,300
- Adding a component related to workshop costs of \$700

**FOR INFORMATION**

2. **Professorship in Vascular Surgery**

A total of almost \$570,000 (expendable) has been donated to support this Professorship. Mr. William H. Blair has pledged \$250,000 over 10 years beginning in 2011, Medtronic of Canada Ltd. has pledged \$250,000 over five years beginning in 2013, Dr. Rumi Faizer pledged \$15,000 over five years beginning in 2012 and approximately \$4,535 has been donated through memorial gifts in honour of Dr. William Jamieson. A chart demonstrating how funds will be received is included.

Funds provided will support the salary and benefits of the holder of the Professorship in Vascular Surgery for an initial appointment of three years with the option to renew for an additional three years at the conclusion of the appointment or appoint a new Professor in Vascular Surgery for a period of three years. Funds will be allocated to the holder of the Professorship on a flexible basis ranging from \$60,000 to \$85,000 per year. The Professorship will conclude when all available funds have been utilized.

Effective Date: July 1, 2013

The creation of the Professorship in Vascular Surgery will enable Western to recruit and/or retain a leading vascular surgeon to oversee research and educational activities. Western is committed to shaping the future of health care, wellness and medical discovery by developing and mentoring Canada's next generation of surgeons, providing them with a solid knowledge base in surgical care, technical excellence and critical appraisal skills while fostering a culture of lifelong learning and compassionate care.

The administration of the spending of resources will be the responsibility of the Chair of the Division of Vascular Surgery and the Dean of the Schulich School of Medicine & Dentistry.

Appointments to the Professorship will be conducted in accordance with the relevant policies and procedures of the University and will be for an initial three-year term, after which the Professorship in Vascular Surgery with the option of renewal or a new appointment.

The Professorship in Vascular Surgery, through the University, will report annually to the donors regarding his/her activities and the impact of their donation.

**Chart showing receipt of gifts to the Professorship in Vascular Surgery over time:**

Funds Donated	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Blair	\$25,000	\$25,000	\$25,000	\$25,000	\$25,000	\$25,000	\$25,000	\$25,000	\$25,000	\$25,000
Medtronic			\$50,000	\$50,000	\$50,000	\$50,000	\$50,000	\$0	\$0	\$0
Faizer		\$3,000	\$3,000	\$3,000	\$3,000	\$3,000	\$0	\$0		\$0
Memorial Gifts		\$4,535	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total funds available	\$25,000	\$57,535	\$135,535	\$213,535	\$291,535	\$369,535	\$444,535	\$469,535	\$494,535	\$519,535

3. **Beattie Professorship – Name Change**

At its meeting of March 19, 2013, the Property and Finance Committee approved the terms of reference for the Scott Beattie Professorship in Marketing, in the Richard Ivey School of Business. The donor has requested that the name be changed to the Scott & Melissa Beattie Professorship in Marketing.

4. **UHIP Fees 2013-2014**

Each year, as part of the budget approval process, the Property and Finance Committee reviews and recommends to the Board of Governors for approval various supplementary fees. These fees cover items such as printed course packs, dental instrument kits, special activities, co-op placements, etc. These fees are often variable and the amount of an individual fee may not be known in April/May.

The Property & Finance Committee has delegated authority from the Board of Governors to deal with proposed supplementary and ancillary fees that are not available at the time the budget is approved. New fees or continuing fees that are more than 10 per cent greater than the amount estimated in the budget document are submitted to the Committee for approval. Continuing fees that are lower than the estimated amount or no more than 10 per cent higher are reported to the Committee for information. The proposed UHIP fees for 2013-14 (see below) fall into the latter category. There is no change in the fees from last year.

University Health Insurance Plan for International Students		2012-2013 Amount	2013-2014 Amount	% Change
Undergraduates, Full-time and Part-time	12 month term	684.00	684.00	0.00%
Graduates, excluding MBA	Per term	228.00	228.00	0.00%
Graduates, MBA	12 month term	684.00	684.00	0.00%
Exchange students	Per term	228.00	228.00	0.00%

5. **New Supplemental Fees**

The Supplemental Fee Schedule for 2013-2014 was approved as part of the budget approval process at the April meeting of the Board of Governors. The following are additions to that schedule.

Rescheduled Distance Studies Exam Fee	\$ 83.50
Visiting Graduate (Research Only) Processing Fee	\$ 150.00
Visiting Undergraduate (Research Only) Processing Fee	\$ 150.00

6. **Dental Kit Fees 2013-2014**

The following Dental Kit Fees for 2013-2014 were approved by the Property and Finance Committee on behalf of the Board of Governors.

		2012-2013 Amount	2013-2014 Amount	% change
<u>Schulich School of Medicine and Dentistry</u>				
Dental Kits	Year 1	10,825.00	11,150.00	3.0%
Dental Kits	Year 2	11,500.00	11,850.00	3.0%
Dental Kits	Year 3	2,500.00	2,575.00	3.0%
Dental Kits	Year 4	600.00	615.00	2.5%
Internationally Trained Dentists Program	Year 1	19,000.00	19,500.00	2.6%

7. **Ancillary Financial Report**

See [Annex 1](#).

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

See [Annex 2](#).

9. **Investment Committee Report**

See [Annex 3](#).

10. **Quarterly Financial Report (Operating Budget)**

See [Annex 4](#).

11. **New and Revised Scholarships and Awards**

See [Annex 5](#).

<i>Western University</i> <b>STUDENT FEE FUNDED UNITS, ANCILLARIES, ACADEMIC SUPPORT UNITS, AND ASSOCIATED COMPANIES</b> 2012-13 Projected and 2012-13 Preliminary Actuals (\$000's)										
	2012-13 Projected			2012-13 Preliminary Actual			% Change		April 30/13 Reserve	April 30/13 Capital /Project Reserve
	Revenues	Expenses	Surplus/ (Deficit)	Revenues	Expenses	Surplus/ (Deficit)	Revenues	Expenses		
<b>Student Fee Funded Units</b>										
1 Campus Recreation	4,990.0	4,990.0	-	5,271.4	5,259.9	11.5	5.6	5.4	610.2	417.3
2 Financial Aid	973.9	974.6	(0.7)	975.4	955.3	20.1	0.2	(2.0)	65.7	-
3 Indigenous Services	638.7	650.0	(11.3)	619.3	624.2	(4.9)	(3.0)	(4.0)	51.7	-
4 Intercollegiate Athletics	5,155.6	5,153.5	2.1	5,574.0	5,582.2	(8.2)	8.1	8.3	205.1	-
5 International Student Services	397.7	397.7	-	392.3	392.3	-	(1.4)	(1.4)	-	-
6 Off Campus Housing & Housing Mediation Office	370.0	373.6	(3.6)	374.6	374.0	0.6	1.2	0.1	60.3	-
7 Services for Students With Disabilities	399.7	402.5	(2.8)	401.3	401.4	(0.1)	0.4	(0.3)	28.3	75.1
8 Student Development Centre	2,113.0	2,113.2	(0.2)	2,120.4	2,120.6	(0.2)	0.4	0.4	273.2	-
9 Student Success Centre	1,329.2	1,430.6	(101.4)	1,350.8	1,409.6	(58.8)	1.6	(1.5)	440.8	-
10 Student Health Services	4,006.3	3,982.6	23.7	4,072.5	3,946.2	126.3	1.7	(0.9)	856.9	-
11 Western Foot Patrol	166.8	166.3	0.5	166.4	162.4	4.0	(0.2)	(2.3)	24.4	39.7
12 Thompson Recreation & Athletic Centre	1,184.8	1,186.2	(1.4)	1,019.7	987.0	32.7	(13.9)	(16.8)	199.8	1,402.0
13 Total Student Fee Funded Units	21,725.7	21,820.8	(95.1)	22,338.1	22,215.1	123.0	2.8	1.8	2,816.4	1,934.1
<b>Ancillaries</b>										
14 Family Practice Clinic/Workplace Health	515.6	517.1	(1.5)	526.1	474.6	51.5	2.0	(8.2)	(3.7)	-
15 Housing	54,233.0	48,718.1	5,514.9	56,284.0	48,889.6	7,394.4	3.8	0.4	31,099.4	-
16 Parking Services	4,690.5	4,535.7	154.8	4,581.0	4,342.9	238.1	(2.3)	(4.3)	5,068.0	-
17 Retail Services	36,827.3	37,137.8	(310.5)	40,839.5	41,168.9	(329.4)	10.9	10.9	762.9	-
18 Total Ancillaries	96,266.4	90,908.7	5,357.7	102,230.6	94,876.0	7,354.6	6.2	4.4	36,926.6	-
<b>Academic Support Units</b>										
19 Animal Care & Veterinary Services	3,465.8	3,435.9	29.9	3,543.5	3,390.5	153.0	2.2	(1.3)	(236.0)	-
20 Boundary Layer Wind Tunnel	2,454.0	2,385.8	68.2	2,379.1	2,340.7	38.4	(3.1)	(1.9)	446.2	200.0
21 Continuing Studies at Western	2,388.8	2,273.9	114.9	2,524.9	2,115.2	409.7	5.7	(7.0)	1,086.2	-
22 Fraunhofer Project Centre	192.9	213.7	(20.8)	(2.7)	163.0	(165.7)	(101.4)	(23.7)	(165.7)	-
23 Surface Science Western	1,708.6	1,704.5	4.1	1,478.7	1,555.5	(76.8)	(13.5)	(8.7)	300.4	809.0
24 University Machine Services	1,671.5	1,382.7	288.8	1,855.4	1,641.5	213.9	11.0	18.7	(55.1)	-
25 Total Academic Support Units	11,881.6	11,396.5	485.1	11,778.9	11,206.4	572.5	(0.9)	(1.7)	1,376.0	1,009.0
<b>Associated Companies</b>										
26 Richard Ivey School of Business Foundation (d)	25,724.0	23,421.0	2,303.0	24,693.0	23,561.0	1,132.0	(4.0)	0.6	6,578.0	-
27 Richard Ivey School of Business (Asia) (d)	4,634.0	6,466.0	(1,832.0)	4,909.0	6,563.0	(1,654.0)	5.9	1.5	(3,844.0)	-
28 UWO Research and Development Park (a)	7,759.6	7,790.6	(31.0) (b)	7,807.1	7,920.3	(113.2) (c)	0.6	1.7	(13,394.8)	-
29 Museum of Ontario Archaeology	491.1	474.9	16.2	568.6	455.3	113.3	15.8	(4.1)	(238.5)	-
30 Total Associated Companies	38,608.7	38,152.5	456.2	37,977.7	38,499.6	(521.9)	(1.6)	0.9	(10,899.3)	-
31 Total	168,482.4	162,278.5	6,203.9	174,325.3	166,797.1	7,528.2	3.5	2.8	30,219.7	2,943.1

(a) Includes Windermere Manor Ltd.

(b) To better represent the operational performance of the Research Park, a favourable \$198,700 unrealized market value adjustment on an interest rate swap contract has been excluded from the reported projection.

(c) To better represent the operational performance of the Research Park, a favourable \$52,300 unrealized market value adjustment on an interest rate swap contract has been excluded from the reported preliminary results.

(d) The Ivey group of companies are operated in conjunction with Richard Ivey School of Business at Western. The fiscal 2012-13 financial position of the Richard Ivey School of Business at Western is included in the overall report on the Operating Budget of the University.

The Fiscal 2012-13 financial results for the Ivey group, including the Richard Ivey School of Business at Western, is as follows:

	2012-13 Projected			2012-13 Preliminary Actual			% Change		April 30/13 Carryforward/ Reserve
	Revenues	Expenses	Surplus/ (Deficit)	Revenues	Expenses	Surplus/ (Deficit)	Revenues	Expenses	
Deficit Reduction Provision									5,313.4
Richard Ivey School of Business at Western (c)	65,388.0	65,187.0	201.0	69,871.3	69,274.1	597.2	6.9	6.3	(7,464.1)
Ivey Group of Companies (from lines 26, and 27 above)	30,358.0	29,887.0	471.0	29,602.0	30,124.0	(522.0)	(2.5)	0.8	2,734.0
Total Ivey Group	95,746.0	95,074.0	672.0	99,473.3	99,398.1	75.2	3.9	4.5	583.3

QUARTERLY RATIO REPORT ON NON ENDOWED FUNDS

FOR INFORMATION

The attached report shows the non-endowed fund quarterly activity from 1996/97 to the end of the fourth quarter of 2012/13 (April 30, 2013). The balance in the Undistributed Investment Returns Account at April 30, 2013 was \$108.9 million. At April 30, 2013 the 12-quarter moving average of the total non-endowed investments to the obligations of the portfolio was 1.36 (column 10) compared to a target ratio of 1.08.

- ❑ Net returns / (losses) (column 1) amounted to \$14.2 million for the quarter.
- ❑ Allocations to accounts (column 2), represents income distribution to non-endowed funds. The non-endowed rate is based on the 30-day treasury bill rate less administrative and management fees of 0.42%. The rate is adjusted quarterly and is applicable to non-endowed fund balances with the exception of Robarts. The non-endowed rate for the period April 1 – June 30, 2013 has been set at 0.42%. In the case of Robarts, in accordance with the operating agreement, the long term portion of their fund balance will earn the rate of return generated by the Operating & Endowment portfolio. For fiscal 2013, the net return was 12.1% and the distribution of those returns to Robarts is reflected in column 2, along with the annual return distributed to the supplemental pension plan accounts.
- ❑ The total allocation to the operating budget (column 3) for fiscal 2013 will remain at zero as approved by the Board.
- ❑ Other allocations (column 4) for fiscal 2013 totaled \$3.7 million. This amount includes the annual the annual charge related to the cost-to-carry associated with the debenture, along with the carrying costs associated with the RBC financing associated with the new residence.
- ❑ The non-endowed investments increased by \$4.6 million (column 6) during the quarter.
- ❑ The total market value of the non-endowed fund's portion of the externally managed portfolio at April 30, 2013 amounted to \$335.5 million (column 7).
- ❑ The obligations of the portfolio amounted to \$226.6 million at April 30, 2013 (column 8).
- ❑ The ratio of investments to obligations stood at 1.48 (column 9) at April 30, 2013.

The University of Western Ontario  
Non-Endowed Funds: Quarterly Values

Quarter	Net Returns (1)	To Accounts (2)	Allocations To Operating Budget (3)		Other (4)	Change in amount Owed (5)	Net Change (6)	Value at the end of Quarter		Ratio of Investments to obligations (9)	Ratio of Investments to obligations Average for 12 Quarters (10)
								Total Investments (7)	Total Obligations (8)		
1996/1997	4.0	(0.4)	(1.7)	(2.8)	(4.6)	(5.4)	103.4	85.1	1.22	1.16	
1997/1998	5.2	(0.4)	(2.1)	(2.5)	4.0	4.2	97.7	74.5	1.32	1.24	
1998/1999	1.2	(0.5)	(1.5)	(0.1)	(4.3)	(5.2)	97.2	82.7	1.18	1.24	
1999/2000	2.4	(0.6)	(1.5)	(0.3)	4.0	4.0	88.0	74.3	1.18	1.23	
2000/2001	0.9	(0.8)	(2.1)	(0.2)	5.9	3.7	113.7	101.0	1.13	1.16	
2001/2002	0.8	(0.7)	(1.5)	0.0	5.9	4.6	127.0	125.5	1.01	1.10	
2002/2003	(2.6)	(0.3)	(0.3)	0.0	0.4	(2.7)	120.6	132.3	0.91	1.02	
2003/2004	6.3	(0.5)	0.0	0.0	1.3	7.1	140.7	135.5	1.04	0.99	
2004/2005	2.9	(0.4)	0.0	0.0	3.6	6.2	157.7	141.1	1.12	1.03	
2005/2006	7.0	(0.7)	0.0	0.0	2.9	9.3	199.4	160.4	1.24	1.13	
2006/2007	7.6	(1.2)	(1.3)	0.0	6.2	11.4	236.9	179.1	1.32	1.22	
2007/2008	0.4	(1.0)	(1.6)	(0.3)	2.7	0.2	258.7	197.7	1.31	1.29	
2008/2009											
	1	(9.1)	(0.9)	(4.4)	0.0	5.5	(8.9)	248.7	205.1	1.21	1.29
	2	(37.9)	(0.4)	4.4	0.0	(7.0)	(40.9)	207.8	198.1	1.05	1.28
	3	(9.9)	(0.4)	0.0	0.0	0.0	(10.3)	197.5	198.1	1.00	1.26
	4	8.2	3.0	0.0	(0.9)	(8.5)	1.8	199.3	189.6	1.05	1.24
2009/2010											
	1	17.5	0.0	0.0	0.0	0.3	17.8	217.1	189.9	1.14	1.23
	2	8.9	0.0	0.0	0.0	(5.9)	3.0	220.1	184.0	1.20	1.22
	3	5.6	0.0	0.0	0.0	(8.7)	(3.1)	217.0	175.3	1.24	1.21
	4	10.1	(2.7)	0.0	(2.3)	0.1	5.2	222.2	175.4	1.27	1.20
2010/2011											
	1	(3.6)	0.0	0.0	0.0	5.2	1.6	223.8	180.6	1.24	1.19
	2	14.8	0.0	0.0	0.0	(4.5)	10.3	234.1	176.1	1.33	1.19
	3	10.0	0.0	0.0	0.0	(6.4)	3.6	237.7	169.7	1.40	1.20
	4	6.2	(1.9)	0.0	(1.5)	1.9	4.7	242.4	171.6	1.41	1.21
2011/2012											
	1	(6.2)	0.0	0.0	0.0	6.1	(0.1)	242.3	177.7	1.36	1.22
	2	(5.1)	0.0	0.0	0.0	0.0	(5.1)	237.2	177.7	1.33	1.25
	3	9.0	(0.2)	0.0	0.0	33.4	42.2	279.4	211.1	1.32	1.27
	4	6.9	(0.4)	0.0	(1.4)	0.1	5.2	284.6	211.2	1.35	1.30
2012/2013											
	July 31, 2012 Q1	(1.6)	(0.1)	0.0	0.0	13.0	11.3	295.9	224.2	1.32	1.31
	October 31, 2012 Q2	11.6	(0.3)	0.0	0.0	(9.2)	2.1	298.0	215.0	1.39	1.33
	January 31, 2013 Q3	18.6	(0.2)	0.0	0.0	14.5	32.9	330.9	229.5	1.44	1.35
	April 30, 2013 Q4	14.2	(3.0)	0.0	(3.7)	(2.9)	4.6	335.5	226.6	1.48	1.36

General notes:

[A] For 1995/96 through to 2002/03 the figures are the average for the four quarters.

Columns (1) to (6) refer to changes during the quarter, column (7) to (10) refer to the end of each quarter.

All figures are millions of dollars, except columns (9) and (10). Column (9) is the ratio of column (7) to column (8). Column (10) is the average of the ratios in column (9) over 12 quarters (i.e. over 3 year period).

**Notes:**

- (1) Net investment returns, including changes in unrealized capital gains, net of consulting and investment management fees. This total includes returns on internally managed funds and other sundry investment earnings less overdraft interest and interest paid to employee benefit accounts.
- (2) Allocations from the fund to all accounts and associated companies, except the Operating budget and Other allocations (column 4). In fiscal 2009 the amount allocated to accounts is positive or a "recovery" primarily due to the year end allocation of investment losses to the supplemental pension funds in the amount of \$0.7 and Robarts long term fund balances in the amount of \$1.6.
- (3) Allocations to the Operating budget. Original budget for fiscal 2009 was \$17.7 million. In October '08 The Board reduced the budget to zero and the allocations made to September 30, 2008 were reversed.
- (4) In April 2012 an allocation of \$1,438,633 was made to cover the costs related to the debenture and the new residence financing.
- (5) The change in the amount owed to other funds for the quarter is the net cash flows into the accounts less any transfers to UWO's bank account.
- (6) Quarterly net change, is the sum of columns (1) to (5) and is the change in the value of the fund in column (7), which is the change in the market value of investments during the quarter.
- (7) Total non-endowed externally managed funds. Endowed funds are not included.
- (8) Total of the non-endowed externally managed funds that are owed to University accounts and other creditors.
- (9) The ratio of column (7) to column (8).
- (10) The average of this ratio over the previous 12 quarters. The Board target for this ratio is an average of 1.08.

## Report of the Investment Committee

### For Information

This report outlines the performance of the operating and endowment investment portfolio and the recent activities of the Investment Committee.

### Performance

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

<u>Asset Class</u>	Annual Mar 31 <u>2013</u>	Annual Mar 31 <u>2012</u>	Annual Mar 31 <u>2011</u>	Annual Mar 31 <u>2010</u>	Annualized for Four years Ending Mar 31, 2013
<b>Fixed Income</b>	4.55%	9.52%	5.11	5.57%	6.17%
<b>Alternative Investments:</b>					
Hedge funds	-	-	-	-	-
Private equity	10.41	19.68	-	-	-
Real Estate	12.33	-	-	-	-
<b>Equities:</b>					
Canadian	9.72	(7.07)	16.60	40.26	13.64
US	16.25	7.28	14.34	38.79	18.61
Non North American	14.08	(0.41)	7.13	32.29	12.64
<b>Absolute Return Strategies</b>	=	=	=	=	=
<b>Total Return</b>	<u>10.44%</u>	<u>3.22%</u>	<u>10.04%</u>	<u>23.11%</u>	<u>11.48%</u>
<b>Policy Return</b>	<u>10.22%</u>	<u>2.27%</u>	<u>11.05%</u>	<u>25.04%</u>	<u>11.85%</u>

For additional information, please refer to the attached pages, which show the amounts held by each investment manager at March 31, 2013, the annual and annualized returns by manager over the five years ending March 31, 2013.

### Returns in relation to the real rate of return objective

One of the Investment Committee's objectives is to earn a 4% real rate of return over the long term (i.e., to earn 4% over the rate of inflation, as measured by the Consumer Price Index). Inflation has averaged 1.8% per year for both the five and ten year periods.

For the four years ending March 31, 2013, the annualized real rate of return was 9.6%, consisting of a nominal return of 11.5% less inflation of 1.9%. For the five years ending March 31, 2013, the annualized real rate of return for the portfolio was 3.0%. The 5 year annualized return does not meet the Investment Committee's performance objective of a real rate of return of 4%.

### Value added by Active Management

Another of the Investment Committee's objectives is to earn the return produced by the asset mix policy based on the returns of the market indices plus a premium to reflect the additional fees related to active management. In order to achieve this objective, investment managers with active investment mandates need to outperform their benchmark indices. For example, Canadian equity managers need to outperform the TSX Composite Index over time.

Over the five years ending March 31, 2013, the actual annualized return for the portfolio was 4.7% and the return generated by the market indices for the portfolio was 4.5% (the policy return). Over this period, our combination of managers achieved slightly better results than what could have been achieved by a passive or index style of management. It should be noted that approximately 65% of the total portfolio is actively managed and 35% is passively managed.

**Book and Market Value of the Portfolio**

As at March 31, 2013, the operating and endowment portfolio had a book value of \$483,979,000 and market value of \$597,244,000 as follows:

	<b>Book Value (\$000's)</b>	<b>Market Value (\$000's)</b>	<b>Actual Asset Mix</b>	<b>Policy Asset Mix</b>
Fixed Income	\$114,813	\$158,826	26.6%	15.0%
Alternative Investments	62,046	65,661	11.0	25.0
Canadian equities	94,116	117,763	19.7	20.0
US equities	86,316	132,738	22.2	20.0
Non-North American equities	<u>126,688</u>	<u>122,256</u>	<u>20.5</u>	<u>20.0</u>
Total	<u>\$483,979</u>	<u>597,244</u>	<u>100.0%</u>	<u>100.0%</u>

At March 31, 2013 the portfolio consisted of the following components:

Portion related to Endowed funds	<i>\$252,820,000</i>	<i>42.3%</i>
Portion related to Operating and Non-endowed funds	<i><u>344,424,000</u></i>	<i><u>57.7%</u></i>
Total market value of portfolio	<i><u>\$597,244,000</u></i>	<i><u>100.0%</u></i>

**Update on Investment Committee Activities**

- At the December 2012 meeting, the recommendation to hire two infrastructure managers (Hastings and First State) was approved and carried.
- Since that time, Administration has been busy conducting legal and tax due diligence on these two managers.
- Agreements are in the process of being executed with both mandates being fully funded by mid 2014.
- The Committee initiated discussion around an integrated risk management plan that would include risk budgeting, stress-testing the non-endowed fund balance, assessing downside risk protection strategies and developing a currency hedging policy. Discussion on this topic will continue at the August meeting.
- Future priorities will include reviewing the fixed income portfolio, the structure of the Canadian equity allocation, any allocation to emerging markets, discussing public versus private asset allocation, considering global equity and low volatility equity strategies.

**University of Western Ontario Endowment Plan**

Asset Summary

As of March 31, 2013

	Total Market Value	% of Total Fund	% of Asset Class	Equity & Convertible	Fixed Income	Real Estate	Cash & Equivalents	Alternative	
<b>Total Fund</b>	<b>\$ 597.2</b>	<b>100.0%</b>	<b>100.0%</b>	<b>\$ 371.7</b>	<b>62.2%</b>	<b>\$ 48.1</b>	<b>8.1%</b>	<b>\$ 15.0</b>	<b>2.5%</b>
UWO Endowment - Total Fund									
<b>Canadian Stock Managers</b>	<b>117.8</b>	<b>19.7</b>	<b>100.0</b>	<b>116.7</b>	<b>99.1</b>	--	<b>1.1</b>	<b>0.9</b>	--
Beutel, Goodman Capital Mgmt.	66.5	11.1	56.5	65.4	98.4	--	1.1	1.6	--
Greystone Canada	51.3	8.6	43.5	51.3	100.0	--	--	--	--
<b>U.S Stock Managers</b>	<b>132.7</b>	<b>22.2</b>	<b>100.0</b>	<b>132.7</b>	<b>100.0</b>	--	--	--	--
SSgA Midcap Hedge Blend	26.6	4.4	20.0	26.6	100.0	--	--	--	--
J.P. Morgan 130/30	54.1	9.1	40.7	54.1	100.0	--	--	--	--
SSgA S&P 500 Hedge Blend	52.1	8.7	39.3	52.1	100.0	--	--	--	--
<b>Non-North American Mgrs</b>	<b>122.3</b>	<b>20.5</b>	<b>100.0</b>	<b>122.3</b>	<b>100.0</b>	--	--	--	--
Templeton International	57.8	9.7	47.3	57.8	100.0	--	--	--	--
MFS/SSgA Hedge Blend	64.5	10.8	52.7	64.5	100.0	--	--	--	--
<b>Fixed Income Managers</b>	<b>158.8</b>	<b>26.6</b>	<b>100.0</b>	<b>134.1</b>	<b>84.5</b>	<b>24.7</b>	<b>15.5</b>	--	--
State Street Global Advisors	134.1	22.5	84.5	134.1	100.0	--	--	--	--
Greystone Capital Management	24.7	4.1	15.5	--	--	24.7	100.0	--	--
<b>Private Equity</b>									
Adams Street Partners	15.0	2.5	100.0	--	--	--	--	15.0	100.0
<b>Real Estate Managers</b>	<b>23.4</b>	<b>3.9</b>	<b>100.0</b>	--	--	<b>23.4</b>	<b>100.0</b>	--	--
Bentall Investment Management	13.4	2.2	57.1	--	--	13.4	100.0	--	--
GPM	10.0	1.7	42.9	--	--	10.0	100.0	--	--
<b>Other Absolute Return Strategy</b>									
Romspen	\$ 27.2	4.6%	100.0%	\$ --	--%	\$ 27.2	100.0%	\$ --	--%



# Performance Summary by Portfolio

## Annualized Value Added by Asset Class – March 31, 2013

	Market Value	Annualized				
		Quarter	1 Year	3 Years	4 Years	5 Years
<b>UWO Endowment - Total Fund</b>						
<i>Total Fund Policy</i>	\$ 597.24	5.58%	10.44%	7.85 %	11.48 %	4.73 %
		5.64	10.22	7.77	11.85	4.53
<b>Canadian Stock Managers</b>	117.76	5.77	9.72	5.94	13.64	2.78
Beutel, Goodman Capital Mgmt.	66.49	7.40	12.85	8.83	16.05	6.59
Greystone Canada	51.27	3.73	5.92	2.60	10.72	(0.61)
<i>S&amp;P/TSX Composite Index</i>		3.34	6.11	4.86	13.15	2.06
<b>U.S. Stock Managers</b>	132.74	12.48	16.25	12.56	18.61	4.55
SSgA Midcap Hedge Blend	26.55	13.61	17.89	14.09	24.23	7.76
J.P. Morgan 130/30	54.06	13.58	17.56	12.15	15.54	--
SSgA S&P 500 Hedge Blend	52.11	10.81	14.11	12.10	19.96	--
<i>US Equity Policy</i>		11.86	15.50	12.92	19.74	5.66
S&P 400 Canada Dollar Hedged		13.59	18.15	14.48	24.61	7.98
S&P 500 - Total Return Index		12.85	15.84	12.73	14.69	5.60
S&P 500 Canada Dollar Hedged		10.76	14.27	12.25	20.07	4.42
<b>Non-North American Mgrs</b>	122.26	5.78	14.08	6.77	12.64	1.89
Templeton International	57.77	4.42	11.16	4.23	9.36	(0.76)
MFS Investment Management	63.09	5.41	13.28	8.29	12.07	2.97
MFS/SSgA Hedge Blend	64.48	7.02	16.78	9.06	16.55	4.99
<i>MSCI EAFE Hedged to C\$ w/Gross Dividends--</i>		9.90	17.75	5.08	13.41	0.69
<i>MSCI EAFE Index</i>		7.37	13.64	5.54	10.13	(0.59)
<b>Fixed Income Managers</b>	158.83	0.78	4.55	6.37	6.17	5.89
State Street Global Advisors	134.13	0.71	4.54	6.37	6.17	5.86
Greystone Capital Management	24.70	1.31	4.13	--	--	--
<i>DEX Bond Universe Index</i>		0.69	4.54	6.45	6.12	5.86
<i>Dex ST 60 + MT 40 +50bp</i>		1.20	4.63	--	--	--
<b>Private Equity Manager</b>						
Adams Street Partners	\$ 15.03	4.32%	10.41 %	--%	--%	--%
<i>MSCI All Country World Index</i>		8.80	13.02	8.40	12.57	2.43
<b>Real Estate Managers</b>	13.36	2.32	9.85	--	--	--
Bentall Investment Management	10.04	8.59	16.81	--	--	--
GPM		5.90	17.59	--	--	--
<i>Bentall - IPD All Property Ind</i>		3.60	13.53	--	--	--
<i>GPM - IPD Industrial Index</i>						
<b>Other Absolute Return Strategy</b>	27.23	2.06	8.60	--	--	--
Romspen		1.20	4.63	--	--	--
<i>Dex ST 60 + MT 40 +50bp</i>						

# Performance Summary by Portfolio

## Annual Value Added by Asset Class – March 31, 2013

Rolling One Year Periods

	Market Value	03/31/13	03/31/12	03/31/11	03/31/10	03/31/09	03/31/08
<b>UWO Endowment - Total Fund</b>	<b>\$ 597.24</b>	<b>10.44%</b>	<b>3.22%</b>	<b>10.04%</b>	<b>23.11%</b>	<b>(18.42)%</b>	<b>(2.23)%</b>
Total Fund Policy		10.22	2.27	11.05	25.04	(20.29)	(2.11)
<b>Canadian Stock Managers</b>	<b>117.76</b>	<b>9.72</b>	<b>(7.07)</b>	<b>16.60</b>	<b>40.26</b>	<b>(31.22)</b>	<b>2.58</b>
Beutel, Goodman Capital Mgmt.	66.49	12.85	(2.52)	17.16	40.74	(24.16)	(0.99)
Greystone Canada	51.27	5.92	(13.62)	18.04	39.14	(35.48)	1.97
S&P/TSX Composite Index		6.11	(9.76)	20.41	42.15	(32.42)	4.00
<b>U.S. Stock Managers</b>	<b>132.74</b>	<b>16.25</b>	<b>7.28</b>	<b>14.34</b>	<b>38.79</b>	<b>(36.37)</b>	<b>(10.82)</b>
SSgA Midcap Hedge Blend	26.55	17.89	0.25	25.63	60.38	(38.99)	(10.15)
J.P. Morgan 130/30	54.08	17.56	9.76	9.33	26.32	(18.03)	--
SSgA S&P 500 Hedge Blend	52.11	14.11	7.74	14.59	46.99	--	--
US Equity Policy		15.50	7.59	15.88	42.78	(35.94)	(10.59)
S&P 400 Canada Dollar Hedged		18.15	1.01	25.71	60.70	(39.10)	(8.32)
S&P 500 - Total Return Index		15.84	11.52	10.88	20.77	(24.08)	(15.58)
S&P 500 Canada Dollar Hedged		14.27	8.02	14.59	46.94	(40.26)	(6.36)
<b>Non-North American Mgrs</b>	<b>122.26</b>	<b>14.08</b>	<b>(0.41)</b>	<b>7.13</b>	<b>32.29</b>	<b>(31.80)</b>	<b>(13.64)</b>
Templeton International	57.77	11.16	(4.04)	6.14	26.35	(32.70)	(12.75)
MFS Investment Management	63.09	13.28	3.60	8.21	24.21	(26.61)	--
MFS/SSgA Hedge Blend	64.48	16.78	3.04	7.86	42.20	(30.89)	--
MSCI EAFE Hedged to C\$ w/Gross Dividends-		17.75	(3.66)	2.28	42.60	(37.45)	(15.05)
MSCI EAFE Index		13.64	(2.71)	6.33	25.15	(34.03)	(13.08)
<b>Fixed Income Managers</b>	<b>158.83</b>	<b>4.55</b>	<b>9.52</b>	<b>5.11</b>	<b>5.57</b>	<b>4.75</b>	<b>6.37</b>
State Street Global Advisors	134.13	4.54	9.53	5.11	5.57	4.75	6.37
DEX Bond Universe Index		4.54	9.74	5.13	5.13	4.93	5.78
<b>Private Equity Manager</b>	<b>15.03</b>	<b>10.41</b>	<b>19.68</b>	<b>--</b>	<b>--</b>	<b>--</b>	<b>--</b>
Adams Street Partners		13.02	2.54	9.91	26.04	(29.78)	(11.66)
MSCI All Country World Index							
<b>Real Estate Managers</b>	<b>\$ 13.36</b>	<b>9.85%</b>	<b>--%</b>	<b>--%</b>	<b>--%</b>	<b>--%</b>	<b>--%</b>
Bentall Investment Management	10.04	16.81	--	--	--	--	--
GPM		17.59	--	--	--	--	--
Bentall - IPD All Property Ind		13.53	--	--	--	--	--
GPM - IPD Industrial Index							

SSgA Midcap Hedge Blend includes the history of the Northwater hedges.  
 SSgA S&P 500 Hedge Blend includes the history of the Northwater hedges.  
 MFS/SSgA Hedge Blend includes the history of the Northwater hedges.

# UWO Operating - Combined

## Total Fund Value Added – March 31, 2013

Generally value added from active management despite poor hedge fund performance

	1 Year Annualized	2 Years Annualized	3 Years Annualized	4 Years Annualized	5 Years Annualized	6 Years Annualized	7 Years Annualized	8 Years Annualized	9 Years Annualized	10 Years Annualized
UWO Annualized Return (1)	10.4	6.8	7.8	11.5	4.7	3.5	4.5	5.6	5.7	7.5
Policy Return (2)	10.2	6.2	7.8	11.9	4.5	3.4	4.3	5.4	5.5	7.2
Value Added	0.2	0.6	0.1	-0.4	0.2	0.1	0.3	0.2	0.2	0.2

	Yr Ending 3/31/2013	Yr Ending 3/31/2012	Yr Ending 3/31/2011	Yr Ending 3/31/2010	Yr Ending 3/31/2009	Yr Ending 3/31/2008	Yr Ending 3/31/2007	Yr Ending 3/31/2006	Yr Ending 3/31/2005	Yr Ending 3/31/2004
UWO Annual Return (1)	10.4	3.2	10.0	23.1	-18.4	-2.2	10.9	13.4	6.7	24.4
Policy Return (2)	10.2	2.3	11.1	25.0	-20.3	-2.1	9.6	14.1	6.1	24.2
Value Added	0.2	0.9	-1.0	-1.9	1.9	-0.1	1.2	-0.7	0.6	0.2

### Policy Mix as of March 31

S&P/TSX Composite	20%	20%	20%	20%	20%	20%	20%	20%	20%	20%
S&P 500	5%	5%	5%	5%	5%	15%	15%	10%	20%	20%
S&P 500 Hedged Currency	11%	11%	11%	11%	10%	5%	5%	10%	0%	0%
S&P 400 Hedged Currency	4%	4%	4%	4%	5%	5%	5%	5%	5%	5%
MSCI EAFE	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%
MSCI EAFE Hedged Currency	10%	10%	10%	10%	10%	5%	5%	5%	5%	5%
Total Equity	60%	60%	60%	60%	60%	60%	60%	60%	60%	60%
DEX Universe (3)	25%	25%	40%	40%	40%	40%	40%	40%	40%	40%
MSCI All Country World (ACWI)	5%	5%	0%	0%	0%	0%	0%	0%	0%	0%
90-Day LIBOR	5%	5%	0%	0%	0%	0%	0%	0%	0%	0%
Real Estate (4)	5%	5%	0%	0%	0%	0%	0%	0%	0%	0%

#### Notes:

- (1) All returns are before deducting investment managers' fees.
- (2) The UWO Policy Return is the return that would have been earned (before investment managers' fees) by investing the portfolio in index funds in proportion to the target or policy asset mix.
- (3) Includes hedge fund and private equity prior to July 2010
- (4) Current 5% allocation consists of 2.5% REALpac / IPD Canada - All Property Index and 2.5% REALpac / IPD Canada - All Industrials Index

# UWO Operating - Combined

## Total Fund Real Returns – March 31, 2013

A Real Return of 9.6% over the last 4 years and above the 4% Real Objective Over the Long Term

	1 Year	2 Years	3 Years	4 Years	5 Years	6 Years	7 Years	8 Years	9 Years	10 Years	20 Years
UWO Annualized Returns	10.4	6.8	7.8	11.5	4.7	3.5	4.5	5.6	5.7	7.5	7.9
CPI (Inflation)	1.0	1.5	2.1	1.9	1.8	1.7	1.8	1.8	1.9	1.8	1.8
Real Return	9.5	5.3	5.8	9.6	3.0	1.8	2.8	3.8	3.9	5.7	6.1

Yr Ending 3/31/2013    Yr Ending 3/31/2012    Yr Ending 3/31/2011    Yr Ending 3/31/2010    Yr Ending 3/31/2009    Yr Ending 3/31/2008    Yr Ending 3/31/2007    Yr Ending 3/31/2006    Yr Ending 3/31/2005    Yr Ending 3/31/2004

UWO Annual Returns	10.4	3.2	10.0	23.1	-18.4	-2.2	10.9	13.4	6.7	24.4
CPI (Inflation)	1.0	1.9	3.3	1.4	1.2	1.4	2.3	2.2	2.3	0.8
Real Return	9.5	1.3	6.7	21.7	-19.7	-3.6	8.5	11.2	4.4	23.7

*Western University*  
**2012-13 Operating Budget Update -- Preliminary Unaudited Financial Results**  
for the Year Ending April 30, 2013  
(\$000)

**<a> Summary**

		As presented to the Board <d>	Actual Budget	Increase/Decrease	
				\$	%
1	Revenues <b>	631,689	633,962	2,273	0.36%
2	Expenditures <c>	631,570	631,165	-405	-0.06%
3	Surplus / (Deficit)	119	2,797	2,678	
4	Operating Reserve -- Beginning of Year	43,947	43,947	0	
5	Surplus / (Deficit)	119	2,797	2,678	
6	Operating Reserve -- End of Year	44,066	46,744	2,678	

**<b> Revenue Changes**

7	Other Revenues - Robarts			872	
8	Program Expansion Grant - Medical Post-graduate			533	
9	Recoverable Salaries			342	
10	Research Overheads			318	
11	All Other			208	
12	Total Revenue Changes			2,273	

**<c> Expenditure Changes**

13	Medicine & Dentistry: Robarts			872	
14	Medicine & Dentistry: Post-graduate Medical Students			469	
15	Recoverable Salaries			342	
16	Net Employee Benefits			-1,477	
17	All Other			-611	
18	Total Expenditure Changes			-405	

<d> The 2012-13 projected budget was presented to the Board in April 2013.

## **SCHOLARSHIPS/AWARDS/PRIZES**

### **FOR APPROVAL**

#### **1. New Scholarships, Awards and Bursaries**

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

##### **Farida & R.K. Rahemtulla HBA Scholarship (Richard Ivey School of Business)**

Awarded annually to a first-year undergraduate student at Western who has been accepted into Ivey's Advanced Entry Opportunity (AEO), and who graduated from a publicly-funded high school in Alberta. The recipient will be awarded \$5,000 in AEO Year 1 and \$10,000 in HBA 1. If, for any reason, the AEO recipient does not enter HBA 1 at Ivey, she/he will forfeit the \$10,000, and another HBA 1 student who meets the award criteria, with preference given to qualified students who graduated from a publicly-funded high school in Alberta, and who is seeking to transfer to Western to attend HBA 1, will have the opportunity to apply for this award. The HBA Scholarship Committee will make the final selection of the award recipient. This award was established by a generous gift from Zaheeda & Nav Rahemtulla, HBA'98.

Value: 1 at \$15,000 (\$5,000 to be awarded in first year of AEO and \$10,000 to be awarded in HBA 1)  
Effective: 2013-2014 to 2021-2022 academic years inclusive (no new recipients will be selected in 2020-2021)

##### **Robert S. Rawlings Ontario Graduate Scholarship (School of Graduate and Postdoctoral Studies, Arts and Humanities)**

Awarded annually to a full-time masters or doctoral student in the Faculty of Arts and Humanities who is a current holder of an Ontario Graduate Scholarship or a Queen Elizabeth II Graduate Scholarship, based on academic achievement and research merit. The School of Graduate and Postdoctoral Studies will select the recipient in cooperation with the Faculty of Arts and Humanities. These scholarships are made possible by a generous gift from Mr. Robert S. Rawlings (HBA'51).

Value: 4 at \$5,000\*  
Effective: May 2012 to April 2017

*\*Ontario Graduate Scholarship (OGS) funding ensures a 2:1 match through the Provincial Government, increasing the value of these scholarships to \$15,000 each.*

##### **Sandra (Shelstad) Towler Flute Scholarship (Don Wright Faculty of Music)**

Awarded annually to an undergraduate student majoring in flute, in the second, third or fourth year of any program at the Don Wright Faculty of Music, who has achieved excellence in academics and flute performance. Preference will be given to a third or fourth-year student. The recipient will be selected each fall by the Don Wright Faculty of Music Scholarship Committee. This scholarship was established with Foundation Western by many family and friends in memory of Sandra (Shelstad) Towler (BMus'80).

*Sandra graduated from Western in 1980 with a Bachelor of Music Performance (Orchestral Instrument) and was a well-regarded flute player and musician. She completed her graduate performance degree at the Nordwestdeutsche Musikakademie in Germany. Sandra performed as a recital soloist and as an orchestra member in Canada, Europe and Israel. In London, she occasionally played with Orchestra London and the Fanshawe Concert Players Orchestra. Sandra was much loved by her many flute students in Canada, Germany and Israel. Sandra passed away in July 2011.*

Value: 1 at \$1,000  
Effective: 2013-2014 academic year

##### **Keyes Family Bursary (Any Undergraduate Faculty)**

Awarded annually to an undergraduate student in any year of any program who has demonstrated financial need. Online financial assistance applications are available on the Office of the Registrar's Web

site and must be submitted by October 31. The Office of the Registrar will select the recipient. This bursary was established by Mr. W. Robert Keyes (MBA'71, HBA'69).

Value: 1 at \$1,000  
Effective: 2013-2014 academic year

Konrad and Ruth Plumpe Scholarship in Engineering (Faculty of Engineering)

Awarded annually to undergraduate students in second, third or fourth year in the Faculty of Engineering, who have achieved academic excellence (minimum 80% average), and also have demonstrated financial need. Online financial assessment applications are available on the Office of the Registrar's Web site and must be completed by September 30. The Faculty of Engineering scholarship committee will select the recipients after the Office of the Registrar assesses financial need. These scholarships were established with Foundation Western by a generous gift from the Estate of Konrad and Ruth Plumpe, friends of Western.

*Konrad Plumpe was an engineer and believed in the transformative power of education.*

Value: 2 at \$2,000  
Effective: 2013-2014 academic year

Cheryl Waldrum Global Opportunities Award in Law (Faculty of Law)

Awarded annually to a full-time student enrolled in the Faculty of Law who is participating in Western Law's exchange program for one term at the University of Otago in New Zealand. Students may receive a Global Opportunities award only once during their Western Law academic career.

Students must have completed their prescribed academic program the previous year and currently be registered in a full-time course load. Students may apply for this award in advance of being accepted into an eligible international learning program, with receipt of the award contingent upon acceptance into the program.

Online applications are available on the Global Opportunities Web site, Western International. Applications are due on November 30 (for decisions in early January) and March 15 (for decisions in early May). Students will be selected based on a combination of academic achievement and a statement outlining how this experience will contribute to their development as a global citizen, what they expect to learn through their program of study, and how they will be an effective ambassador for Western. This award was established by Dr. Craig Brown in memory of Cheryl Waldrum, a graduate in Law of, and a faculty member at, both Western and the University of Otago.

Value: 1 at \$2,000\*  
Effective: 2013-2014 to 2015-2016 academic years inclusive

*\*The Donor's \$1,000 donation will be matched 1:1 by the University through the Global Opportunities Award Program*

John Gustavson Bursary in Arts and Humanities (Faculty of Arts and Humanities)

Awarded annually to an undergraduate student in any year in the Faculty of Arts and Humanities who has demonstrated financial need. Online financial assistance application forms are available on the Office of the Registrar's Web site and must be completed by October 31. The Office of the Registrar will select the recipient. This bursary was established by Mr. John Gustavson (LLB'72).

Value: 1 at \$3,500  
Effective: 2013-2014 to 2017-2018 academic years inclusive

Dr. Brian Thicke Award in Family Medicine (Schulich School of Medicine & Dentistry)

Awarded annually to a student in Year 3 of the Doctor of Medicine (MD) program who is interested in practicing Family Medicine in a rural or non-academic teaching environment. Applicants are asked to submit a one-page statement to the Department of Family Medicine by September 1. The statement will outline the applicant's interest in Family Medicine and potential to practice the core values of the traditional family physician (caring, compassionate and patient-centered), as well as how the applicant views her/his role as a leader in prevention and early detection as part of a wider health-care team. The Chair of Family Medicine, in consultation with a committee, will review the one-page statements and provide a short-list of finalists from which the Progression, Awards & Appeals Committee will select the recipient. This award was established by Mr. Alan Thicke (BA'67), Dr. Joanne Thicke (BA'77) and Mr. Todd Thicke (BA'78), in honour of their father, Dr. Brian Thicke (MD'56).

Value: 1 at \$1,000

Effective: 2013-2014 to 2022-2023 academic years inclusive

**The following new scholarship is funded through the operating budget and is presented for information only:**

School for Advanced Studies in the Arts and Humanities Entrance Scholarship

Awarded to full-time students applying for admission directly from secondary school who are admitted to the School for Advanced Studies in the Arts and Humanities. Students must have a minimum final admission average of 90% to be considered. All applicants to the School (including international students) are automatically considered for this award. Recipients will be chosen based on the quality of their application to the School by a committee comprised of the Director of the School and at least two of its Teaching Fellows. The number and value of the scholarships will be determined annually by the Director of the School. This scholarship can be held in conjunction with any other University award or scholarship.

Value: Up to 5 scholarships with value varying between \$500 and \$2500, depending on available funding.

Effective for 2013-2014 academic year

Ivey Alumni Association Calgary Chapter HBA Scholarship (Richard Ivey School of Business)

Awarded annually to a student entering HBA 1 at the Richard Ivey School of Business, based on demonstrated leadership and community involvement. The successful candidate will exhibit evidence of character, energy and leadership potential. Preference will be given to candidates from Western Canada. Final selection of the recipient will be made by the HBA Scholarship Review Committee. This award is made possible through the proceeds of the Ivey Leadership Award Dinner and the Ivey Alumni Association, Calgary Chapter.

Value: 1 at \$3,500

Effective: 2013-2014 to 2014-2015 academic years

Western Engineering Diversity Ambassador Scholarship (Faculty of Engineering)

Awarded annually to a full-time undergraduate student in third or fourth year of any program in the Faculty of Engineering, with academic achievement (minimum 80% average), and a demonstrated commitment to improving the diversity and inclusiveness of the Western Engineering Undergraduate Program. Online applications are available through the Faculty of Engineering's Web site and must be submitted by September 30 along with a one-page statement outlining these qualities. The recipient will be selected by the Undergraduate Awards Committee in the Faculty of Engineering. This scholarship was established with Foundation Western and made possible through the generous support of Western Engineering Alumni and members of the Faculty of Engineering.

*From 1990 to 2008, the Montreal Memorial Award was presented annually as a book award in memory of the fourteen female engineering students who were murdered at Montreal's Ecole Polytechnique on December 6, 1989. The Western Engineering Diversity Ambassador Scholarship was created to replace the Montreal Memorial Award.*

Value: 1 at \$1,100

Effective: 2013-2014 academic year

HBA '87 Darcy Doherty Memorial Scholarship (Richard Ivey School of Business)

Awarded annually to full-time HBA students at the Richard Ivey School of Business, based on academic achievement and demonstrated community leadership. Preference will be given to students who have graduated from a publicly-funded high school. Applications for this scholarship must be submitted to the HBA Programs Office by January 31. The HBA Scholarship Review Committee will make the final selection of the recipient. This scholarship was established with Foundation Western in memory of Darcy Doherty (HBA '87) by generous donations from the HBA Class of '87.

Value: 2 at \$5,400

Effective: 2013-2014 to 2017-2018 academic years inclusive

HBA '87 Barb (Hodgins) Soave Memorial Scholarship (Richard Ivey School of Business)

Awarded annually to full-time HBA students at the Richard Ivey School of Business, based on academic achievement and demonstrated community leadership. Preference will be given to students who have graduated from a publicly-funded high school. Applications for this scholarship must be submitted to the HBA Programs Office by January 31. The HBA Scholarship Review Committee will make the final selection of the recipient. This scholarship was established with Foundation Western in memory of Barb (Hodgins) Soave (HBA '87) by generous donations from the HBA Class of '87.

Value: 2 at \$5,400

Effective: 2013-2014 to 2017-2018 academic years inclusive

HBA '87 Jeffrey Hawkins Memorial Scholarship (Richard Ivey School of Business)

Awarded annually to full-time HBA students at the Richard Ivey School of Business, based on academic achievement and demonstrated community leadership. Preference will be given to students who have graduated from a publicly-funded high school. Applications for this scholarship must be submitted to the HBA Programs Office by January 31. The HBA Scholarship Review Committee will make the final selection of the recipient. This scholarship was established with Foundation Western in memory of Jeffrey Hawkins (HBA '87) by generous donations from the HBA Class of '87.

Value: 2 at \$5,400

Effective: 2013-2014 to 2017-2018 academic years inclusive

Nidhi Kanika Suri Memorial Award (Faculty of Law)

Awarded annually to a full-time undergraduate student in any year in the Faculty of Law, who has demonstrated financial need, as well as a strong community engagement with the law school by helping fellow students. The student selected will possess Kanika's drive, endearing spirit, passion for life, and capacity to bring joy to those around her. Online financial assistance applications are available from the Office of the Registrar's Web site and must be submitted by September 30. A one-page statement outlining the student's community engagement must also be submitted to the Dean's Office in the Faculty of Law by November 30. The recipient will be selected by the scholarship and awards committee in the Faculty of Law after the Office of the Registrar assesses financial need. This award was established with Foundation Western, and was made possible by the Suri family in honour of Kanika Suri (JD Law '12).

*Kanika decided to pursue a career in environmental law after completing her Law degree at The University of Western Ontario, a BA in environmental and political science at the University of Michigan, and working as an environmental consultant in the Alberta oil sands. Kanika was completing her articles at Fraser Milner Casgrain LLP in Toronto when she suddenly passed away on April 27, 2012. Her passion for environmental issues and her ambition to succeed would have contributed greatly to the law.*

Value: 1 at \$1,000

Effective: 2013-2014 academic year

Kay Miles (Easun) Swimming Award (Any Undergraduate or Affiliated University College Student – Athletic Award [Swimming])

Awarded annually to a full-time undergraduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a contribution as a member of the Mustang Swimming team. Preference will be given to a female student. Candidates who are intercollegiate

student athletes must be in compliance with current OUA and CIS regulations. As per OUA and CIS regulations, an entering student athlete must have a minimum admission average of 80% and a non-entering student must have an in-course average of 70%. The Western Athletic Financial Awards Committee will select the recipient. This committee will base its decision on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established with Foundation Western by Mr. James F. Miles, in honour of his sister Kay Miles (Easun) (BA '54).

*Kay excelled in basketball and volleyball during her time at Western from 1950 to 1954, but her true love was swimming. In 1953, Kay was the first and only woman to be awarded the Claude Brown Memorial Trophy for the student who made the greatest contribution to athletics within the University. Kay was inducted into Western's Sports Hall of Fame in 1981. Kay served as President of Masters Swimming Canada, and helped organize the first ever World Masters Games in Toronto in 1985 (with 1600 swimmers from 29 countries competing) and the Canadian Masters Games in 1987.*

Value: 1 at \$4,000

Effective: 2012-2013 to 2014-2015 academic years (with value to be reviewed thereafter)

Robert Macmillan Graduate Award in Educational Leadership (School of Graduate and Postdoctoral Studies, Education)

Awarded annually to a full-time graduate student who is working on a thesis at the Master's or Doctoral level in the Faculty of Education. Students must submit a one-page statement outlining how they have overcome adversity, and contributed to the larger community through demonstrated compassion and service. The statement with a list of references to support the evidence of service must be submitted to the Faculty of Education Graduate Office by May 25. The recipient will be selected by a panel of faculty members working with Educational Leadership graduate students, with at least one representative holding membership in the School of Graduate and Postdoctoral Studies. This award was established by Dr. Kathryn Noel, as well as friends and family, in memory of Dr. Robert B. Macmillan.

*Bob was a former teacher, principal, professor, Associate Dean of Graduate Studies and Research (Western), and Dean of Education (The University of Manitoba). Bob's work in leadership was the source of much joy for him. Throughout his career, he was moved to respond compassionately to the needs of others and to offer guidance in difficult times. He was especially dedicated to his graduate students in the field of Educational Leadership and helped them to overcome personal challenges as well as to do excellent academic work. It was Bob's hope that students would use their skills and knowledge in their own efforts to respond to the needs of others and ultimately to improve the lives of teachers and students in schools. Bob passed away in 2012 at the age of 59.*

Value: 1 at \$1,000

Effective: May 2013 to April 2020 inclusive (with value to be reviewed thereafter)

Julie Polanski Memorial Award (Faculty of Health Sciences)

Awarded annually to an undergraduate student in fourth-year Kinesiology who has demonstrated financial need and academic achievement. Online financial assistance application forms are available through the Office of the Registrar's Web site and must be completed by September 30. The scholarship committee in the Faculty of Health Sciences will select the recipient after the Office of the Registrar has assessed financial need. This award was established by Ms. Marie Dudek and Mr. John Polanski in memory of their daughter Julie Polanski (BA'07 Kinesiology).

*Julie dreamed of becoming a Kinesiologist and the path to that dream began at Western. Generous to all, Julie saw the best in everyone. Julie was a proud Mustang, who passed away in 2011 from cancer (melanoma) four years after graduation, at the age of 26.*

Value: 1 at \$1,500

Effective: 2013-2014 to 2017-2018 academic years inclusive

Stanley and Eileen Miller Scholarship in Medicine (Schulich School of Medicine & Dentistry, Medicine)

Awarded annually to full-time undergraduate students entering first year of the Doctor of Medicine (MD) program at the Schulich School of Medicine & Dentistry, with demonstrated financial need. Preference will be given to students from the Burlington area. Online financial assistance applications are available through the Office of the Registrar's Web site and must be completed by September 30. The Office of the Registrar will select the recipients. This scholarship was established with Foundation Western by a generous gift from the Estate of Stanley and Eileen (BA'43) Miller.

*Eileen graduated from Western in 1943 and taught for many years at the Burlington Central High School, John A. Lockhart Public School and Pineland Public School. Eileen passed away in 2011 at age 93. She was predeceased by her husband Stanley in 1964.*

Value: 2 at \$4,000  
Effective: 2013-2014 academic year

Robert Mustard Football Scholarship (Any Undergraduate, Graduate or Affiliated University College Student - Athletic Award [Football])

Awarded annually to a full-time undergraduate or graduate student in any year of any degree program, including the Affiliated University Colleges, based on academic achievement and demonstrated leadership qualities as a member of the Mustang football team. Candidates must be in compliance with current OUA and CIS regulations. As per current OUA and CIS regulations, an entering student athlete must have a minimum admission average of 80% and a non-entering student must have an in-course average of 70%. The Western Athletic Financial Awards Committee will select the recipient based on its evaluation of academic performance/potential (20%) and the written recommendation from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This scholarship was established by Mr. Robert K. Mustard (BA'83).

Value: 1 at \$1,500  
Effective: 2013-2014 to 2015-2016 academic years inclusive

2. **Scholarship and Award Revisions**

On behalf of the Board of Governors, the Property and Finance Committee has approved the following revisions to the terms of reference of scholarships, awards, bursaries and prizes:

Foundation Western HBA Continuing Award (Richard Ivey School of Business)

Change in value from: 1 at \$1,000, continuing for two years  
To: 1 at \$1,800, continuing for two years  
Effective: 2013-2014 academic year

Carol Buck Graduate Scholarship (School of Graduate and Postdoctoral Studies, Epidemiology & Biostatistics)

Change in name, criteria and value from:

Awarded to a full-time graduate student in Epidemiology & Biostatistics ~~at the end of his/her~~ first year, based on academic achievement (~~minimum 78%~~) and development of his or her thesis project. A faculty committee in the Department of Epidemiology & Biostatistics will select the recipient. The committee will include representation from at least one faculty member who is also a member of the School of Graduate and Postdoctoral Studies. This ~~award~~ was established through Foundation Western to honour Dr. Carol Buck, MD, PhD, DipPH, FRS (Can), a former professor in the Department of Epidemiology & Biostatistics.  
Value: 1 at \$1,000

To: Carol Buck Graduate Scholarship in Epidemiology

Awarded **annually** to a full-time graduate student in Epidemiology & Biostatistics **after** first year, based on academic achievement and development of his or her thesis project. A faculty committee in the Department of Epidemiology & Biostatistics will select the recipient. The committee will include representation from at least one faculty member who is also a member of the School of Graduate and Postdoctoral Studies. **The scholarship will be awarded in a ceremony following the annual Carol Buck Lecture, given by a distinguished academic from the field of Epidemiology.** This **scholarship**

was established **with** Foundation Western to honour Dr. Carol Buck, MD, PhD, DipPH, FRS (Can), a former professor in the Department of Epidemiology & Biostatistics.

**Dr. Carol Buck was a faculty member with the department of Epidemiology & Biostatistics from 1952 to 2004. Throughout her career, Dr. Buck's work demonstrated a passionate commitment to advancing human health. Using rigorous methods of epidemiology to identify and correct the causes and determinants of ill-health, she became an international leader in the discipline. Carol's colleagues and former students respected her amazing clarity of thought and communication. She was a gifted teacher who had a significant impact on many graduate students, medical students and colleagues.**

Value: 1 at \$5,000  
Effective: May 2013

Westeinde Family Continuing Award in Environmental Engineering (Faculty of Engineering)

Change in criteria from:

Awarded to a full-time undergraduate student entering second year in the Civil and Environmental Engineering program and pursuing an Environmental Engineering option, based on academic achievement (minimum 70% average) and financial need. This award will continue to a maximum of three years as long as the recipient continues to meet the criteria. Applications can be accessed online through the ~~Registrarial Services's~~ Web site and must be submitted by September 30. ~~Registrarial Services~~ will assess the financial need and the Faculty of Engineering will select the recipient. At the end of this period, or should the recipient no longer qualify, a new recipient will be selected. Only one student may hold this award at any given time. This award was established by Mr. John Westeinde (BESc '62) through Foundation Western.

~~This award is offered through the Ontario Trust for Student Support program, and recipients must meet Ontario residency requirements.~~

To: Awarded to a full-time undergraduate student entering second year in the Civil and Environmental Engineering program and pursuing an Environmental Engineering option, based on academic achievement (minimum 70% average) and financial need. This award will continue to a maximum of three years as long as the recipient continues to meet the criteria. Applications can be accessed online through the **Office of the Registrar's** Web site and must be submitted by September 30. The **Office of the Registrar** will assess the financial need and the Faculty of Engineering will select the recipient. At the end of this period, or should the recipient no longer qualify, a new recipient will be selected. Only one student may hold this award at any given time. This award was established by Mr. John Westeinde (BESc '62) through Foundation Western.

Effective: 2013-2014 academic year

Mary Irene Rice Award in Nursing (Faculty of Health Sciences, Nursing)

Change in criteria and value from:

Awarded to a full-time student registered in third year of the Nursing program (minimum 70% average) who has demonstrated financial need. ~~Preference will also be given to students who are Ontario residents.~~ Online applications are available through the Office of the Registrar's Web site and must be submitted by September 30. The scholarship/awards committee in the School of Nursing will select the recipient after the Office of the Registrar has assessed financial need. This award was established by Dr. Donald G. Rice in memory of his wife Mary Irene Rice with Foundation Western.

Value: 1 at \$800

To: Awarded to a full-time student registered in third year of the Nursing program (minimum 70% average) who has demonstrated financial need. Online applications are available through the Office of the Registrar's Web site and must be submitted by September 30. The scholarship/awards committee in the School of Nursing will select the recipient after the Office of the Registrar has assessed financial need. This award was established by Dr. Donald G. Rice in memory of his wife Mary Irene Rice with Foundation Western.

Value: 1 at \$1,000  
Effective: 2013-2014 academic year

***This gift is supported by the Ontario Student Opportunity Trust Fund program and recipients must meet Ontario residency requirements.***

Medical Student Bursary (Schulich School of Medicine & Dentistry)

Change in value and effective date from:

Value: 3 at \$1,000

Effective: 2009-2010 to 2013-2014 academic years inclusive

Value: 1 at \$1,000

Effective: 2014-2015 and thereafter

To: 3 at \$1,000

Effective: 2013-2014 academic year

Ralph S. Devereux Award in Psychology (School of Graduate and Postdoctoral Studies, Psychology)

Change in value from: 1 at \$1,000

To: 1 at \$1,500

Effective: May 2013

McArdle-MacKinnon 125th Anniversary Alumni Award (Faculty of Law)

Change in value from: 1 at \$1,000

To: 1 at \$2,200

Effective: 2013-2014 academic year

Dr. Alexander Graham Accessibility Award (Schulich School of Medicine & Dentistry)

Change in value from: 1 at \$625

To: 1 at \$900

Effective: 2013-2014 academic year

Dr. Catherine M. Copeland 125th Anniversary Alumni Accessibility Award (Schulich School of Medicine & Dentistry)

Change in value from: 1 at \$650

To: 1 at \$900

Effective: 2013-2014 academic year

Rob Schmidt Memorial Award (Any Undergraduate or Graduate Program including the Affiliated University Colleges – Athletic Award [Tennis])

Change in value from: 1 @ \$1,000

To: 2 at \$500

Effective: 2012-2013 academic year only (will revert back to "1 at \$1,000" for the 2013-2014 academic year)

Oticon People First Scholarship (School of Graduate and Postdoctoral Studies, Audiology)

Change in value from: 1 at \$500

To: 1 at \$1,500

Effective: May 2010 to April 2015

Unitron Hearing Entrance Award in Clinical Audiology (School of Graduate and Postdoctoral Studies, Audiology)

Change in name, criteria and value from:

Awarded to a full-time student of outstanding quality entering the first year of the ~~Communication Sciences and Disorders~~ program in Audiology. Selection will be based on academic achievement (minimum 78% average) with preference given to the student who demonstrates all around excellence and exceptional potential relating to the practice of Clinical Audiology. The recipient will be selected by a committee within the School of Communication Sciences and Disorders. At least one member of the committee will also hold current membership in the School of Graduate and Postdoctoral Studies. This award is made possible by a generous donation from Unitron Hearing.

Value: 1 at \$8,000

Effective: 2007-2008 to 2009-2010

To: Unitron Entrance Award in Clinical Audiology  
Awarded **annually** to a full-time student of outstanding quality entering the first year of the **Master of Clinical Science Audiology** program. Selection will be based on academic achievement, with preference given to the student who demonstrates all around excellence and exceptional potential that relates to the practice of Clinical Audiology. The recipient will be selected by a committee within the School of Communication Sciences and Disorders. At least one member of the committee will also hold current membership in the School of Graduate and Postdoctoral Studies. This award is made possible by a generous donation from Unitron **Canada**.

Value: 1 at \$5,000  
Effective: May 2013 to April 2018 inclusive

IODE The Colonel William Gartshore Chapter Bursary (School of Graduate & Postdoctoral Studies, Occupational Therapy, Physical Therapy, Communication Sciences and Disorders)

Change in criteria and value from:

Awarded to students entering Occupational Therapy, Physical Therapy, or the Preparatory year of the Communicative Disorders program. Established through the generosity of the IODE (The Colonel William Gartshore Chapter.)

Value: 1 at \$500

To: Awarded to a student entering Occupational Therapy, Physical Therapy or Communication Sciences and Disorders, who has demonstrated financial need. Applicants are required to submit a one-page statement to the Graduate Affairs Assistant in the School of Occupational Therapy, Physical Therapy or Communication Sciences and Disorders by November 1 outlining their area of research studies and financial need requirements. This bursary was established through the generosity of the IODE, The Colonel William Gartshore Chapter, in London, Ontario.

Value: 1 at \$1,000  
Effective: May 2012 to April 2018 (with value to be reviewed each year)

Newalta Corporation - Western Fund Ontario Graduate Scholarship (School of Graduate and Postdoctoral Studies, Engineering)

Change in criteria from:

Awarded to a full time Masters or Doctoral graduate student in the Faculty of Engineering who is a holder of an Ontario Graduate Scholarship or an Ontario Graduate Scholarship in Science and Technology based on academic achievement and research merit. ~~Preference will be given to a graduate student who is conducting research in the area of environmental engineering related to waste treatment, recovery, recycling or environmental research.~~ The School of Graduate and Postdoctoral Studies will select the recipient in consultation with the Faculty of Engineering.

To: Awarded to a full-time masters or doctoral graduate student in the Faculty of Engineering who is a holder of an Ontario Graduate Scholarship or an Ontario Graduate Scholarship in Science and Technology, based on academic achievement and research merit. **The student must be** conducting research in the area of environmental engineering related to waste treatment, recovery, recycling or environmental research. The School of Graduate and Postdoctoral Studies will select the recipient in consultation with the Faculty of Engineering. **These scholarships were made possible by a generous gift from Newalta Corporation and the Western Fund.**

Effective: May 2013

Newalta Corporation Ontario Graduate Scholarship (School of Graduate and Postdoctoral Studies, Engineering)

Change in criteria from:

Awarded to a full time Masters or Doctoral graduate student in the Faculty of Engineering who is a holder of an Ontario Graduate Scholarship or ~~a Queen Elizabeth II Scholarship~~, based on academic achievement and research merit. ~~Preference will be given to a graduate student who is conducting research in the area of environmental engineering related to waste treatment, recovery, recycling or environmental research.~~ The School of Graduate and Postdoctoral Studies will select the recipient in

consultation with the Faculty of Engineering. These scholarships were made possible by a generous gift from Newalta Corporation.

To: Awarded to a full time masters or doctoral graduate student in the Faculty of Engineering who is a holder of an Ontario Graduate Scholarship or **an Ontario Graduate Scholarship in Science and Technology**, based on academic achievement and research merit. **The student must be** conducting research in the area of environmental engineering related to waste treatment, recovery, recycling or environmental research. The School of Graduate and Postdoctoral Studies will select the recipient in consultation with the Faculty of Engineering. These scholarships were made possible by a generous gift from Newalta Corporation.

Effective: May 2013 to April 2016 inclusive

Larry Shaw Athletic Continuing Entrance Scholarships (Any Undergraduate Program including the Affiliated University Colleges – Athletic Award [Any Varsity Team])

Change in name, criteria and value from:

Awarded to full-time students entering ~~first year~~ at Western or one of the Affiliated University Colleges who are members of a varsity team, ~~based on academic achievement~~ (minimum 80% average). The recipients will continue to receive the scholarship provided that they maintain a 70% academic average along with a full-time course load and continue to make a contribution as members of a varsity team. Candidates who are intercollegiate student athletes must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipients. Once a ~~current~~ recipient ~~completes his or her program or fails to qualify to continue receiving the scholarship, another student~~ will be selected. These scholarships were established by Mr. Larry Shaw (HBA'62) through Foundation Western.

Value: 2 at \$2,500 continuing up to four years

To: Larry Shaw Athletic Award

Awarded to full-time students entering **Year 2** at Western or one of the Affiliated University Colleges, who are members of a varsity team (minimum **70%** average). **Preference will be given to one student who is a member of the Mustang football team and one student who is a female athlete.** The recipients will continue to receive the **award for Years 3 and 4** provided that they **continue to** maintain a 70% academic average along with a full-time course load, and continue to make a contribution as **a** member of a varsity team. Candidates who are intercollegiate student athletes must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipients **based on its evaluation of academic performance/potential (20%) and the written recommendation from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively).** Once a recipient **no longer qualifies** to continue receiving the **award, a new recipient** will be selected. **Only two recipients can hold this award at any time.** These **awards** were established with Foundation Western by Mr. Larry Shaw (HBA'62).

Value: 2 at \$4,000 continuing for up to three years

Effective: 2013-2014 academic year

Rowntree Prizes in Medical History (Schulich School of Medicine & Dentistry)

Change in name and value from: \$100, \$75 and \$50

To: Rowntree Prize in Medical History

Value: 1 at \$250

Effective 2013-2014

Marlene Lee Scholarship (Faculty of Social Science)

Change in value from: 1 at \$250

To: 1 at \$675

Effective: 2013-2014 academic year

Geoff Bain Award for Field Research (Faculty of Science)

Change in value from: 1 at \$100

To: 1 at \$150

Effective: 2013-2014 academic year

Grad Pact '91 Social Science Award (Faculty of Social Science)

Change in value from: 5 at \$250

To: 2 at \$600

Effective: 2013-2014 academic year

John R. White Bursary (Faculty of Engineering)

Change in value from: 1 at \$500

To: 1 at \$1,500

Effective: 2013-2014 academic year

Richard C. Seewald Entrance Scholarship in Audiology (School of Graduate and Postdoctoral Studies, Audiology)

Change in value from: 1 at \$1,000

To: 1 at \$1,500

Effective: May 2013

T.W.W. Stewart Bursary (Faculty of Science, Physics)

Change in value from: 1 @ \$250

To: 1 at \$132.50

Effective: 2013-2014 academic year only

Earl Orser Bursaries (Any Undergraduate Faculty)

Change in value from : 1 @ Up to \$200

To: 1 at \$1,500

Effective: 2013-2014 academic year only

Stephen Cuddy Memorial HBA Award (Richard Ivey School of Business)

Change in effective date from: 2009-2010 to 2013-2014 academic years inclusive

To: 2014-2015 to 2018-19 academic years inclusive

Mary Louise and Dr. Peter Cameron Scholarships (Any Undergraduate Program)

Change in criteria from:

Awarded to undergraduate students entering first year of any program with an 80% admission average who also have a mobility, visual or hearing impairment. These scholarships will continue as long as the recipient maintains an average of ~~80% and full-time status~~. If the recipient fails to retain the scholarship, another student from the same year will be selected. These scholarships are not available to students who hold another scholarship or award of equal or greater value. These scholarships were established through Foundation Western by a generous gift from the Memorial Funeral Home

To: Awarded to undergraduate students entering first year of any program with an 80% admission average who also have a mobility, visual or hearing impairment. These scholarships will continue as long as the recipient maintains an average of **75% and a course load of 2.0 or higher**. If the recipient fails to retain the scholarship, another student from the same year will be selected. These scholarships are not available to students who hold another scholarship or award of equal or greater value. These scholarships were established through Foundation Western by a generous gift from the Memorial Funeral Home.

Effective: 2012-2013 academic year

Mary Louise and Dr. Peter Cameron Ontario Graduate Scholarship (School of Graduate and Postdoctoral Studies)

Change in criteria from:

Awarded to a graduate student, with a mobility, hearing or visual disability, in any program at the Masters or Doctoral level who is a current holder of an Ontario Graduate Scholarship or an ~~Ontario~~ Graduate Scholarship in Science and Technology based on academic achievement (minimum 78%) and research merit. The School of Graduate and Postdoctoral Studies will select the recipient. This scholarship was made possible by a generous gift from Memorial Funeral Services Cooperative of London and District in honour of Dr. and Mrs. Cameron through Foundation Western.

To: Awarded to a graduate student, with a mobility, hearing or visual disability, in any program at the masters or doctoral level who is a current holder of an Ontario Graduate Scholarship or a **Queen Elizabeth II** Graduate Scholarship in Science and Technology (**QEIGSST**) based on academic achievement (minimum 78%) and research merit. **If there is no OGS/QEIGSST holder, then the scholarship will be offered to a non-OGS/ QEII-GSST student.** The School of Graduate and Postdoctoral Studies will select the recipient. This scholarship was made possible by a generous gift from Memorial Funeral Services Cooperative of London and District in honour of Dr. and Mrs. Cameron through Foundation Western.  
Effective: May 2013

Dr. John D. Brown Memorial Resident Award (Schulich School of Medicine & Dentistry)

Change in number from: 1 at \$4,000

Change to: 2 at \$4,000

Effective: 2012-2013 academic year

Change in number from: 2 at \$4,000

Change to: 1 at \$4,000

Effective: 2013-2014 academic year

Cavalluzzo Hayes Shilton McIntyre & Cornish Award in Labour Law (Faculty of Law)

Change in criteria from:

Awarded annually to the student or students who achieve the highest academic standing in the **Advanced** Labour Law course. The Faculty of Law will select the recipient(s).

To: Awarded annually to the student or students who achieve the highest academic standing in the **Introduction to** Labour Law course. The Faculty of Law will select the recipient(s).

Effective: 2012-13 to 2014-2015 academic years inclusive

**The following scholarships are funded through the Operating Budget and the revisions are presented for information only:**

Dean's Entrance Scholarship (Faculty of Arts and Humanities)

Change in criteria from:

Awarded to full-time students entering the first year of an undergraduate program in the Faculty of Arts and Humanities. Students must have a final admission average between 84% and 87.9%. The Scholarship Committee of the Faculty of Arts and Humanities will select recipients of the award. The number of scholarships will be determined annually by the Dean of the Faculty of Arts and Humanities.  
Effective: 2012-2013 academic year

To: Awarded to full-time students entering the first year of an undergraduate program in the Faculty of Arts and Humanities **who are registered in a minimum of 2.0 Arts and Humanities courses**. Students must have a final admission average between 84% and 87.9%. The Scholarship Committee of the Faculty of Arts and Humanities will select recipients of the award. The number of scholarships will be determined annually by the Dean of the Faculty of Arts and Humanities.

Effective for 2013-2014 academic year

Faculty of Arts and Humanities Entrance Scholarship of Excellence (Faculty of Arts and Humanities)

Change in criteria from:

Awarded to full-time students entering the first year of an undergraduate program in the Faculty of Arts and Humanities. Students must have a minimum final admission average of 88% and be eligible for a University entrance scholarship (Western Scholarship of Distinction, Western Scholarship of Excellence or a Continuing Admission Scholarship). This scholarship will be a supplement to the University entrance scholarship. The Scholarship Committee of the Faculty of Arts and Humanities will select recipients of the award. The number of scholarships will be determined annually by the Dean of the Faculty of Arts and Humanities.

To: Awarded to full-time students entering the first year of an undergraduate program in the Faculty of Arts and Humanities **who are registered in a minimum of 2.0 Arts and Humanities courses**. Students must have a minimum final admission average of 88% and be eligible for a University entrance scholarship (Western Scholarship of Distinction, Western Scholarship of Excellence or a Continuing Admission Scholarship). This scholarship will be supplemental to the University entrance scholarship. The Scholarship Committee of the Faculty of Arts and Humanities will select recipients of the award. The number of scholarships will be determined annually by the Dean of the Faculty of Arts and Humanities.

Effective for 2013-2014 academic year

Dr. Dana Winterburn Memorial Award (Schulich School of Medicine & Dentistry, Family Medicine)

Change in Effective Date from: 2013-2014 academic year

To: 2012-2013 academic year

ASHRAE Award - Year Four Mechanical and Materials Engineering (Faculty of Engineering)

Change from:

Value: 1 @ \$500 and a one-year ASHRAE student membership and the ASHRAE Fundamentals Handbook

To:

Value: 2 @ \$250 and a one-year ASHRAE student membership and Fundamentals Handbook for each

Effective: 2012-2013 academic year only (will revert back to 1 for 2013-2014).

Advancing Canadian Entrepreneurial HBA Awards (Richard Ivey School of Business)

Change in name to: Enactus Canada Entrepreneurial Award

Effective: 2013-2014 academic year

Ken Chu Master of Public Administration International Scholarships (School of Graduate and Postdoctoral Studies, Public Administration)

Change in name, number and value from: 2 at \$33,333 per year

Effective: May 2010 - April 2013

To: Ken Chu Master of Public Administration International Scholarship

Value: 1 at \$30,000

Effective: May 2013 to April 2014 (will revert to "2 at \$30,000" for May 2014 to April 2015 academic year, and then back to "1 at \$30,000" for May 2015 to April 2016 academic year)

Evanov Radio Group Music Entrance Scholarship (Don Wright Faculty of Music)

Change in number from: 1 at \$1,826

Effective: 2011-2012 to 2017-2018 academic years inclusive

To: 2 at \$1,826

Effective 2012-2013 academic year (will revert back to "1 at \$1,826" for 2013-2014 to 2016-2017 academic years inclusive)

Ontario Medical Association Student Bursary (Schulich School of Medicine & Dentistry, Medicine)

Change in criteria and value from:

Awarded to a student in the undergraduate Doctor of Medicine (MD) program who demonstrates financial need. This bursary was established by generous donations from medical alumni and friends and the Ontario Medical Foundation.

Value: 1 at \$925

To: Awarded to students in any year of the Doctor of Medicine (MD) program who demonstrate financial need. This bursary was established with Foundation Western by generous donations from medical alumni and friends and the Ontario Medical Foundation.

Value: 4 at \$1,500

Effective: 2013-2014 academic year

Gudewill Scholarships (Richard Ivey School of Business)

Change in name and criteria from:

Awarded annually to students entering HBA1 and HBA2 at the Richard Ivey School of Business ~~with a passion for entrepreneurship, who have graduated from a publicly funded high school, based on academic achievement.~~ Preference will be given to students who are residents of British Columbia. The HBA Scholarship Committee will make the final selection of the recipients. These ~~scholarships~~ were established with a generous gift from the Gudewill Family.

Value: ~~1 at \$10,000 for an HBA 1 student and 1 at \$10,000 for an HBA 2 student (not a continuing award)~~

Effective: 2012-2013 academic year only

To: Gudewill HBA Award

Awarded annually to students entering HBA 1 and HBA 2 at the Richard Ivey School of Business **who have demonstrated an interest in entrepreneurship and** who have graduated from a publicly-funded high school. Preference will be given to students who are residents of British Columbia. **Applications for this award can be obtained from the HBA Program Services Office at the Richard Ivey School of Business and must be submitted by January 31.** The HBA Scholarship Committee, **in consultation with the Pierre L. Morrisette Institute for Entrepreneurship,** will make the final selection of the recipients. These **awards** were established with a generous gift from the Gudewill Family **to help recruit and retain the best and brightest students, preferably from British Columbia, to the Richard Ivey School of Business.**

Value: **2 at \$10,000 (HBA 1 and HBA 2)**

Effective: 2013-2014 to 2017-2018 academic years inclusive

CMA Career Passport Awards (Faculty of Social Science, Management and Organizational Studies)

Change in effective date from: 2011-2012 to 2012-2013 academic years only

To: 2013-2014 academic year only

HBA '87 Scholarships (Richard Ivey School of Business)

Change in name and number from: 5 at \$5,000

To: HBA '87 Scholarship

Value: 1 at \$5,000

Effective: 2013-2014 academic year

Western Alumni Global Opportunities Award in Social Science (Faculty of Social Science)

Change in number and value from: 4 at \$2,000

To: 2 at \$2,000 and 7 at \$1,000

Effective: 2012-2013 academic year

Change in number and value from: 2 at \$2,000 and 7 at \$1,000

To: 3 at \$2,000

Effective: 2013-2014 academic year

Donald S. Moore Award in Occlusal Therapy (Schulich School of Medicine & Dentistry, Dentistry)

Change in value from: 1 up to \$500

To: 1 at \$250

Effective: 2012-2013 academic year

Robert K. Swartman Award for Innovation (Faculty of Engineering)

Change in criteria and value from:

Awarded annually to a full-time student in Year 3 or 4 of any undergraduate Engineering program who demonstrates exceptional engineering innovation, and exhibits creative ideas or approaches to engineering problems. Innovation may be demonstrated through activities related to courses or activities within the engineering curriculum, an extracurricular project, or innovation activities outside the university setting (e.g., a co-op or internship placement, volunteer activity, job or self-owned business).

Interested students should write an essay describing their innovation and highlight their initiative related to their innovation. The written essay should not exceed 1,500 words. Diagrams and letters of recommendation may be included, in addition to the essay. Applications will be assessed and rated by a committee that includes ~~a faculty member from each of Western Engineering's four departments~~, and at least three non-Western Engineering volunteers (alumni if possible) who have an engineering and/or business background. The committee may choose to invite candidates to make a formal presentation no later than the end of the winter term exam period. Applications must be submitted online to the ~~Undergraduate Student Office~~ in the Faculty of Engineering by March 15. This award was established by Tim Kwan (BESc'73) in honour of Professor Robert K. Swartman.

Value: 4 at \$1,000  
Effective: 2012-2013 only

To: Awarded annually to a full-time student **or a group/team of students** in Year 3 or 4 of any undergraduate Engineering program who demonstrates exceptional engineering innovation, and exhibits creative ideas or approaches to engineering problems. Innovation may be demonstrated through activities related to courses or activities within the engineering curriculum, an extracurricular project, or innovation activities outside the university setting (e.g., a co-op or internship placement, volunteer activity, job or self-owned business). Interested students should write an essay **that** describes their innovation and highlights their initiative related to their innovation. The written essay should not exceed 1,500 words. Diagrams and letters of recommendation may be included, in addition to the essay. Applications will be assessed and rated by a committee that includes **the Associate Dean Academic**, and at least three non-Western Engineering volunteers (alumni if possible) who have an engineering and/or business background. The committee may choose to invite candidates to make a formal presentation no later than the end of the winter term exam period. Applications must be submitted online **or in person** to the **Office of External Services** in the Faculty of Engineering by March 1. This award was established by Tim Kwan (BESc'73) in honour of Professor Robert K. Swartman.

Value: 1 at \$2,500 or if a team, \$2,500 will be divided evenly among the team members  
Effective: 2013-2014 to 2019-2020 academic years inclusive

Elsie Victoria Laing Award in Nursing (Faculty of Health Sciences, Nursing)

Change in value from: 1 at \$6,500

Effective: 2009-2010 academic year only

To: 1 at \$1,350

Effective: 2013-2014 academic year (with value to be reviewed each year)

Jock Tindale Memorial Award (Faculty of Engineering)

Value: 1 @ \$2,500

Effective date: 2010-2011 only (to be reviewed again for 2011-2012)

Value will remain as: 1 at \$2,500

Effective: 2013-2014 academic year (with value to be reviewed again for 2014-2015)

Blake, Cassels & Graydon LLP Scholarship (Faculty of Law)

Change in criteria from:

Awarded to second-year Law students who demonstrate academic excellence in the first year of their law studies. To be eligible, a student will have obtained an academic standing in the top 10% of the law school class and demonstrated financial need. Additional selection criteria may include: membership in a historically disadvantaged group, as outlined by the Ontario Human Rights Commission; involvement in the community; participation in extracurricular activities at the University or the Law School; and, whether the student has multiple responsibilities and limited support. The award will continue into third year if the recipient's second year average places him or her in the top 20% of the class for that year and he or she continues to demonstrate financial need. Candidates must complete an online financial need application through the Office of the Registrar's Web site, in addition to completing an application form through the Student Services Office of the Law School (both of which are due September 30). The Registrar's Office will assess financial need and the Faculty of Law will make the final selection. This scholarship was established by a generous gift from Blake Cassels & Graydon, LLP.

~~This scholarship is being redirected under the Ontario Trust for Student Scholarship Program and as a requirement, recipients must meet Ontario residency requirements.~~

To: Awarded to second-year Law students who demonstrate academic excellence in the first year of their law studies. To be eligible, a student will have obtained an academic standing in the top 10% of the law school class and demonstrated financial need. Additional selection criteria may include: membership in a historically disadvantaged group, as outlined by the Ontario Human Rights Commission; involvement in the community; participation in extracurricular activities at the University or the Law School; and, whether the student has multiple responsibilities and limited support. The award will continue into third year if the recipient's second-year average places him or her in the top 20% of the class for that year and he or she continues to demonstrate financial need. Candidates must complete an online financial need application through the Office of the Registrar's Web site, in addition to completing an application form through the Student Services Office of the Law School (both of which are due September 30). The Registrar's Office will assess financial need and the Faculty of Law will make the final selection. This scholarship was established by a generous gift from Blake Cassels & Graydon, LLP.

Effective: 2013-2014 academic year

Mary Campbell Memorial Award for Mature Students (Any Undergraduate Program)

Change in criteria from:

Awarded to a full-time undergraduate student in any year of any degree program who was admitted to Western as a Mature Student, based on financial need and academic achievement (minimum 70% average). Preference will be given to female candidates. Applications can be accessed online through the ~~Registrarial Services~~ Web site and must be submitted by September 30. This award was established by memorial donations from the friends and colleagues of Mary Campbell, a valued employee of Western and a London community leader, through the Mary Campbell Trust Fund.

~~This award is offered through the Ontario Trust for Student Support (OTSS) program, and recipients must meet Ontario residency requirements.~~

To: Awarded to a full-time undergraduate student in any year of any degree program who was admitted to Western as a Mature Student, based on financial need and academic achievement (minimum 70% average). Preference will be given to female candidates. Applications can be accessed online through the **Office of the Registrar's** Web site and must be submitted by September 30. This award was established by memorial donations from the friends and colleagues of Mary Campbell, a valued employee of Western and a London community leader, through the Mary Campbell Trust Fund.

Effective: 2013-2014 academic year

C.B. (Bud) Johnston MBA Scholarship (School of Graduate and Postdoctoral Studies, MBA)

Change in criteria from:

Awarded to full-time students entering the Master of Business Administration program at the Richard Ivey School of Business who have demonstrated outstanding academic merit (minimum 80% average) and financial need. Applications are available through the MBA Program Office. The deadline for submission is January 1. Final selection of recipients will be made by the MBA Scholarship Review Committee (with at least one representative of the Committee being a member of the School of Graduate and Postdoctoral Studies), following an assessment of financial need by the Ivey Financial Aid Office. ~~Recipients must meet the Ontario residency requirements of the Ontario Trust for Student Support Program.~~ These scholarships were established by Ralph M. Barford (LLD' 87).

To: Awarded to full-time students entering the Master of Business Administration program at the Richard Ivey School of Business who have demonstrated outstanding academic merit (minimum 80% average) and financial need. Applications are available through the MBA Program Office. The deadline for submission is January 1. Final selection of recipients will be made by the MBA Scholarship Review Committee (with at least one representative of the Committee being a member of the School of Graduate and Postdoctoral Studies), following an assessment of financial need by the Ivey Financial Aid Office. These scholarships were established by Ralph M. Barford (LLD' 87).

Effective: May 2013

Alex Kennedy Memorial Scholarship (Faculty of Law)

Change in criteria from:

Awarded to a full-time undergraduate student in Year 2 or 3 in the Faculty of Law, based on academic merit, financial need, and a demonstrated interest in and aptitude for insurance law. Financial need applications can be accessed through the Office of the Registrar's Web site and should be submitted by September 30. A letter of application for the scholarship, along with a maximum 250-word statement describing the candidate's interest in insurance law, must be submitted to the Faculty of Law by March 31. The Office of the Registrar will determine financial need and the Faculty of Law will select the recipient.

~~This gift qualifies for the Ontario Trust for Student Support (OTSS) program and recipients must meet Ontario residency requirements.~~

To: Awarded to a full-time undergraduate student in Year 2 or 3 in the Faculty of Law, based on academic merit, financial need, and a demonstrated interest in and aptitude for insurance law. Financial need applications can be accessed through the Office of the Registrar's Web site and should be submitted by September 30. A letter of application for the scholarship, along with a maximum 250-word statement describing the candidate's interest in insurance law, must be submitted to the Faculty of Law by March 31. The Office of the Registrar will determine financial need and the Faculty of Law will select the recipient.

Effective: 2013-2014 academic year

TD Women in Management MBA Award (School of Graduate and Postdoctoral Studies, MBA)

Change in criteria from:

This award is available to women entering the MBA program at the Richard Ivey School of Business who have demonstrated academic achievement (minimum 78% average), community involvement and financial need. Candidates may submit applications for this award at the time of application to the MBA Program at the Richard Ivey School of Business. Final selection of recipients will be made by the MBA Scholarship Review Committee, at least one representative ~~which~~ is a current member of the School of Graduate and Postdoctoral Studies, following an assessment of financial need by the Ivey Financial Aid Office. Recipients will be notified at the time of acceptance into the program. ~~Recipients must meet the Ontario residency requirements of the Ontario Trust for Student Support Program.~~ This award is made possible through the generosity of TD Bank Financial Group.

~~TD's gift qualifies for the Ontario Trust for Student Support (OTSS) program, which will provide a dollar for dollar match for endowed gifts directed to student bursaries or financial need based awards and scholarships. Recipients must meet Ontario residency requirements. Under the OTSS program, the Province of Ontario will provide \$1,000,000 in matching funds over time, based upon receipt TD's gift, resulting in a total endowment of \$2,000,000.~~

To: This award is available to women entering the MBA program at the Richard Ivey School of Business who have demonstrated academic achievement (minimum 78% average), community involvement and financial need. Candidates may submit applications for this award at the time of application to the MBA Program at the Richard Ivey School of Business. Final selection of recipients will be made by the MBA Scholarship Review Committee, **with** at least one representative **who** is a current member of the School of Graduate and Postdoctoral Studies, following an assessment of financial need by the Ivey Financial Aid Office. Recipients will be notified at the time of acceptance into the program. This award is made possible through the generosity of TD Bank Financial Group.

Effective: May 2013

Barbara Mary McIntyre Award (School of Graduate and Postdoctoral Studies, MBA)

Change in criteria from:

Awarded to a female full-time MBA student entering the October cohort of the MBA program at the Richard Ivey School of Business based on financial need and academic achievement (minimum 78% admission average). Financial need will be determined by the Richard Ivey School of Business. Applications for award consideration are available at the time of applying for admission to the Ivey MBA

program. The MBA scholarship review committee will select the award recipient in consultation with a least one faculty member who is also a member of the School of Graduate and Postdoctoral Studies. This award was established by a gift from Mr. C. John Schumacher (MBA `84) through Foundation Western.  
To:

Awarded to a full-time student entering the MBA program at the Richard Ivey School of Business based on financial need and academic achievement, with preference given to a female student. Financial need will be determined by the Richard Ivey School of Business. Applications for award consideration are available at the time of applying for admission to the Ivey MBA program. The MBA scholarship review committee will select the award recipient in consultation with a least one faculty member who is also a member of the School of Graduate and Postdoctoral Studies. This award was established by a gift from Mr. C. John Schumacher (MBA `84) through Foundation Western.

Effective: May 2012

Criminal Lawyers' Association Prize in Criminal Law (Faculty of Law)

Change in Value from: a maximum of 3 awards, up to a combined total of \$300

To: 1 at \$500

Effective: 2012-2013 academic year

#### FOR INFORMATION

### 3. **New Award Funded Through the Operating Budget**

The following new award is funded through the operating budget and therefore is presented for information only:

Western University/FIRST Robotics Engineering Scholarship (Faculty of Engineering)

Awarded annually to a full-time undergraduate student entering the Faculty of Engineering who has participated in the FIRST Robotics Competition Team (FRC) in high school. A one-page statement must be submitted to the Faculty of Engineering by April 30 outlining the student's participation and role on a FIRST Robotics team, including how the experience was formative in inspiring him or her to pursue an engineering education. Representatives involved with the Robotics Engineering competition in the Faculty of Engineering will select the recipient. This award is supported through the Faculty of Engineering

### 4. **Discontinued Awards**

The following award will be discontinued effective May 2012:

Science Student's Council Computer Award (Faculty of Science)

The following awards and prize will be discontinued effective May 2013:

Suncor Energy Foundation First Nations Health Sciences Access Program Awards (Faculty of Health Sciences)

Severin Flikerski Prize in Military History (Faculty of Social Science, History)

**REPORT OF THE SENIOR OPERATIONS COMMITTEE**

<b>Contents</b>	<b>Consent Agenda</b>
<b>MAPP 1.33 - Campus Alcohol Policy Amendments</b>	No

**FOR APPROVAL**

1. **MAPP 1.33 – Campus Alcohol Policy - Amendments**

**Recommended:** That the Board of Governors approve amendments to the Campus Alcohol Policy (MAPP 1.33) as outlined in [Annex 1](#).

**Background:**

At the April meeting of the Board, the Senior Operations Committee presented amendments to the Campus Alcohol Policy intended to address discrepancies between that policy and MAPP 1.12 – Advertising and Commercial Activity with respect to alcohol advertising on campus. Members were concerned that the proposed amendments were worded too broadly and could be construed to prohibit advertising within and by licensed venues on campus. The new revised version addresses that concern. MAPP 1.33 with proposed revisions noted is attached as [Annex 1](#); MAPP 1.12 is attached as [Annex 2](#).

**The UNIVERSITY of WESTERN ONTARIO  
POLICIES and PROCEDURES**

Field Code Changed

**1.33 CAMPUS ALCOHOL POLICY**

Classification: General

Effective Date: 28APR05

Supersedes: 24JUN03

**POLICY**

Purpose and Objective

- 1.00 The purpose of the Campus Alcohol Policy is to guide how the provision and consumption of alcohol at University venues and events covered by this Policy should be managed. The objective is to promote the safety and well-being of students, faculty, staff and visitors and while so doing, to protect against legal liability.

Promotion of Safe Practices

- 2.00 The University shall encourage responsible use of alcohol through:
- (a) education and awareness programs that identify the risks associated with alcohol provision and consumption;
  - (b) strict adherence to legal requirements and University policies affecting alcohol provision and consumption at University venues and events;
  - (c) encouraging a balance in favor of "dry" facilities, events and programs;
  - ~~(d) maintaining guidelines for alcohol-related advertising on campus which conform to the Campus Alcohol Policy.~~

Protection from Legal Liability

- 3.00 In all circumstances, on or off campus, where alcohol is provided by the University or its representatives or where alcohol is provided by a third party on premises over which the University or its representatives have care and control including the power to admit or exclude others, the following practices must be followed:
- (a) No person under 19 years of age is to consume alcohol, or be served or supplied with alcohol;
  - (b) Photo identification with proof of age must be produced on request by anyone wishing to be served or to consume alcohol;
  - (c) A monitoring system must be in place to ensure that alcohol is not consumed by underage guests or consumed to excess by those who are of age;
  - (d) No person is to be served who appears to be intoxicated;
  - (e) No person who is apparently intoxicated may be permitted to leave the venue until reasonable steps have been taken to ensure the person's safe accompaniment or transport;
  - (f) No activities are to be permitted that involve a reasonably foreseeable risk of harm.

#### Alcohol Policy Review Committee

4.00 The Alcohol Policy Review Committee (APRC) advises and makes recommendations on all matters relating to the administration of the University's liquor licence, the sale or provision of alcohol on campus or at off-campus events in which the University is involved, and associated safety and risk-management issues.

4.01 Membership of the APRC shall include:

Associate Vice-President (Housing and Ancillary Services) – Chair  
Vice-President (Resources & Operations) - Vice-Chair  
Representative – (Housing and Ancillary Services) – Secretary  
Legal Counsel  
University Liquor Licence Coordinator  
University Reservations Coordinator  
Director of Residences (Housing and Ancillary Services)  
Director of Hospitality Services (Housing and Ancillary Services)  
Representative – University Police Department  
President or Representative – University Students' Council  
General Manager - University Students' Council  
General Counsel - University Students' Council  
Representative – Centre for New Students  
Representative – Student Athletics  
Representative – Intercollegiate Athletics  
Representative – Society of Graduate Students  
Representative – MBA Association  
Representative – Faculty Student Council  
Representative – Residents' Council/Association

4.02 The APRC shall meet at least once a year.

4.03 The APRC is responsible for distributing the Campus Alcohol Policy and for proposing revisions to it.

4.04 The APRC is responsible for liaison with the management of licensed facilities on campus to ensure that they continue to operate in conformity with the University liquor licence and with all applicable laws and policies.

4.05 There shall be an executive committee of the APRC which shall include the following members:

Chair of APRC  
Vice Chair of APRC  
Provost or designate  
University Legal Counsel  
University Liquor Licence Coordinator  
General Manager - University Students' Council  
General Counsel - University Students' Council  
One student member of the Board of Governors

The APRC may amend the composition of the executive committee from time to time as it deems necessary or appropriate.

4.06 The Executive Committee shall meet at the call of the Chair.

#### Management of Events at Which Alcohol May Be Served

5.00 Students, staff or faculty wishing to hold events at which alcohol may be served, whether on or off-campus must submit a description of the proposed event for approval to the APRC, explaining how the event will be conducted in conformity with this Policy, no later than 21 days before the date of the proposed event. The proposal shall contain the information set out in [Appendix A](#): Proposal for Event Form.

- 5.01 Organizers of events which may require the signing of contracts and/or the making of payments for deposits (e.g. contracted transportation, rental of off-campus facilities, deposits for event or hospitality services) must obtain approval in principle before signing contracts or making any payments. A second proposal must then be submitted no later than 21 days before the date of the proposed event containing particulars of all negotiated terms and arrangements. Failure to comply with these requirements may result in cancellation of the event and forfeiture of any deposits or payments.
- 5.02 The APRC may from time to time delegate the authority to approve events under paragraph 5.00 to such member or members of the APRC as it deems appropriate (hereinafter referred to as the "Approving Authority").
- 5.03 For purposes of this Policy, the relevant "events at which alcohol may be served" are those where the student(s), faculty or staff wishing to hold the event is acting as a designated representative of the University or of a student, staff or faculty organization recognized by the Board of Governors as representing parts of the student body, staff or faculty, or where the individual holds out that he or she is a representative of the University or a representative or member of a student, staff or faculty group or organization of the University. The APRC may publish guidelines describing examples of the types of events to which this Policy applies.
- 5.04 Bar managers and students, staff or faculty holding events approved under this Policy are required to document and report any violation of this Policy or applicable laws to the Chair of the APRC and the Approving Authority no later than three days after the incident. Any incident involving personal injury or property damage shall be reported forthwith.

#### Residences

- 6.00 The possession and consumption of alcohol in residence by those who are at least 19 years of age shall be governed by this Policy, the Residence Handbook and Understandings and the applicable laws.

#### Underage Students in Licensed Facilities or Attending Licensed Events

- 7.00 With the permission of the licence holder and according to the USC Wet-Dry Access Card Policy (see [Appendix B](#)), attendance by those less than 19 years of age is permitted in licensed facilities.
- 8.00 Proposals to allow underage attendance at licensed events other than those in licensed facilities or to follow procedures other than those outlined in the Campus USC Wet-Dry Access Card Policy will be evaluated on a case-by-case basis by the licence holder and the Approving Authority in consultation with the APRC.

#### Inspections

- 9.00 The Chair or the Approving Authority may ask Campus Community Police Services (CCPS) to monitor events from time-to-time, on and off-campus, to ensure compliance with applicable laws and University policy. The CCPS may employ student event staff to assist with such inspections. Reports of all such inspections shall be e-mailed to the Chair of the APRC and the Approving Authority within three days of the event.

#### Additional Requirements

- 10.00 Events to which this Policy applies are additionally subject to the following regulations at the discretion of the Approving Authority:
- (a) All staff involved in the event who will be serving alcohol must be trained according to Smart Serve standards (see [Appendix C: Smart Serve Training](#)), understand their serving responsibility, be able to identify signs of intoxication, and learn when to refuse service. These staff members must be easily identifiable to the participants. In addition, an appropriate number of staff involved in the event, having regard to the size and nature of the event, shall be designated as monitors to ensure compliance with these regulations.

- (b) Alcoholic beverages must not be sold below the market price.
- (c) Non-alcoholic beverages must always be available at reasonable prices.
- (d) Food must be available for the duration of the event.
- (e) No extra strong or extra large drinks may be served (e.g., doubles, 2-for-1 drinks, shooters).
- (f) No more than two free tickets for alcoholic beverages may be provided as part of admission to an event.
- (g) Except as provided in paragraph (f), participants must purchase tickets in order to obtain alcohol beverages. A limit of two tickets may be sold at any one time. Tickets may be cashed in for a refund at any time during the event.
- (h) Alcohol service will be terminated 45 minutes before the end of the event.
- (i) The event organizers shall:
  - (i) refuse admission to the event to any person believed to be underage, intoxicated, rowdy or otherwise troublesome;
  - (ii) request the safe removal from the premises of any person believed to be underage, intoxicated, rowdy or otherwise troublesome,
  - (iii) shall support the authority and responsibility of the appropriate licence holder to respond appropriately.

#### Events Requiring Bus Transportation

- 11.00 Events requiring bus transportation to off-campus locations shall be subject to the following additional regulations (Residence Councils/Associations and groups affiliated with the University Students' Council are also subject to guidelines established by the Division of Housing and Ancillary Services and the University Students' Council respectively):
- (a) Designated monitors must be present on each bus.
  - (b) There must be an approved method of identifying participants who are entitled to use the bus transportation.
  - (c) The proposed carrier must be identified in the Proposal and must be specifically approved.
  - (d) Participants will not be permitted to board the bus for departure to the event if they exhibit signs of intoxication (as determined by the bus monitor).
  - (e) Participants will not be permitted to board the bus if they have alcohol in the immediate possession.
  - (f) Bus trips to events outside the City of London where alcohol consumption is the primary focus will not be permitted.
  - (g) The University of Western Ontario, or anyone working on the University's behalf, reserves the right to cancel transportation for non-compliance with this Policy, or for any safety-related concerns.

#### Prevention and Assistance

- 12.00 The APRC will facilitate the prevention of alcohol-related problems by:
- a. promoting and supporting alcohol-free institutional programming;
  - b. informing the University community of alcohol policies;

- c. training and encouraging the student host groups to provide emergency assistance (e.g., Student Emergency Response Team, residence responses);
- d. providing Smart Serve training annually at no cost to the participants;
- e. promoting an atmosphere in which anyone with an alcohol problem is encouraged or required to seek help;
- f. promoting an environment that discourages the unacceptable use of alcohol and helps to prevent related problems;
- g. building awareness of the magnitude of alcohol problems and the campus policies regarding the use of alcohol (e.g., through residence handbooks, programming and floor meetings; the university website; registration materials, orientation programs, and alcohol-awareness programs);
- h. developing a coordinated effort across campus surrounding alcohol education, treatment, and referrals;
- i. supporting and encouraging student organizations to incorporate alcohol education into programs and events, where appropriate;
- j. working towards early identification of behaviors or factors in the campus environment that place students at a high risk for alcohol problems;
- k. collecting and using alcohol statistics from available surveys and reports to guide program development;
- l. encouraging early intervention and assistance for those individuals with alcohol problems;
- m. encouraging students to access the many resources on campus and in the community for confidential support.

#### Sanctions for Policy Violations

- 13.00 The APRC does not bear sole responsibility for sanctions under all University policies involving alcohol. For example, the Division of Housing and Ancillary Services or individual academic units may have their own internal policies, and may choose to impose sanctions against individuals or groups who violate their alcohol policies.
- 14.00 Individual students are governed by the Code of Student Conduct.
- 15.00 Failure to comply with this Policy, or any applicable laws may, at the sole determination of the APRC, lead to suspension for the non-compliant individual(s) or group(s) of the privilege of holding events where alcohol is served, or in the case of licensed premises, closure of those premises.
- 16.00 The sanctions imposed under this Policy do not diminish or replace the penalties available under generally applicable civil or criminal laws. Students, faculty and staff are reminded that infractions may also violate various federal, provincial and local laws.

#### Advertising and Sponsorship

##### 17.00 Advertising

- 17.01 ~~Advertising includes posters, flyers, advertisements in campus publications, and announcements or commercials on Western's radio, television or other media outlets. All advertising must~~ Events that have been approved under this policy may be advertised provided that all such advertisements adhere to the Liquor Licence Act, the Advertising and Commercial Activity on Campus Policy (see [Appendix D](#)) and Licensed Commercial

Use of University Name and Trademarks Policy (see [Appendix E](#)).

~~17.02 Notwithstanding the provisions of the Advertising and Commercial Activities Policy, facilities on campus covered by the University's Liquor Licence may advertise on campus, and may permit advertising relating to alcohol within their facilities, provided that such advertising complies with the provisions of the Liquor Licence Act.~~

~~17.02 Pursuant to the requirements of the Liquor Licence Act of Ontario, the drinking of alcohol may not be promoted, the pricing of alcohol may not be communicated, and advertising may not be targeted to underage drinkers.~~

~~17.03 Western's policies apply to media for which regulation is reasonable and possible. All posting and flyer distribution on campus fall under this Policy as regulated by UWO/USG Poster Regulations (see [Appendix E](#)). Print publications that are distributed on campus are not covered by this Policy; only those published by Western or one of Western's recognized organizations (e.g., University Students' Council, Society of Graduate Students, Western News) are affected. Similarly, radio and television broadcast transmissions received on campus are not covered by this Policy, however, the Policy does apply to radio or television broadcasts that are produced by or use the Western name.~~

~~17.04 In light of these restrictions, the following practices are acceptable:~~

- ~~(a) Licensed events, whether held on campus or off campus, and whether sponsored by a campus organization or not, may be advertised on campus. Depending on the nature of the event, other requirements may be applied to the advertising by the licence holder, in consultation with the APRC;~~
- ~~(b) Campus bars may advertise on campus;~~
- ~~(c) Off-campus bars may advertise on campus;~~
- ~~(d) Safe drinking campaigns may be advertised, provided that the name of the safe drinking program and its message take prominence over the name of the alcohol manufacturer;~~
- ~~(e) Alcohol manufacturers (e.g., breweries, distilleries) are not permitted to advertise on campus except in licensed venues.~~

~~18.00 Restrictions on Distribution of Advertising and Promotional Materials~~

~~18.01 No member of the campus community or any person working on behalf of an external organization, whether commercial or not-for-profit, may post, deposit in bulk, distribute, or otherwise disseminate promotional materials that advertise an alcohol-related event for which a Proposal for Event Form has not been submitted or approved, or for which prior approval has not been granted by the Division of Facilities Management, the Space Management Group or a designated building authority.~~

18.00 Sponsorship

19.01 Sponsorship by licensed establishments, including on-campus and off-campus bars, is generally permitted in accordance with the Liquor Licence Act and Alcohol and Gaming Commission of Ontario (AGCO) guidelines.

19.02 Sponsorship by alcohol manufacturers of safe-drinking programs is permitted provided that the name of the safe-drinking program and its message take prominence over the name of the alcohol manufacturer.

19.03 Other sponsorship by alcohol manufacturers is not encouraged. Each application will be considered on its own merit and must have the full endorsement of the appropriate University body, as determined by the Chair of the APRC.

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*The UNIVERSITY of WESTERN ONTARIO*  
**POLICIES and PROCEDURES**

## **1.12 ADVERTISING AND COMMERCIAL ACTIVITY**

Classification: General

Effective Date: 24JUN08

Supersedes: 25SEP03

### **POLICY**

1.00 From time to time The University of Western Ontario is engaged in, or approached about, advertising, sponsorships or commercial activity.

The practice of the University has been to review all applications to determine if they are justified and in keeping with the needs of students, faculty and staff.

The University is sensitive to the impact advertising will have on the beauty of Western's campus and the commercialization of the institution.

### **DEFINITIONS**

2.00 This policy covers university facilities and all university-sponsored media, including the World Wide Web. For the purpose of implementing this policy, the following definitions may be useful:

- (a) An **advertisement** is a message created and displayed for the sole purpose of promoting a corporation or its product.
- (b) **Sponsorship recognition** acknowledges corporate support for a project, program or event. Material containing such acknowledgments will focus primarily on the project, program or event being supported.
- (c) **Commercial activity** refers to any revenue-making or fundraising activity on campus by an outside business or organization or unit within the University.

### **APPROVAL PROCESS**

3.00 The University, its Faculties and Departments may seek opportunities for advertising, sponsorships or commercial activities.

4.00 To protect the University's interest in potential cross-promotional programs and to prevent potential conflicts between units, the Vice-President (External) must be informed in advance of any efforts being made to arrange advertising, sponsorship or commercial activities.

5.00 Draft advertising contracts must be approved by the directors of non-academic departments and academic deans and then by the Vice-President (External).

6.00 The responsibility for reviewing all advertising, sponsorship or commercial activity as outlined in section 2.00 (c) has been delegated to the Vice-President (External) to ensure this approach is consistent with the University's advancement and external activities. All requests or proposals for advertising, sponsorship or commercial activity should be forwarded through the appropriate channels to the Vice-President (External), Room 107 Stevenson-Lawson Building.

6.01 The Vice-President (External), or designate, will consult with interested parties, including

MAPP 1.12 Advertising & Commercial Activity

Page 2

the President and Vice-Presidents for information and advice, and will determine the viability of the proposal.

6.02 Each decision will be communicated in writing to the affected parties in a timely manner.

7.00 Contracts with a value of \$50,000 or more must also be approved by the President.

**REVENUE**

8.00 To ensure that any **advertising programs** or **commercial activities** at The University of Western Ontario support the academic mission of the University, 50 per cent of net revenue from any advertising or commercial activity contract must be directed to student awards, with the balance directed to a specific University, Faculty or Departmental program.

8.01 Signage must be in place at the site of the advertisement or commercial activity stating the program or programs receiving the revenue.

8.02 Fundraising activities by registered charitable organizations are exempted from this provision. Other exemptions from this provision may be granted by the President.

**PUBLICATIONS**

9.00 Revenue from advertisements placed in University publications shall be used to support those publications.

9.01 Routine advertisements need not be presented to the Vice-President (External) prior to publication.

**ANCILLARY SERVICES**

10.00 Ancillary services are delegated responsibility for managing commercial activities and advertising programs relating to their core business activities but other ventures and those with potential for wider application must be brought to the Vice-President (External) [see Sections 4.00 - 6.00]. Approval of such advertising will include a revenue-sharing agreement to be negotiated on a case-by-case basis.

10.01 In the case of campus-wide advertising programs, revenue will be split, calculated on a case-by-case basis.

**UNIVERSITY COMMUNITY CENTRE**

11.00 The University Students' Council is responsible for managing commercial activities and advertising in parts of the UCC as specified in existing Occupancy and Operating Agreements with the University, but ventures with potential for wider application must be brought to the Vice-President (External).

11.01 In the case of campus-wide programs that include UCC locations covered by such agreements, revenue will be split, calculated on a case-by-case basis.

**RESTRICTIONS**

12.00 Advertising and any other commercial activity will not be permitted in classrooms or laboratories or any other space specifically devoted to academic purposes.

MAPP 1.12 Advertising & Commercial Activity

Page 3

- 13.00 Advertising and commercial activity must not impede ordinary pedestrian or vehicular traffic flow and must not alter or detract from the normal architectural appearance, visual beauty or environment of the campus.
- 14.00 Good taste and sound judgment shall govern all advertising, sponsorship and commercial activities on campus. The following are specifically prohibited:
- anything promoting illegal activity
  - anything that is inconsistent with University policies dealing with discrimination and harassment or contrary to provincial human rights legislation
  - all advocacy advertisements, except those whose sole purpose is to promote education
  - any advertisements involving tobacco or alcohol products
  - anything promoting the sale of sexual services

**REPORTING**

- 15.00 The Vice-President (External) will report annually to the Property and Finance Committee on the decisions taken under this policy.

**REPORT OF THE AUDIT COMMITTEE**

<b>Contents</b>	<b>Consent Agenda</b>
<b>Retirement Income Fund Financial Statements for the year ended December 31, 2012</b>	<b>No</b>
<b>Western Retirement Plans – Report to the Audit Committee for the year ended December 31, 2012</b>	<b>No</b>

**FOR APPROVAL**

1. **Retirement Income Fund Financial Statements for the year ended December 31, 2012**

**Recommended:** That the Board of Governors approve the audited financial statements for the University of Western Ontario Retirement Income Funds for the calendar year 2012, as attached in [Annex 1](#).

**Background:**

The Western Retirement Income Funds are individual retirement products administered by the university for former faculty and staff and their spouses. The program was initiated in 2000 and the investments are selected and monitored by the academic and administrative staff pension boards in a manner consistent with the pension plans sponsored by the university. There are currently 351 former faculty and staff for whom the university administers individual Retirement Income Funds. The market value of the accounts amount to \$205 million as at December 31, 2012. The university recovers the administrative expenses by charging a flat dollar fee per member per month. Fees are set on a non-profit basis. In 2012 approximately \$308,000 was recovered to cover the costs of internal salaries, systems and other non-investment costs. The expenses are outlined in note 9 of the Retirement Income Fund financial statements.

**FOR INFORMATION**

2. **Western Retirement Plans – Report to the Audit Committee for the year ended December 31, 2012**

The academic and administrative staff pension boards have been delegated authority by the Board of Governors to approve the Master Trust financial statements and the financial statements for each of the pension plans. On May 13, 2013, the Joint Pension Board approved the audited financial statements for the Master Trust, the academic staff pension plan and the administrative staff pension plan. The annual report on the Western Retirement Plans is attached as [Annex 2](#).

**DRAFT** Financial Statements of

**THE UNIVERSITY OF WESTERN ONTARIO**  
RETIREMENT INCOME FUND

Year ended December 31, 2012

# INDEPENDENT AUDITORS' REPORT

To the Board of Governors of The University of Western Ontario

We have audited the accompanying financial statements of the University of Western Ontario Retirement Income Fund, which comprise the statement of net assets as at December 31, 2012 the statement of changes in net assets available for retirement income payments for the year then ended, and notes, comprising a summary of significant accounting policies and other explanatory information.

## *Management's Responsibility for the Financial Statements*

Management is responsible for the preparation and fair presentation of these financial statements in accordance with the Canadian accounting standards for pension plans; this includes determining that the basis of accounting is an acceptable basis for the preparation of these financial statements in the circumstances, and for such internal control as management determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

## *Auditors' Responsibility*

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audits in accordance with Canadian generally accepted auditing standards. Those standards require that we comply with ethical requirements and plan and perform an audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on our judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, we consider internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

## *Opinion*

In our opinion, the financial statements present fairly, in all material respects, the statement of net assets of the University of Western Ontario Retirement Income Fund as at December 31, 2012 and its changes in net assets available for retirement income payments for the year then ended in accordance with Canadian accounting standards for pension plans.

Chartered Accountants, Licensed Public Accountants

June 4, 2013

London, Canada

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

### Statement of Net Assets

#### **DRAFT**

December 31, 2012, with comparative information for 2011

	2012	2011
<b>Assets</b>		
Cash	\$ 1,407,512	\$ 2,147,917
Accrued income	51,039	63,954
Investment in Master Trust (note 4(a))	203,352,932	196,495,611
	<u>204,811,483</u>	<u>198,707,482</u>
<b>Liabilities</b>		
Accrued expenses	425,748	435,901
Retirement income payments payable	1,352,223	1,230,502
	<u>1,777,971</u>	<u>1,666,403</u>
<b>Net assets available for retirement income payments</b>	<b>\$ 203,033,512</b>	<b>\$ 197,041,079</b>

See accompanying notes to financial statements.

On behalf of the Board of Governors:

\_\_\_\_\_ Chair \_\_\_\_\_ Secretary

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

### Statement of Changes in Net Assets Available for Retirement Income Payments

#### DRAFT

Year ended December 31, 2012, with comparative information for 2011

	2012	2011
Investment income (loss) (note 4(b))	\$ 14,742,315	\$ (231,739)
Increase in net assets:		
Transfers (note 6)	16,470,441	18,988,819
Transfers in to fund	158,506	877
	<u>16,628,947</u>	<u>18,989,696</u>
Decrease in net assets:		
Benefit payments (note 7)	(24,785,009)	(21,637,129)
Fund managers' fees (note 10)	(56,442)	(102,140)
Agency fees	(113,000)	(113,000)
Administrative costs recovered by the University (note 9)	(307,991)	(298,834)
Custodian fees	(94,727)	(99,116)
Transaction costs	(21,660)	(27,367)
	<u>(25,378,829)</u>	<u>(22,277,586)</u>
Net increase (decrease)	5,992,433	(3,519,629)
Net assets available for retirement income payments, beginning of year	197,041,079	200,560,708
Net assets available for retirement income payments, end of year	<u>\$ 203,033,512</u>	<u>\$ 197,041,079</u>

See accompanying notes to financial statements.

# THE UNIVERSITY OF WESTERN ONTARIO

RETIREMENT INCOME FUND

**DRAFT** Notes to Financial Statements

Year ended December 31, 2012

---

## 1. Description of program:

The University of Western Ontario Retirement Income Fund (the "UWO RIF", "RIF" or "Fund") is a periodic payment program that provides income to former members of the University of Western Ontario Pension Plans for Academic Staff and Administrative Staff (the "University pension plans"). The Northern Trust Company, Canada is the trustee of the Fund which is managed by The University of Western Ontario (the "University"). The Fund was initiated effective October 1, 2000. The following description of the Fund is a summary only. For more complete information, reference should be made to the Declaration of Trust, registered under the Income Tax Act, Canada, registration number RIF 1220.

Former members of the University pension plans may allocate all or a portion of their entitlement accrued under the pension plans to either a Registered Retirement Income Fund ("RRIF"), a Life Income Fund ("LIF") or a Locked in Retirement Income Fund ("LRIF"). These transfers may be made directly from the pension plans or from another registered retirement vehicle trusted by another financial institution, provided the funds originated in the University pension plans. Surviving spouses and former spouses of the former members of the University pension plans may also make transfers to the Fund, provided the funds originated from the University pension plans. Funds held in the pension plans and that transferred in from outside the Province of Ontario are subject to the transfer requirements of their originating province's pension legislation and as such may not be eligible for transfer into the UWO RIF.

Upon death, the annuitant's total accumulated entitlement is equal to the amount allocated plus the pro-rata share of net investment earnings less cumulative retirement income payments that have been made. If the annuitant has a spouse at the date of death, that individual may continue to receive periodic payments or may transfer the funds to another registered retirement vehicle on a tax deferred basis. If there is no spouse at the date of death, the balance of the funds are payable to the last named beneficiary in a taxable lump sum payment. At any time, the annuitant may choose to transfer his or her funds to a registered retirement vehicle trusted by another financial institution or use the funds to purchase a life annuity.

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

### **DRAFT** Notes to Financial Statements (continued)

Year ended December 31, 2012

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#### **1. Description of program (continued):**

Funds are invested at the discretion of the annuitant into units of the Master Trust for the Academic and Administrative Staff Pension Plans and Retirement Income Fund Program (the "Master Trust"). The investment policies of the Master Trust are determined jointly by the Academic and Administrative Pension Boards. The Master Trust consists of eighteen separate investment pooled funds as follows:

- Money Market Fund
- Target Date Fund 2014
- Target Date Fund 2016
- Target Date Fund 2018
- Balanced Income Fund
- Balanced Growth Fund
- Diversified Bond Fund
- Canadian Bond Fund
- Canadian Long Term Bond Fund
- Immunized Bond Fund - Admin
- Immunized Bond Fund - Academic
- Diversified Equity Fund
- Canadian Equity Fund
- U.S. Equity Hedged Fund
- U.S. Equity Unhedged Fund
- Non-North American Equity Fund
- Socially Responsible Global Equity Fund
- Liquidating Trust Fund

The Balanced Income Fund and the Balanced Growth Fund are portfolios that hold units of the Diversified Bond Fund and Diversified Equity Funds. They were established in September, 2001.

The Master Trust holds units in each of the eighteen investment pooled funds. These pooled funds contain investments in units of external pooled funds and individual securities.

Some of these investment funds are not available for the annuitants of the UWO RIF since they do not yet qualify as registered investments under the Income Tax regulations (Balanced Funds, Diversified Bond Fund, Immunized Funds, and Non-North American Equity Fund). The investment options that are offered to the annuitants of the RIF have all been registered effective October 1, 2000 with Canada Revenue Agency as Quasi-Mutual Fund Trusts.

The contributions or transfers of each annuitant are credited to an individual account in the annuitants' name and accumulated together with pro-rata net investment earnings. This account is fully vested and payable to the annuitant on termination of retirement income fund or to the annuitants' beneficiary on death.

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

### **DRAFT** Notes to Financial Statements (continued)

Year ended December 31, 2012

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#### **1. Description of program (continued):**

Annuitants can choose, as frequently as each month, the proportion of his or her personal account which is to be invested in any of the active investment funds. The valuation of each investment fund is established by the fund manager at the end of each month based on policies set by the Pension Board.

#### **2. Basis of presentation:**

##### (a) Basis of presentation:

The Fund is a participant in the University of Western Ontario Master Trust which was established by the University to facilitate the collective management of investment assets for the Pension Plans for the Academic and Administrative Staff and the Retirement Income Fund of the University.

The Fund has prepared these financial statements in accordance with Canadian accounting standards for pension plans.

In selecting or changing accounting policies that do not relate to its investment portfolio, Canadian accounting standards for pension plans require the Fund to comply (on a consistent basis) with either International Financial Reporting Standards ("IFRS") in Part I of The Canadian Institute of Chartered Accountants' ("CICA") Handbook - Accounting or Canadian accounting standards for private enterprises ("ASPE") in Part II of the CICA Handbook - Accounting. The Fund has chosen to comply on a consistent basis with ASPE.

These financial statements have been prepared by management in accordance with Canadian accounting standards for pension plans and present the information of the Fund as a separate financial reporting entity independent of the University and the Fund's annuitants.

##### (b) Basis of measurement:

The financial statements have been prepared on the historical cost basis, except for investments and derivative financial instruments which are measured at fair value through the statement of changes in net assets available for retirement income payments.

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

### **DRAFT** Notes to Financial Statements (continued)

Year ended December 31, 2012

---

### **3. Significant accounting policies:**

(a) Revenue:

Interest earned on investments, within the pooled funds held by the Master Trust, is recorded on an accrual basis. Dividends are recorded as income, within the pooled funds held by the Master Trust, on the date the dividend is declared. Investment income is allocated each month among the annuitants' accounts under the assumption that all interfund transfers of assets occurred at the month end following the request for transfer. Transfers into the Fund are allocated to annuitants' records effective the end of the month in which the transfer occurs.

(b) Financial assets and financial liabilities:

Under a management and administration agreement for the Fund, the Academic and Administrative Staff Pension Boards of the University of Western Ontario have been delegated the responsibility for investing the Fund's assets. The assets available for investment are pooled with the Academic Staff Pension Plan and the Administrative Staff Pension Plan in the Master Trust.

Investment transactions are recorded on the trade date of the transactions, which is the date that the Master Trust becomes a party to the contractual provisions of the instrument. Transaction costs are recognized in the statement of changes in net assets available for retirement income payments when incurred.

The assets of the Master Trust are exposed to market, interest rate, exchange rate and liquidity risks. The Master Trust uses derivatives with the primary investment objective to gain market exposure on a passive basis and to manage currency risk at the portfolio level. As a policy, the Master Trust does not speculate in currencies when using derivatives. The notional amounts of these derivative financial instruments is not recognized in the financial statements when initiated. Unrealized gains or losses on these instruments are recognized in the financial statements. The Master Trust's present use of derivative financial instruments is restricted to pooled funds that invest in exchange traded, unleveraged, U.S. and foreign equity index futures, currency forwards and swaps.

**THE UNIVERSITY OF WESTERN ONTARIO**  
RETIREMENT INCOME FUND  
**DRAFT** Notes to Financial Statements (continued)

Year ended December 31, 2012

---

**3. Significant accounting policies (continued):**

(b) Financial assets and financial liabilities (continued):

Investments are stated at their fair value. The change in the difference between the fair value and cost of investments at the beginning and end of each year is reflected in the statement of changes in net assets available for retirement income payments as net unrealized change in fair value of investments. On sale of an investment, the difference between the carrying amount of the asset and consideration received is recognized in the statement of changes in net assets available for retirement income payments as a net realized gain (loss) on sale of investments.

All other financial assets and liabilities, being cash, accrued income, accrued expenses and retirement income payments payable are measured at amortized cost.

(c) Fair value measurement:

Fair value is the amount for which an asset could be exchanged, or a liability settled, between knowledgeable, willing parties in an arm's length transaction on the measurement date.

In determining fair value, the Master Trust has early adopted the guidance in IFRS 13, Fair Value Measurement ("IFRS 13"), in Part I of the CICA Handbook. As allowed under IFRS 13, if an asset or a liability measured at fair value has a bid and an ask price, the price within the bid-ask spread that is the most representative of fair value in the circumstances shall be used to measure fair value. The Master Trust uses closing market price as a practical expedient for fair value measurement.

When available, the Master Trust measures the fair value of an instrument using quoted prices in an active market for that instrument. A market is regarded as active if quoted prices are readily and regularly available and represent actual and regularly occurring market transactions on an arm's length basis.

If a market for a financial instrument is not active, then the Master Trust establishes fair value using a valuation technique. Valuation techniques include using recent arm's length transactions between knowledgeable, willing parties (if available), reference to the current fair value of other instruments that are substantially the same, discounted cash flow analyses and option pricing models.

**THE UNIVERSITY OF WESTERN ONTARIO**  
RETIREMENT INCOME FUND  
**DRAFT** Notes to Financial Statements (continued)

Year ended December 31, 2012

---

**3. Significant accounting policies (continued):**

(c) Fair value measurement (continued):

The best evidence of the fair value of a financial instrument at initial recognition is the transaction price, i.e. the fair value of the consideration given or received, unless the fair value of that instrument is evidenced by comparison with other observable current market transactions in the same instrument or based on a valuation technique whose variables include only data from observable markets. When transaction price provides the best evidence of fair value at initial recognition, the financial instrument is initially measured at the transaction price and any difference between this price and the value initially obtained from a valuation model is subsequently recognized in profit or loss on an appropriate basis over the life of the instrument but not later than when the valuation is supported wholly by observable market data or the transaction is closed out.

Within the Master Trust all changes in fair value, other than interest and dividend income and expense, are recognized in the statement of changes in net assets available for retirement income payments as part of the net unrealized change in fair value of investments. Fair values of the underlying investments held within the pooled funds are determined as follows:

- (i) Publicly traded bonds, debentures and equities are valued at published closing market quotations where available.
- (ii) Short-term notes, treasury bills and term deposits maturing within a year are stated at cost, which together with accrued interest income approximates fair value given the short-term nature of these investments.
- (iii) Guaranteed investment certificates, term deposits maturing after a year, mortgages and real estate debentures are valued at the present value of estimated future cash flows discounted at interest rates in effect on the last business day of the year for investments of a similar type, quality and maturity.
- (iv) Units in pooled funds are valued based on published unit values supplied by the pooled fund administrator, which represents the Plan's proportionate share of underlying net assets at fair values determined using closing market prices.
- (v) Illiquid securities are valued based on a calculation performed by the investment manager using a discounted cash flow model.

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

### **DRAFT** Notes to Financial Statements (continued)

Year ended December 31, 2012

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### **3. Significant accounting policies (continued):**

(d) Unit valuation:

Annuitants are issued units in the Master Trust based on the unit value at the end of the month in which any transfers are made. Investment income, net of custodian fees and fund managers' fees, is credited to unit holders each month. Redemptions are made each month to recover trustee fees and operating costs.

Fund units are redeemed at net asset market value per unit at the end of the month in which the request for redemption is made by the annuitant. The redemption amount is paid in the following month and includes interest for the interim period.

(e) Foreign exchange:

These financial statements are presented in Canadian dollars, which is the Fund's functional currency. Transactions in foreign currencies are accounted for using the exchange rates in effect at the transaction date. At year end, investments in foreign currencies are accounted for at the rates of exchange in effect at year end and the resulting unrealized gains or losses are included in the net unrealized change in fair value of investments.

(f) Capital risk management:

The main objective of the Fund is to sustain a certain level of net assets in order to meet the retirement income obligations of the University. The Fund fulfills its primary objective by adhering to specific investment policies outlined in its Statement of Investment Policies and Procedures (the "SIPP"), which is reviewed annually by the University. The Fund manages net assets by engaging knowledgeable investment managers who are charged with the responsibility of investing existing funds and new funds transferred in to the Fund in accordance with the approved SIPP. The main use of the net assets is for retirement income payments to annuitants. There are no regulatory requirements relating to the level of net assets to be maintained by the Fund.

(g) Related party transactions:

Related party transactions with the University, in the form of administrative cost recoveries, are in the normal course of operations and are measured at the exchange amount, which is the amount of consideration established and agreed to by both parties.

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

### DRAFT Notes to Financial Statements (continued)

Year ended December 31, 2012

#### 3. Significant accounting policies (continued):

(h) Estimates:

The preparation of financial statements requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of changes in net assets available for retirement income payments during the year. Actual amounts could differ from these estimates.

#### 4. Investments and investment income:

- (a) The following table provides details of the underlying investments held within the Master Trust, representing a 18.3% (2011 - 18.5%) position in the Master Trust based on units held by individual members of the Fund:

	2012		2011	
	Cost	Market	Cost	Market
Short-term:				
Money Market Fund	\$ 7,603,504	\$ 7,606,881	\$ 7,384,990	\$ 7,385,476
Bonds:				
Target Date Fund 2012	-	-	7,575,397	8,960,532
Target Date Fund 2014	8,344,343	9,304,306	9,073,620	10,224,933
Target Date Fund 2016	10,028,805	10,871,278	5,096,991	5,614,131
Target Date Fund 2018	4,910,960	4,984,793	-	-
Canadian Bond Fund	38,780,239	54,265,022	40,403,933	56,063,930
Long Term Bond Fund	11,432,063	12,602,060	11,640,267	13,339,498
Equities:				
Diversified Equity Fund	72,232,333	79,683,159	73,198,247	72,252,674
Canadian Equity Fund	16,708,077	17,026,091	18,658,870	17,647,763
Socially Responsible Investments	-	-	428,248	450,287
U.S. Equity Hedged Fund	1,457,400	1,736,657	1,115,150	1,215,762
U.S. Equity Unhedged Fund	2,014,514	2,330,132	790,724	868,618
Liquidating Trust	3,249,334	2,942,553	3,284,041	2,472,007
	\$176,761,572	\$203,352,932	\$178,650,478	\$196,495,611

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

**DRAFT** Notes to Financial Statements (continued)

Year ended December 31, 2012

### 4. Investments and investment income (continued):

- (b) The investment income within the Master Trust is all from pooled investment funds and consists of the following:

	2012	2011
Interest:		
Securities lending	\$ 15,446	\$ 15,084
Short-term notes	178,254	229,688
Cash balances	267,889	320,787
Bonds and debentures:		
Government	1,046,656	985,500
Corporate	820,547	767,769
Dividends:		
Domestic	7,384,084	5,581,054
Foreign	469,551	783,825
Net realized gain on sale of investments	29,844,875	13,690,780
Net unrealized change in fair value of investments	56,900,993	(34,805,779)
	<u>\$ 96,928,295</u>	<u>\$ (12,431,292)</u>
Allocated to:		
Academic Staff Pension Plan	\$ 54,248,343	\$ (5,315,427)
Administrative Staff Pension Plan	27,937,637	(6,884,126)
Retirement Income Fund	14,742,315	(231,739)
	<u>\$ 96,928,295</u>	<u>\$ (12,431,292)</u>

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

**DRAFT** Notes to Financial Statements (continued)

Year ended December 31, 2012

#### 4. Investments and investment income (continued):

(c) The maturity dates of individual debt securities held by the Master Trust consists of the following:

2012

	One year or less	One to five years	Five to ten years	More than ten years	No maturity date	Total \$	Total %
Short-term:							
Individual holdings	\$ 38,580,435	\$ -	\$ -	\$ -	\$ -	\$ 38,580,435	8.2
Bonds and debentures:							
Individual holdings Canadian:							
Government bonds	3,472,530	86,774,872	39,494,784	57,433,450	-	187,175,636	39.6
Corporate bonds	32,473,040	17,982,700	11,198,811	20,776,886	-	82,431,437	17.4
Individual holdings Global:							
Government bonds	1,914,278	36,835,334	38,555,373	27,746,720	-	105,051,705	22.2
Corporate bonds	1,450,467	17,199,484	26,909,833	14,012,689	-	59,572,473	12.6
	\$ 77,890,750	\$158,792,390	\$116,158,801	\$119,969,745	\$ -	\$472,811,686	100.0
Percentage of total	16.4%	33.6%	24.6%	25.4%	-	100.0%	

# THE UNIVERSITY OF WESTERN ONTARIO

RETIREMENT INCOME FUND

**DRAFT** Notes to Financial Statements (continued)

Year ended December 31, 2012

## 4. Investments and investment income (continued):

(c) (continued):

2011

	One year or less	One to five years	Five to ten years	More than ten years	No maturity date	Total \$	Total %
Short-term:							
Individual holdings	\$ 59,710,650	\$ -	\$ -	\$ -	\$ -	\$ 59,710,650	11.9
Bonds and debentures:							
Individual holdings Canadian:							
Government bonds	18,671,054	96,709,864	42,023,358	48,477,830	-	205,882,106	41.0
Corporate bonds	21,727,567	15,731,893	12,305,615	26,964,376	-	76,729,451	15.2
Individual holdings Global:							
Government bonds	5,111,526	22,431,931	39,946,166	44,561,231	-	112,050,854	22.3
Corporate bonds	272,471	19,100,735	19,609,377	9,122,274	-	48,104,857	9.6
	\$105,493,268	\$153,974,423	\$113,884,516	\$129,125,711	\$ -	\$502,477,918	100.0
Percentage of total	21.0%	30.6%	22.7%	25.7%	-	100.0%	

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

### DRAFT Notes to Financial Statements (continued)

Year ended December 31, 2012

#### 4. Investments and investment income (continued):

- (d) The weighted average market yield rates for individual debt securities of the Master Trust consists of the following:

2012

	One year or less	One to five years	Five to ten years	More than ten years
Short-term:				
Individual holdings	1.3%	-	-	-
Bonds and debentures:				
Individual holdings:				
Canadian government bonds	3.4%	1.3%	1.9%	3.1%
Canadian corporate bonds	0.4%	2.2%	3.0%	4.3%
Global government bonds	2.5%	1.6%	1.9%	3.0%
Global corporate bonds	0.8%	2.5%	3.2%	4.7%

2011

	One year or less	One to five years	Five to ten years	More than ten years
Short-term:				
Individual holdings	0.1%	-	-	-
Bonds and debentures:				
Individual holdings:				
Canadian government bonds	1.1%	1.7%	2.5%	3.8%
Canadian corporate bonds	1.8%	2.7%	3.8%	4.5%
Global government bonds	1.2%	1.3%	2.5%	4.7%
Global corporate bonds	1.6%	3.1%	4.2%	5.0%

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

**DRAFT** Notes to Financial Statements (continued)

Year ended December 31, 2012

### 5. Individually significant investments:

The following information is provided in respect of individual investments in the Master Trust with a cost or market value in excess of 1% of the cost or fair value of the Master Trust as at December 31, 2012, as required by the Pension Benefits Act (Ontario).

The Master Trust consists of eighteen separate investment pools as described in note 1. Within these pools some investments are in units of pooled funds and some investments are individual securities.

	Cost	Market
Bonds:		
Pooled Funds:		
UWO SSGA Canadian Bond Fund	\$ 99,575,083	\$141,653,267
UWO Alliance Global Plus Bond Fund	120,049,863	167,204,047
Equities:		
Pooled Funds:		
Greystone Canadian Equity Fund	69,311,825	71,130,959
Connor Clark & Lunn Core Fund	72,523,673	71,715,997
Beutel Canadian Equity Fund	64,332,628	72,942,639
SSGA S&P 500 U.S. Equity Fund, Hedged	70,889,409	97,395,069
SSGA S&P 500 U.S. Equity Fund, Unhedged	12,684,493	14,634,423
SSGA S&P 400 Midcap	8,176,962	11,877,159
PanAgora Small Cap Core Equity	12,025,902	11,907,193
Alliance Bernstein Equity Cap	88,507,889	77,414,946
T. Rowe Price Global Equity Fund	37,281,583	40,916,407
Harris Associates Global Large Cap LP	31,312,033	42,974,033
MFS International Equity Fund	70,293,768	78,425,439
2333635 Ontario Inc.	40,000,000	41,461,600

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

**DRAFT** Notes to Financial Statements (continued)

Year ended December 31, 2012

### 6. Transfers:

Total transfers received by the Fund from the University pension plans are as follows:

	2012	2011
From the:		
Academic Staff Pension Plan	\$ 12,311,985	\$ 16,966,312
Administrative Staff Pension Plan	4,158,456	2,022,507
	<u>\$ 16,470,441</u>	<u>\$ 18,988,819</u>

Annuitants are allowed to redistribute past transfers among the investment funds. They may also choose which investment fund(s) that periodic retirement income payments should be made from.

### 7. Benefit payments:

	2012	2011
Retirement benefit payments	\$ 13,860,110	\$ 14,372,980
Termination benefit payments	9,699,349	7,264,149
Death benefit payments	1,225,550	-
	<u>\$ 24,785,009</u>	<u>\$ 21,637,129</u>

### 8. Income taxes:

The Fund is governed by the Income Tax Act, Canada. Provided that all assets are invested and administered as qualified investments for Registered Retirement Income Funds, the Fund is not liable for any income taxes.

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

### DRAFT Notes to Financial Statements (continued)

Year ended December 31, 2012

#### 9. Administrative costs recovered by the University:

Non-investment administrative expenses for participants of the Fund are incurred by the University on behalf of the Fund and are funded by various methods as follows:

- (i) A portion of the costs are recovered, by the University, from annuitants through monthly redemptions of investments from the individual annuitants' accounts.
- (ii) All remaining costs are paid by the University out of the corporate benefits budget.

The following summarizes the total non-investment administrative expenses incurred by the University for the Fund and the recovery of those costs.

	2012	2011
Administrative expenses incurred:		
Salaries and benefits	\$ 144,258	\$ 147,264
Other professional fees	78,104	77,604
HST accrual on deemed services	45,196	18,904
Systems and software	16,276	18,438
Audit fees	5,429	5,212
Office supplies and equipment	3,942	1,965
Professional development and membership	2,374	1,816
	<u>295,579</u>	<u>271,203</u>
Recoveries:		
Paid by (recovered from) the University out of corporate benefits budget	(12,412)	(27,631)
Administrative costs recovered by the University	<u>307,991</u>	<u>298,834</u>
	<u>295,579</u>	<u>271,203</u>
	<u>\$ -</u>	<u>\$ -</u>

As at December 31, 2012, administrative costs to be recovered by the University of \$307,991 (2011 - \$298,835) have been accrued but not yet paid.

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

### **DRAFT** Notes to Financial Statements (continued)

Year ended December 31, 2012

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#### **10. Fund managers' fees:**

Fund managers' fees include any fees paid by the custodian to the various fund managers. Fund managers' fees of certain pooled funds are netted against the unit value of those pooled funds.

#### **11. Financial instruments:**

(a) Fair values:

The fair values of investments are as described in note 4(a). The fair values of other financial assets and liabilities, being cash, accrued income, accrued expenses and retirement income payments payable approximate the carrying values due to the short-term nature of these financial instruments.

Fair value measurements recognized in the statement of net assets are categorized using a fair value hierarchy that reflects the significance of inputs used in determining the fair values.

- Level 1 - unadjusted quoted prices in active markets for identical assets or liabilities;
- Level 2 - inputs other than quoted prices included in Level 1 that are observable for the asset or liability, either directly or indirectly; and
- Level 3 - inputs for assets and liabilities that are not based on observable market data.

All of the Trust's investments have been classified as Level 2. There were no changes in the classification of any investments during 2012.

# THE UNIVERSITY OF WESTERN ONTARIO

## RETIREMENT INCOME FUND

### DRAFT Notes to Financial Statements (continued)

Year ended December 31, 2012

---

#### 11. Financial instruments (continued):

(b) Associated risks:

(i) Market price risk:

Market price risk is the risk that value of an instrument will fluctuate as a result of changes in market prices, whether caused by factors specific to an individual investment, its issue or all other factors affecting all instruments traded in the market. As all of the Fund's financial instruments are carried at fair value with fair value changes recognized in the statement of changes in net assets available for retirement income payments, all changes in market conditions will directly affect the change in net assets available for retirement income payments. Market price risk is managed by the Administrator through construction of a diversified portfolio of instruments traded on various markets and across various industries. In addition, market price risk may be hedged using derivative financial instruments such as futures contracts.

(ii) Foreign currency risk:

Foreign currency risk is the risk that fair value or future cash flows of a financial instrument will fluctuate because of changes in foreign currency rates. The Fund invests in financial instruments and enters into transactions denominated in U.S. dollars. Consequently, the Fund is exposed to risks that the exchange rate of the foreign currency may change in a manner that has an adverse affect on the value of the portion of the Fund's assets or liabilities denominated in currencies other than Canadian dollars. The Fund's overall currency positions and exposures are monitored on a regular basis by the Administrator.

(iii) Interest rate risk:

A portion of the Fund's financial assets and liabilities are interest bearing and as a result, the Fund is subject to a certain level of interest rate risk. In general, bond returns are sensitive to changes in the level of interest rates, with longer term bonds being more sensitive to interest rate changes than shorter term bonds.

(iv) Liquidity risk:

Liquidity risk is the risk that the Fund will not be able to meet its obligations as they fall due. The Fund maintains an investment policy, as approved by the Administrator, which contains asset mix guidelines which help to ensure the Fund is able to liquidate investments to meet its retirement income payments or other obligations.

**Western Retirement Plans  
Report to the Audit Committee  
June 2013**

***Prepared on May 29, 2013***

**FOR INFORMATION**

**1. Summary**

This report covers the calendar year January 1, 2012 to December 31, 2012. The Academic and Administrative Staff Pension Boards are responsible for the administration and oversight of two pension plans and the investment of assets for individual Retirement Income Funds (RIF) which are sponsored by the University. This report provides an overview of the plans, reviews the changes made to the plans in 2012 and describes the projects under way at the end of the year. Supplementary documents which have been distributed include the *Financial Statements* for the Master Trust, for each of the pension plans and the RIF.

**2. Plan Overview**

*Asset Values, Membership and Investment Returns*

The combined plans include about 7,100 investors and assets with a market value of approximately \$1.1 billion. The *Master Trust* holds funds for both retirement plans and the individual RIF investors. As a defined contribution pension plan, members direct the investment of both their contributions and the University's contributions among 15 different investment options. The fund options are designed in tiers, meant to match the level of education or willingness to make independent diversification decisions. The funds are outlined below:

<b>Tier 1: Comprehensive Funds</b>	<b>Asset Value at 31/12/12</b>	<b>Number of Investors (can be in more than 1 fund)</b>	<b>Investment Returns in 2012</b>
Balanced Income	\$40.5m	958	8.43%
Balanced Growth	\$100.7m	2470	11.59%
<b>Tier 2: Broad Asset Class Funds</b>			
Diversified Bonds	\$220.3m	2983	5.93%
Diversified Equity	\$390.5m	3735	13.79%
<b>Tier 3: Regional and Specific Strategy Funds</b>			
Money Market	\$61.2m	1310	1.17%
Target Date Funds	\$56.5m	479	1.25% to 1.72%
Canadian Bond	\$72.4m	878	3.54%
Long Term Bond	\$33.5m	635	5.01%
Canadian Equity	\$76.4m	1540	9.60%
US Equity Hedged	\$16.5m	687	15.60%
US Equity Unhedged	\$14.4m	484	13.08%
Non North American	\$13.8m	748	13.97%
SRI Global Equity Fund	\$3.4m	250	11.18%
Liquidating Trust	\$14.6m	4353	21.41%

*The Investments and Investment Income for each fund can be found in **note 4 of the Master Trust financial statements.***

### Communication and Education

Members have access to various reports and material to assist them in the monitoring of their retirement funds. These resources include investment return sheets, annual report, newsletter, and access to external manager research, to name a few. These resources are in addition to the annual member pension plan statements which were sent out to members in April 2013, including all information as required by pension statute.

Various workshops are also available to assist members with their investment and retirement decisions. A total of 22 workshops were attended by 596 members / spouses in 2012. These include nine workshops developed to assist members of the Professional and Managerial Association (PMA) in making a one-time decision regarding their regular contributions to the retirement plans.

Some of these workshops are facilitated by an external provider, The Financial Education Institute of Canada. The University has contracted with them to provide two services to our members:

- a) Financial and retirement planning workshops. The Financial Education Institute of Canada offered four full day financial and pre-retirement planning workshops in 2012. 53 members of the Retirement Plans have attended one of the sessions and feedback continues to be positive.
- b) On-line financial education curriculum and tools. More than 800 members have registered for The Financial Educator™ website.

Members can also use the services of two full time pension and benefit counselors to assist them with their retirement plan decisions. Members can bring their spouses, family members or investment advisors to these individual sessions with the pension and benefit counselors. The counselors held more than 1300 individual sessions with members in 2012. These sessions don't include numerous phone calls, email inquiries and group workshops that the counselors also handle.

Members of the retirement plans also have access to an on-line investment decision making tool. Through an Investment Personality Questionnaire (IPQ), they are asked to answer 16 multiple-choice questions on their investment horizon, risk tolerance, investment objectives and personal situation. Based on their answers members are directed to one of five portfolios comprised of specific investment funds available under the Western Retirement Plans. The IPQ has been very effective in assisting the pension and benefit counselors in orienting new members. In 2012, there were on average 50 to 60 hits per month on the IPQ webpage.

### Resources Available

Each of the pension boards consist of 7 members: 4 elected by the membership and 3 appointed by the University. These boards work jointly together in the design of investment, communication and administrative policy (Joint Pension Board). The design and implementation of policy is completed with significant assistance from staff in human resources and financial services (8 full time dedicated staff). The board and staff also rely on the expert advice of external service providers to fulfill their duties including investment consultants, investment management firms, custodian and trustee, software vendors, actuarial consultants, legal consultants and auditors.

In total, the non-investment operational expenses are approximately (\$2.0 million) or .18% of assets under management. The investment management and custodian costs are approximately .32% of assets under management. When compared to other Universities and institutional operations this level of operational costs is extremely lean.

*The operational costs are outlined in detail in **note 10 of the Master Trust** financial statement.*

### Special Members

Prior to July 1970 (Academic) and March 1974 (Administrative Staff), the University pension plans were a defined benefit design: annual pension income at retirement was promised based on a formula. There are still some retired employees and active members who are entitled to that promised pension formula as a minimum guaranteed benefit. These individuals are referred to as "Special Members". As at December 31, 2012, there were 29 Special Members in the Academic Staff plan, all retired, and 69 Special Members in the Administrative Staff Plan, 29 of whom are still active and 40 who are retired.

Based on the most recent actuarial valuation report as at December 31, 2012, only four active Special Members are projected to receive a supplementary pension under the minimum guarantee provisions of the pension plan, thus creating an additional liability for the University. All other active Special Members are projected to receive a higher pension from their defined contribution account than that determined using the minimum guarantee benefit formula. Depending on the future performance of active Special Member defined contribution accounts, the number of Special Members projected to receive a supplementary pension under the minimum guarantee provisions of the plan may change. There are restrictions on how active Special Members can invest the funds in their regular account. They can invest up to 70% of their assets in equity funds.

The University has set aside some funds to pay for these promised pensions. These funds are in the general account of the pension plans. As at December 31, 2012, the Administrative Staff Pension Plan had \$1.7 million in the general account, while the Academic Staff Pension Plan had \$4.1 million. Our actuarial consultant determined that the Administrative Staff Pension Plan had a going-concern deficit of \$69,000 and a statutory solvency deficit of \$39,000 as of December 31, 2012, compared to a going-concern deficit of \$193,000 and a statutory solvency deficit of \$63,000 as of December 31, 2009. In order to fund these deficits, the University must make special payments of approximately \$694 per month from January 2013 to August 2020, and \$179 per month from September 2020 to December 2024. In addition, the University must contribute approximately \$952 per month to fund the cost of the minimum guarantee benefit that is expected to be earned after the valuation date. The Academic Staff Pension Plan had a going-concern surplus of \$373,000 and a statutory solvency surplus of \$568,000 as of December 31, 2012, compared to a going-concern deficit of \$157,000 and a statutory solvency deficit of \$171,000 as of December 31, 2009. Because the Academic Plan is now fully funded on both going concern and solvency bases, the University does not have to make any special payments going forward.

For each of the Administrative plan and the Academic plan, almost all of the assets (100% for the Administrative Plan and 99% for the Academic Plan) are invested in "Immunized Bond Funds" that were created in October 2006 and July 2010, respectively. Immunizing the assets ensures that no significant funding deficit may occur in the future due to investment returns. Other factors, such as poor mortality experience, may still negatively impact the funding of the plan.

### **3. Changes Made in 2012**

A number of changes were made in 2012. In May, the management of the Socially Responsible Global Equity Fund was transferred from Mackenzie Financial to Aberdeen Asset Management. This was an administrative change only as Aberdeen was an advisor on the fund managed by Mackenzie Financial. Mackenzie's mutual fund structure made it easier for the University Retirement Plans to make contributions and redemptions. As Mackenzie closed the fund, Western went directly to the manager of the fund. Also in May, as every two years, one Target-Date Fund matured (Target-Date Fund 2012) and a new one was introduced (Target-Date Fund 2018).

Two investment mandate transfers were made in June to optimize various portfolios on the Western Retirement Plans. First, an international equity portfolio was transferred from Fidelity Investments to MFS Investment Management. MFS is a highly successful investment firm that already manages money for the University's Operating and Endowment Fund. The Joint Pension Board felt that they had more potential to add value to the portfolio. In addition, the consolidation of assets with the Operating & Endowment Fund results in management fee savings that are completely passed on to plan members. The second change was related to a global equity mandate that was managed by T. Rowe Price. Following the retirement of the lead portfolio manager on the fund that the University was investing in, a decision was made to transfer the assets to another global equity mandate managed by a different portfolio manager at T. Rowe Price, with better expectations of value added.

In July the Retirement Plans implemented the addition of commercial mortgage mandate to the Diversified Bond Fund, one of the largest funds on the Western Retirement Plans. This new mandate is expected to improve the risk/return profile of the Diversified Bond Fund. The strategy is expected to generate higher returns than the traditional bond investments within the fund, while the short-term nature of its loans will protect the fund in a scenario of rising interest rates.

In November, the new contribution rates for members of the Professional and Managerial Association (PMA) were implemented. Members of the Administrative Staff Pension Plan who also belong to this employee group could elect to increase their required contributions to the plan from 2.5% to 5.5%. For those members with more than 20 years of service, electing to make contributions of 5.5% results in an increased employer contribution from 8.5% to 9.0%. The employer contribution was also increased from 7.5% to 8.0% for members with less than 10 years of service and from 8.0% to 8.5% for members with 10 to 20 years of service. Members with more than 20 years of service who chose to keep contributing at a 2.5% rate still get the same 8.5% employer contribution. Finally, an old option of contribution at a rate equal to 6% minus the contributions made to the Canada Pension Plan was discontinued for PMA members. The Librarian and Archivist pension plan moved from the Administrative Staff Plan to the Academic Staff Plan, also in November.

#### **4. Projects Underway as at December 31, 2012**

A number of projects were underway at the end of 2012.

##### **Review of the Diversified Equity Fund**

In January 2012 pension staff held town hall meetings to allow members of the Retirement Plans to provide feedback and ask questions regarding the ongoing review of the Diversified Equity Fund. The Joint Pension Board spent a significant amount of time in 2012 reviewing several investment strategies for inclusion in the fund to meet its goal of increasing the expected return of the Fund while reducing its volatility. At its December meeting, the Joint Pension Board approved adding three new strategies to the Diversified Equity Fund: 1) an emerging markets equity strategy, 2) a global small cap equity strategy and 3) a low volatility U.S. equity strategy. The first two strategies are expected to generate higher returns for the Fund. Emerging markets equities offer potential for higher returns than developed markets as emerging markets are expected to generate most of the world's economic growth in coming years. Smaller companies tend to grow faster than larger ones and as such, provide higher expected returns. Both emerging markets equities and global small cap stock strategies are relatively more volatile than developed markets equities and larger cap equities. To counterbalance the additional risk to the portfolio, the Joint Pension Board decided to add a low volatility U.S. equity strategy. This is a type of strategies that focuses on stocks that are expected to exhibit less volatility due to their sector of operations or the leverage on their balance sheet. This type of strategy has also demonstrated an ability to generate attractive returns compared to traditional equity strategies. The changes are expected to be implemented in the second half of 2013.

### **Liquidating Trust**

The University Retirement Plans still hold some restructured non-bank asset-back commercial paper notes in the Liquidating Trust. Members are allowed to redeem their units of the Liquidating Trust on a monthly basis and re-allocate to other investments, as for any other investment option. During the year, members made average monthly redemptions of \$126,000. In July 2012 the University sold restructured notes for an amount of \$1.25 million of par value to fund members' future redemptions. There was \$1.2 million in cash in the Liquidating Trust at the end of 2012. Subsequent to year-end, the Class 13 Notes held by the Liquidating Trust distributed approximately \$415,000 to its noteholders, which resulted in a cash balance of \$1.4 million at the end of April, 2013.

At the end of 2012 the Liquidating Trust had a value of \$14.7 million. The quality of the notes has remained strong. The A-1 Notes, which represented 53% of the Liquidating Trust at the end of 2012, are still rated A (High) by DBRS and the A-2 Notes, which represented 29% of the Liquidating Trust at the end of the year, are still rated BBB (High) by DBRS.

The University will continue to monitor the Notes with the advice of the Kilgour Williams Group, a consulting firm specializing in monitoring non-bank ABCP and other structured assets. As the final maturity of the Notes is approaching, the likelihood of recuperating most of the capital invested is improving.

### **Grievance**

As mentioned in last year's report, the University and the University of Western Ontario Faculty Association (UWOFA) agreed on a framework for settlement in early 2012. UWOFA made a presentation at the Joint Pension Board retreat in August 2012 to make recommendations on process and/or program changes. In February 2013, UWOFA withdrew the grievance.

### **Unitization Error**

We have identified a valuation error made by Northern Trust in regard to incorrect unit values in late 2009 and early January 2010 affecting the Diversified Equity Fund, Balanced Income Fund and Balanced Growth Fund. At that time the non-bank ABCP was being carved out of the affected pension funds and moved to the Liquidating Trust. The error resulted in the unit values for January 2010 being understated for the Diversified Equity Fund and overstated for the Balanced Funds which has resulted in misstated returns for these Funds. A note is included in the audit findings of KPMG. This is a unitization error causing a misallocation between Funds. Other than for those members who have left with more money than they should have from the Balanced Funds, the assets remain within the pension plan and RRIF trusts held by Northern Trust. The error negatively impacted approximately 4000 unitholders of the Diversified Equity Fund by 0.34% in January 2010, for an average dollar value of \$333. The total value of the misallocation was approximately \$1.4 million and the largest impact on a single member was about \$4700. Adjusted for subsequent returns as of April 30, 2013, the average impact per member is around \$451 and the total value of the misallocation is about \$1.8 million. External and internal counsel have been contacted and are evaluating options to address any impact of this error for affected plan members.

**We appreciate the opportunity to present this report to Audit Committee and welcome any comments or questions you may have.**

**Academic Pension Board Membership**

**Stephen Foerster**, Ivey School of Business  
(Chair)  
**Michelle Loveland**, Management and Org. Studies  
**Craig Dunbar**, Ivey School of Business  
**Shannon Butler**, Management and Org. Studies

**Administrative Staff Pension Board Membership**

**Krys Chelchowski**, Office of the Registrar  
(Chair)  
**Jim Loupos**, Internal Audit  
**Ab Birch**, Financial Services  
**Josh Morgan**, Department of Political Science

**Appointed University Representatives on Each Board**

Lynn Logan, Associate Vice-President Financial Services (Designate of VP Resources & Operations)  
Jane O'Brien, Associate Vice-President Human Resources  
Louise Koza, Director Human Resources (Total Compensation)

**REPORT OF THE FUND RAISING AND DONOR RELATIONS COMMITTEE**

<p><b>Contents</b></p> <p><a href="#">Quarterly Report on Fundraising</a></p>	<p><b>Consent Agenda</b></p> <p>Yes</p>
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**FOR INFORMATION**

1. See [Annex 1](#).

**STATUS REPORT AS APRIL 30, 2013**

<b><u>By Constituency</u></b>	<b><u>Gifts &amp; Pledges</u></b>
Board of Governors/Faculty/Staff/Retirees	1,077,215
Students	1,153,582
Alumni	22,500,063
Parents	1,099,661
Friends	3,671,931
Corporations	22,798,433
Foundations	3,234,015
Associations	4,605,427
Municipal Government	<u>11,000</u>
<b>TOTAL</b>	<b><u>\$60,151,326</u></b>

<b><u>By Faculties/Special Projects</u></b>	<b><u>Gifts &amp; Pledges</u></b>
Arts and Humanities	1,765,912
Business (Ivey)	21,015,502
Education	74,630
Engineering	3,116,494
Health Sciences	586,444
Information & Media Studies	258,978
Law	3,435,269
Libraries	818,741
Medicine & Dentistry (Schulich School of)	13,518,327
Music (Don Wright Faculty of)	180,538
Mustang Athletics	899,759
Science	7,523,499
Social Science	1,550,771
<b>Special Projects</b>	
Student Awards-University Wide	2,080,918
Western Fund	889,580
Campus Wide Programs	1,708,620
Graduate Scholarships (Undesignated)	262,025
McIntosh Gallery	<u>465,319</u>
<b>TOTAL</b>	<b><u>\$60,151,326</u></b>

<b>2012/2013 Fund Raising Objective</b>	<b>\$ 65,000,000</b>
<b>% of the 2012/2013 Objective Achieved</b>	<b>93%</b>

**ENDOWED CHAIR MATCHING PROGRAM**

In total, the Matching Chairs program has received **\$18,500,000** in gifts & pledges towards a **\$24,000,000** goal and establishes **13** new endowed chairs in Ivey Business School (1), Schulich School of Medicine & Dentistry (9), Faculty of Law (2), Cross-Faculty (Engineering & Business) (1).

**GIFT PLANNING PROGRAM**

In addition to the above gifts and pledges, Western University has been notified of **28** new expectancies, future commitments such as bequests or life insurance totaling **\$16,976,309** toward a **\$10,000,000** annual goal and an overall campaign progress of **\$85,905,782** toward a **\$100,000,000** campaign goal.

**Overall Progress February 1989 to current \$161,400,665 (Expectancies)**



Fund Raising Initiatives Quarterly Report  
as at April 30, 2013  
(with comparative figures for the fiscal year 2011/12 and 2010/11)

Exhibit I

(1) <u>PLEDGE DATA</u>	May 1, 2012 to April 30, 2013 (000's)			May 1, 2011 to April 30, 2012 (000's)			May 1, 2010 to April 30, 2011 (000's)		
	Target	Actual	Actual as a % of Target	Target	Actual	Actual as a % of Target	Target	Actual	Actual as a % of Target
Pledges outstanding May 1,	168,106	168,106	N/A	98,090	98,107	N/A	150,720	89,957	N/A
New Gifts & Pledges (Gross)	65,000	60,487	93.06%	60,000	130,211	217.02%	54,000	63,563	117.71%
Pledges cancelled/amended on new/prior pledges	-2,684	-2,503	93.26%	-2,041	-1,691	82.85%	-3,204	-1,743	54.40%
<b>Net New Pledges/Gifts</b>	<b>62,316</b>	<b>57,984</b>	<b>93.05%</b>	<b>57,959</b>	<b>128,520</b>	<b>221.74%</b>	<b>50,796</b>	<b>61,820</b>	<b>121.70%</b>
(2) Contributions received in payment of pledges/gifts:									
Foundation Western	9,500	10,415	109.63%	10,000	9,073	90.73%	10,000	11,490	114.90%
Western University	103,716	113,678	109.61%	38,289	49,066	128.15%	38,887	41,784	107.45%
Richard Ivey School of Business (Asia) Limited	422	379	89.80%	400	382	95.50%	396	396	100.00%
Total contributions received	<b>113,638</b>	<b>124,472</b>	109.53%	<b>48,689</b>	<b>58,521</b>	120.19%	<b>49,283</b>	<b>53,670</b>	108.90%
<b>Net Pledges Outstanding</b>	<b>116,784</b>	<b>101,618</b>	<b>87.01%</b>	<b>107,360</b>	<b>168,106</b>	<b>156.58%</b>	<b>152,233</b>	<b>98,107</b>	<b>64.45%</b>

Cost Per Dollar Raised

Advancement Fund Raising Units	Net			Net			Net		
	Pledges/Gifts	Expenses	Cost per Dollar Raised	Pledges	Expenses	Cost per Dollar Raised	Pledges	Expenses	Cost per Dollar Raised
Development	32,959	4,042	\$0.12	103,220	3,888	\$0.04	27,733	3,389	\$0.12
Richard Ivey School of Business	16,473	1,622	\$0.10	16,871	1,641	\$0.10	25,171	1,634	\$0.06
Foundation Western	10,718	1,172	\$0.11	9,700	1,174	\$0.12	10,542	1,145	\$0.11
<b>Total Expenses/Cost Per Dollar Raised</b>	<b>60,151</b>	<b>6,836</b>	<b>\$0.11</b>	<b>129,791</b>	<b>6,703</b>	<b>\$0.05</b>	<b>63,446</b>	<b>6,168</b>	<b>\$0.10</b>
(3) <b>3-Year Average Cost Per Dollar Raised</b>	<b>253,388</b>	<b>19,707</b>	<b>\$0.08</b>						

(1) Includes total activity of:

- Western University
- The University of Western Ontario Inc.
- The University of Western Ontario (UK) Foundation
- The University of Western Ontario (HK) Foundation
- Foundation Western
- Richard Ivey School of Business (Asia) Limited

(2) Represents all contributions including cash, gift in kind and gift in purchase discounts entered in the Contributor Relations System within reporting period and may differ from the general ledger reporting period.

(3) 3-Year Rolling Average - reflects the major gift factor and the post campaign period.

**REVISED**  
**ITEMS REFERRED BY SENATE**

Contents	Consent Agenda
<b>Creation of the Department of Management and Organizational Studies</b>	<b>No</b>
<b>Articulation Agreement: Brescia University College, Bachelor of Science (Food and Nutrition) Honors Program, and George Brown College, Culinary Management – Nutrition Diploma Program</b>	<b>Yes</b>
<b>Annual Report of the University Librarian</b>	<b>Yes</b>
<b>Report of the Academic Colleague</b>	<b>Yes</b>
<b>Announcements and Reports on Promotion and/or Tenure 2012/13</b>	<b>Yes</b>

FOR APPROVAL

1. **Creation of the Department of Management and Organizational Studies**

**Recommended:** That the Department of Management and Organizational Studies be created effective July 1, 2013 and that the Aubrey Dan Program in Management and Organizational Studies be housed within the new department.

**Background:**

Over the past few years, the Dan Program has grown from a very small unit to one with 23 faculty members that offers many of its own courses rather than relying on courses from other departments. In all functional respects it operates as a department under the Collective Agreement. This change will reflect the current status of the program as a significant part of the Faculty of Social Science. The Aubrey Dan Program will continue to exist in its current form but will be housed within the Department. The proposal to restructure was approved by Social Science Faculty Council on April 16, 2013, following consultation within the Faculty and with the Richard Ivey School of Business.

Full details and rationale are attached as [Annex 5](#).

2. **Articulation Agreement: Brescia University College, Bachelor of Science (Food and Nutrition) Honors Program, and George Brown College, Culinary Management – Nutrition Diploma Program**

**Recommended:** That effective May 1, 2013, graduates of the Culinary Management – Nutrition Diploma Program at George Brown College be admitted into the Bachelor of Science (Food and Nutrition) Honors program at Brescia University College, according to the procedures set out in the Articulation Agreement attached as [Annex 1](#).

**Background:**

The purpose of this Articulation Agreement between George Brown College and Brescia University College is to place graduates from Culinary Management – Nutrition Diploma Program (George Brown) into the Bachelor of Science Foods and Nutrition Honors program (Brescia) with transfer credit as outlined in Annex 1. Transfer credits will be awarded to those students from George Brown College who have successfully completed the Culinary Management – Nutrition Diploma and the Food and Nutrition Management (Postgraduate) Certificate with a minimum average of “B+” or 3.5 GPA calculated on all

courses within the diploma program only, with no grade less than “C” or 2.0 GPA, and subject to the other conditions as outlined in the agreement. The agreement is to be reviewed after a period of three years.

FOR INFORMATION

3. **Annual Report of the University Librarian**

See [Annex 2](#).

4. **Report of the Academic Colleague**

See [Annex 3](#).

5. **Announcements and Reports on Promotion and/or Tenure – 2012-13**

See [Annex 4](#).

This agreement made on the \_\_\_ day of, \_\_\_\_\_, \_\_\_\_\_

BETWEEN:

**George Brown College**  
(Hereinafter called "George Brown")

of the First Part,

- and -

**Brescia University College**  
(Hereinafter called "Brescia")

-and-

**The University of Western Ontario**  
(Hereinafter called "Western")

of the Second Part,

WHEREAS George Brown, Brescia and Western wish to facilitate the transfer of graduates from the Culinary Management – Nutrition Diploma Program and the Food and Nutrition Management (Post-Graduate) Certificate Program at George Brown to the Bachelor of Science (Foods and Nutrition), Honors Specialization in Nutrition and Dietetics Program at Brescia;

AND WHEREAS the Parties wish to develop clearly defined pathways for the movement of students between George Brown and Brescia;

AND WHEREAS the purpose of this agreement is to enter into a formal articulation agreement recognized by the Ontario Council for Articulation and Transfer (ONCAT);

NOW THEREFORE in consideration of the mutual covenants and agreement hereinafter contained, the Parties covenant and agree each with the other as follows:

1. The Registrar's Office at George Brown and Brescia in consultation with the appropriate authorities in the respective programs will be responsible for the implementation of this Articulation Agreement.
2. This Agreement is effective May 1, 2013 and will be in place for a period of three years and will be reviewed annually by both parties. Thereafter it may be extended by the parties for such additional period(s) of time as they may stipulate subject to the approval of Western's Senate.
3. Any party may terminate this Agreement during the initial term or an extension thereof upon at least twelve months written notice to the other parties. Notwithstanding this right to early termination, any party may, by written notice to the other parties, request that the Agreement be reviewed and re-negotiated in full or in part by the end of the date specified in the notice.
4. In addition to the early termination provision set out in section 3, Brescia, in its sole discretion, may terminate this Agreement if it decides that transfer credit cannot be given for the college courses due to course or curriculum changes that have been or will be instituted by either George Brown or Brescia subsequent to the signing of this Agreement. The effective date of such termination shall be the earlier of three months after written notice of termination is given to George Brown, or the date upon which the changes are adopted by either George Brown or Brescia.
5. In order to be considered for admission to Brescia, George Brown students must have:
  - (a) successfully completed the Culinary Management Nutrition Diploma Program with a competitive overall admission average for the year in which they apply as calculated by Brescia;
  - (b) obtained a minimum average of "B+" or 3.5 GPA calculated on all courses within the diploma program only, as calculated by Brescia, and with a minimum grade of "C" or 2.0 GPA in each college course as outlined in Appendix 1;
  - (c) completed Ontario Secondary School Biology (SBI4U); or equivalent; and
  - (d) completed Ontario Secondary School Chemistry (SCH4U); or equivalent.

Substitutions for the courses outlined in Appendix 1 are not permitted. Admission is also contingent upon space availability in the program the Bachelor of Science (Foods and Nutrition) program.

6. Successful applicants will receive transfer credit for the George Brown courses in accordance with Appendix 1. In addition, successful applicants who have completed the Food and Nutrition (Postgraduate) Certificate Program at George Brown with an overall average of "B+" or 3.5 GPA calculated on all courses within the Certificate Program only, as calculated by Brescia, and with a minimum grade of "C" or 2.0 GPA in each college course outlined in the second table in Appendix 1, will receive additional transfer credit as outlined in Appendix 1. The listed courses may be amended from time to time with the agreement in writing of George Brown and Brescia. George Brown and Brescia must give each other reasonable notice of any anticipated changes to course numbers, titles, or course content for the listed courses.

7. The transfer credit set out in this Agreement is granted solely for students accepted into the Bachelor of Science (Foods and Nutrition), Honors Specialization in Nutrition and Dietetics program at Brescia and is not applicable if a student transfers to another program and/or campus at Western. Students who wish to transfer to another program and/or campus at Western will have the credit that they received under this Agreement removed from their academic record. In such case credit for George Brown courses will be assessed for individual credit on a course-by-course basis by the Admissions Office, as applicable, at that point in time.

IN WITNESS WHEREOF the parties have executed this Agreement under the hands of their duly authorized officers.

***George Brown College***

Per: \_\_\_\_\_  
Anne Sado,  
President

***Brescia University College***

Per: \_\_\_\_\_  
Dr. Colleen Hanycz  
Principal

***The University of Western Ontario***

Per: \_\_\_\_\_  
Dr. John Doerksen  
Vice-Provost (Academic Programs and Students)

**Appendix 1: George Brown – Brescia and Western Articulation Agreement  
Bachelor of Science (Foods and Nutrition) Honors Degree – Honors Specialization  
in Nutrition and Dietetics**

**Completion of the Culinary Management – Nutrition Diploma Program**

<b>Western/ Brescia Course</b>	<b>Western/ Brescia weight</b>	<b>George Brown Course</b>	<b>George Brown Course Title</b>	<b>Credit Weight</b>
Foods and Nutrition 1030E	1.0	HOSF 1226 HOSF 1156	Introduction to the Science of Food Nutrition for Life (Theory)	3.0 3.0
Foods and Nutrition 1020TRN	0.5	HOSF 1145 HOSF 2037 HOSF 2040	Sanitation Introduction to Quality Assurance Advanced Sanitation	1.0 3.0 3.0
Foods and Nutrition 2100TRN	0.5	HOSF 1029 HOSF 1225 HOSF 1228	Theory of Food I Culinary Nutrition - Skills I (Interactive Lab) Culinary Nutrition - Skills II (Interactive Lab)	2.0 3.0 4.0
Foods and Nutrition 2100TRN	0.5	HOST 1005 HOSF 2044	Food, Beverage and Labour Cost Control Purchasing	4.0 3.0
Communication s 1020TRN	1.0	COMM 1047 COMM 1007	Business Communications College English	3.0 3.0
Foods and Nutrition 3300TRN	1.0	GSSC1102 HOSF 1229 HOSF 2042 HOSF 2043	Nutrition and Lifestyle Nutrition Analysis and Food Labelling Quantity Cooking for Nutrition Issues (Interactive Lab) Nutrition Issues	3.0 3.0 2.0 2.0
Foods and Nutrition 3400A/B	0.5	GHUM 1039 HOSF 2039	Nutrition and Culture Culinary Nutrition for Life (Interactive Lab)	3.0 4.0
Foods and Nutrition 2100TRN	1.0	HOSF 1191 HOSF 2036 HOSF 1159 HOSF 2057	Culinary Nutrition - Desserts Menu Applications Chef's Kitchen (Interactive Lab) Culinary Industry Research and Development (Interactive Lab)	3.0 3.0 3.0 2.0

**Total: 6.0 credits**

**Completion of Food and Nutrition Management (Postgraduate) Certificate Program**

Food and Nutrition 3348A	0.5	HOST 4003 HOST 4002 HOSF 4010	Menu Analysis Health Care Standards Management Sanitation and Safety	2.0 2.0 4.0
Food and Nutrition 3300TRN	0.5	NUTR 4002 MGMT 4005 HOSF 4005	Nutrition Analysis Food service Management Food Modification lab	4.0 2.0 3.0
Business 2100TRN	0.5	HOST 4001 HRM 4001	Facilities Design Labour Relations	2.0 2.0
Psychology 2100TRN	0.5	PSY 4001	Gerontology	2.0
Human Ecology 2266F/G	0.5	COMM 4006 HOSF 1126 <sup>1</sup>	Leadership Communication I and II Industry Externship Preparation	4.0 2.0

**Total additional credit: 2.5 credits**

**Note:** The TRN notation in Appendix 1 denotes that a George Brown course is not directly equivalent to a Brescia course, however, it may be used as a generic credit towards a Western degree.

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<sup>1</sup> HOSF 1126 Must be completed as part of the Culinary Management – Nutrition diploma program to receive this credit

## WESTERN LIBRARIES ANNUAL REPORT to SENATE 2012-2013

Presented by  
Joyce C. Garnett - University Librarian

June 2013

### CONTEXT

Western Libraries provides a unique, pan-university perspective, working with students, faculty and staff across all disciplines and programs to provide resources, access and services for their research, teaching and learning needs, as well as to support the administrative needs of the University.

Western Libraries continues on the journey to create a 21<sup>st</sup> century research library with its heightened focus on the virtual and a reduction of emphasis on the physical, complemented by new models for resources, access and services. Western Libraries is well on the way to that preferred future: leveraging digital collections, rethinking the scholarly publishing model, repurposing library space and redeploying library staff.

Western Libraries' renewed Strategic Plan reinforces the University's Strategic Plan and its 2010 update, and serves as the guiding document for the Libraries' priorities and directions. The key direction for Western Libraries, as envisioned in its Strategic Plan, is to 'implement strategies to achieve integration as a key partner in the academic enterprise', aligned with Western's four strategic pillars: providing the best student experience, expanding and enhancing graduate programs, building the research intensive university, and raising Western's international profile.

This annual report presents a highly selective list of achievements for Western Libraries during 2012-13 and priorities for 2013-14, organized to reflect the four pillars of Western's strategic plan.

### LOOKING BACK - HIGHLIGHTS OF 2012-13

#### Providing the Best Student Experience

***Physical Library Spaces and Services:*** Library space is highly valued by undergraduate and graduate students, with increasing enrollment creating student study space pressures. Repurposing library space to create more individual and group study spaces, as well as collaborative learning areas, has been a recent priority for Western Libraries. We have moved more low-use print material to storage, where it can be retrieved on demand.

Western Libraries consulted undergraduate and graduate students concerning library space needs, with results that will inform our plans to develop collaborative learning spaces, and provide more group and individual study spaces in the future. During our consultations, students recognized the challenges that increasing enrollment are placing on our library spaces, and approached our discussions from a community needs-based, practical and budget-conscious perspective. Along with more individual study spaces, our undergraduate and graduate students are requesting open, flexible library workspace clusters that support collaboration, discussion and group work to meet their changing learning needs.

Plans for refurbishing space in the Taylor Library, from which 200,000 print serial volumes on the lower floors have now been removed, were developed through extensive consultations with undergraduate and graduate students. Approximately 3,800 ft<sup>2</sup> of space on two floors that was formerly occupied by shelving can now be converted to more than 100 individual study spaces and extensive collaborative learning spaces.

In the C.B. "Bud" Johnston (Business) Library, preparations for the move to the new location in the second phase of the Ivey Building are now completed. The new library space is designed primarily for study and learning, and will house limited print collections, with over 60% of the original collection (some 50,000 volumes) having been transferred to storage.

The first phase of the renovations in the Law Building resulted in the reconfiguration of staff office area and the reduction of the amount of space occupied by print collections. In anticipation of further renovations to provide more space for the Faculty of Law's growing needs, more print collections were transferred to storage and digital collections enhanced.

Preparations to relocate the Map and Data Centre from its current location in the Social Science Centre to the Weldon Library have continued. Creating the Map and Data Centre in the Weldon Library during summer 2013 will make more effective use of staff and enhance service delivery across campus. The new Centre will provide space for consultation and service delivery, with special emphasis on enhanced geographical information systems service across the University. A redesigned multi-purpose instruction room and upgraded group study spaces are also planned for the area, increasing user spaces by approximately 5,000 ft<sup>2</sup>.

Western Libraries participated in the redesign of the Music Library as part of the space renewal process in the Faculty of Music; we are now waiting for the phased-in construction and partial renovations to start. As current plans indicate that the library will be reconstructed beginning in June 2015, we look forward to the new library being completed and able to respond adequately to the needs of the Faculty by providing appropriate services and modern spaces for research and learning, including multipurpose study and consultation areas, particularly those required for effective use of music-specific print and audio resources.

Public computing and printing facilities in the Libraries continued to be in high demand by students. In collaboration with ITS, 30 computers with specialty software were installed in the Taylor Library this past summer. Western Libraries also collaborated with ITS in developing best printing solutions for the eight physical library service locations and the GenLabs managed by ITS. Preliminary talks have begun with Information Technology Services about the Libraries' collaboration in implementing a Virtual Desktop (VDT) model in the future.

Radio Frequency Identification (RFID) technology increases self-service functionality and reduces staff intervention. As a pilot, we implemented RFID technology for the remaining print holdings of the Johnston (Business) Library in anticipation of the move to the new Ivey building. The service model in the new library assumes that users will rely increasingly on self-service options, while staff will focus on providing highly specialized research and consultation services in person and via chat. We continue exploring other options to implement RFID technology strategically, in discrete high use collections across Western Libraries, which will enable us to redeploy staff to provide more value-added services.

**Virtual Library Spaces and Services:** The digital library - access, resources and services - continued to grow. Western Libraries' website is a key service point providing access to information resources and associated services, with more than 3 million visits annually. Mobile computing is ubiquitous as more and more students use handheld devices to work and access information. Western Libraries enhanced and redesigned its mobile website in August 2012. Users were surveyed to identify which features should be made available through the redesigned mobile interface. Currently, the mobile site facilitates access to the mobile versions of the most important search tools and most popular features of the website (library hours, study room bookings, help and chat features). As a result of implementing the changes, in October 2012 visits to the mobile site had increased four-fold compared to October 2011. Summon, the web-scale

discovery tool implemented last year, offers Google-like access to 1 billion external digital scholarly resources, complementing the 13 million local holdings available from the library catalogue. Summon is credited with improved satisfaction levels among faculty, graduate students and undergraduates as evidenced in the March 2013 LibQUAL survey.

Reference service through online chat has been provided at Western Libraries to a limited extent for some years now. To respond to growing needs for extended hours of coverage and better availability, Western Libraries joined the Ontario Council of University Libraries (OCUL)'s "Ask a Librarian" cooperative online chat service in September 2012. Some forty Western Libraries' staff members from five different libraries and departments take part in service delivery, which is collaboratively provided with eight other OCUL libraries. Participation in the joint venture has enabled us, with our current staffing, to enhance the availability of chat service from 30 to 67 hours per week, including weekends and evenings coverage, and to support an increase of 400% in the number of chat reference sessions between 2011 and 2012. More than 2 000 questions were received from the Western community between September 2012 and April 2013. Feedback for the service indicates high satisfaction with 92% of respondents rating the service excellent or good.

In order to better support Western's e-learning initiatives, Western Libraries established an e-learning working group to assess the needs of the university community vis-à-vis the evolving e-learning environment, and provide a framework for the Libraries' growing support to these initiatives. The recommendations of this group will enable Western Libraries to redefine and focus our services as needs evolve. We anticipate that further development of online point-of-need library instructional and help services and resources will be required.

### **Expanding and Enhancing Graduate Programs**

**Electronic Theses and Dissertations:** Western Libraries collaborated with the School of Graduate and Postdoctoral Studies to publish and preserve electronic theses and dissertations (ETDs) hosted on the Libraries' repository *Scholarship@Western*. The number of "born digital" theses has grown considerably. Beginning with Ph.D dissertations in 2010 and adding master's theses in Fall 2012, there were over 1000 ETDs in the repository as of mid-November 2012. Overall, these ETDs have been downloaded over 100,000 times, and were viewed from 154 countries. Online access enhances awareness and use as evidenced by the following statistics. Between October 2010 and October 2011, 116 physical Ph.D dissertations circulated a total of 35 times, for an average of 0.3 circulations per dissertation. In contrast, between October 2011 and October 2012, 258 electronic dissertations were circulated (downloaded) 50,230 times, for an average of 194.7 circulations per item. In the future, Western Libraries plans to load 10,000 older, digitized theses into the repository, further exposing Western's research to the world. Western Libraries was recognized, along with Western's School of Graduate and Postdoctoral Studies, by the Ontario University Registrars' Association for the collaborative Electronic Thesis and Dissertations Project.

Additional library developments of significance to graduate students are described in the section 'providing the best student experience' (relevant to their student role) and in the section 'building the research intensive university' (relevant to their researcher role)

### **Building the Research Intensive University**

**Print and Digital Collections:** Western Libraries has a growing collection of 'born digital' objects - books, journals, conference proceedings, government publications - many of which are acquired through collaborative initiatives. In 2002 Western Libraries adopted a policy of preferential acquisition of electronic information resources - where available - over print. Since then, a transformation has taken place; today, 80% of journal subscription costs are for electronic titles. Electronic books are also increasingly purchased; currently the library catalogue contained links to 1.2 million e-books, including both retrospective and current imprints, representing one-third of all monographs in Western Libraries' collections. A recent acquisition was the full catalogue of current and retrospective works from all Canadian university presses. Patron-driven acquisition (PDA) has also proven a successful strategy for

building e-book collections, especially in interdisciplinary and popular subject areas. PDA is a just-in-time approach to building collections, whereby e-books are added to Western's library collections as a result of use by faculty, student or staff from a pool of university-level publications. Reliance on user-driven purchasing will increase, although it will not replace all traditional acquisition practices in the near future. Collaboration with Western's Bookstore to test and further develop print-on-demand services for selected resources continued. Digital audio and video streaming products are now available for users in several disciplines.

Western Libraries continued to benefit from two important collaborative initiatives, the Canadian Research Knowledge Network (CRKN) and OCUL, both of which provide large scale licensing negotiations and significantly reduced pricing through consortial purchases. Although our commitment to CRKN represents only part of our consortial acquisitions, as an indication of the benefits in the form of cost avoidance, the most recent data provided by CRKN indicates that Western realized savings (cost avoidance) of \$10.6 million for the 41 licensed collections (each with multiple titles) subscribed to through CRKN, compared to what would have been the cost had Western Libraries not been a member of CRKN. Given the magnitude of the potential additional cost, in reality Western would not have been able to secure access to all these collections, thus depriving our researchers of many valuable resources. In addition, as most consortial purchases include a clause permitting local loading on Scholars Portal, access to the content is guaranteed into the future.

Western Libraries continued to acquire unique print and primary resources to support teaching and research. While some items are purchased, most are acquired as gifts-in-kind. Examples of some of the significant and diverse acquisitions received in 2012-13 include: the sixth accrual to the Dr. James and Dr. Margaret Whitby Music Collection, mainly string chamber ensembles from the late-18th to mid-19th centuries; an autographed first edition of Tennyson's *Gareth and Lynette*, 1872; four accruals to the Dr. Eddy Smet Collection of Comic Books; the Dr. Henry Barnett fonds, personal and research papers of this internationally renowned stroke researcher; an accrual to the Joan Barfoot fonds; the Dr. Mary J. Wright fonds, records documenting her tenure as chair of Psychology as well as her teaching career and over 60 years of research and writing; and, two medieval manuscript fragments (1300, 1441) and a complete Book of Hours (ca 1500) purchased to support the new minor in medieval studies in the Faculty of Arts and Humanities. The new program was launched in the reading room of Western Archives with a reception and extended display of manuscript materials, with a new acquisition, an illuminated manuscript, *Canon Grandel's Prayer Book*, being the star of the event.

Western Libraries has digitized some of its valuable and unique collections during recent years, creating 'born again digital' objects. We continue to receive requests to enhance the profile of special collections by making them more accessible, and digitization is one way to do so. Western Archives, working with the Internet Archive, and with the support of the University Students' Council, recently completed the digitization of *Occidentalism*, Western's yearbook, from the early 1920s to the 1980s. This collection offers a fascinating glimpse into the evolution of university life at Western, from academics to athletics. Funding is on hand to digitize major collections of significant historical interest, e.g., London Free Press photographic negatives, Canadian Tire and Labatt.

**Support to Researchers:** Research support remains a high priority, with acquiring scholarly resources, facilitating scholarly communication through *Scholarship@Western*, and providing specialized liaison and support as key approaches. Other forms of research support include one-on-one research consultation involving librarians or archivists and researchers, group presentations, participation in the delivery of graduate research methods and related courses, and instructional sessions to enhance information seeking and management skills for graduate students. An emerging area to be noted, one where the unique skills of librarians and archivists are in demand, is providing support for researchers engaged in digital scholarship, including digital humanities.

Western Libraries supported and participated in the University's scholarly activities by disseminating research and scholarly outputs through *Scholarship@Western*, an open access platform to preserve and showcase digital works of Western's scholars in what is known in the research library community as an

institutional repository; it makes Western researchers' intellectual output visible to the world and satisfies the open access mandate of several funding agencies. The publishing platform now hosts 18 open access online journals published by Western researchers, including a number of student journals, as well as a variety of conference proceedings, fourth year projects and e-books, and facilitates Western's electronic process for the submission, review and publication of electronic theses and dissertations. *Scholarship@Western* is an active environment with 9400 works in 768 disciplines, 622,216 full-text downloads to date, and 375,802 downloads in the past year. *Scholarship@Western* also facilitated Western's electronic process for the submission, review and publication of electronic theses and dissertations (ETDs) described above.

## Raising Western's International Profile

**Global Learning Spaces:** In support of Western's internationalization program, Western Libraries launched a Global Learning Space fundraising program to support the rejuvenation of library spaces to meet the expressed needs of our students, as identified through a comprehensive consultation process. Funds raised will be used to upgrade existing infrastructure and provide a mix of quiet and interactive, individual and group spaces for study and learning, equipped with appropriate educational technologies. The intent is engage members of the diverse communities represented on campus and in the London area to support the work of Western Libraries. The financial contributions of these communities will be recognized by creating internationally themed common spaces within our various physical libraries that will showcase the rich cultural heritage of the corresponding region through art, artifacts and multimedia displays, with the initial focus on Asian-themed space in the Taylor Library. By providing a canvas for our diverse student population to celebrate their heritage in common areas of the library, all students will have a unique opportunity for conversations and learning about the world beyond our borders, on their journey to becoming future global leaders.

## Enabling Strategies

**Community Outreach:** Partnerships with the School of Graduate and Postdoctoral Studies, Student Career Centre, Communications and Public Affairs, Student Development Centre, Learning Skills Services, the International and Exchange Student Centre and the Teaching Support Centre continue to be central to the provision of existing services and/or development of new ones for groups such as graduate students and international students and researchers. In the healthcare environment, partnership in the Western Ontario Health Knowledge Network (WOHKN) is instrumental in providing library services to clinical training sites. During 2012-13, Western Libraries also partnered with the Faculty of Arts and Humanities to support the new School for Advanced Studies in the Arts and Humanities (SASAH). SASAH, to be housed in the Weldon Library, held its official launch on 29 November. Librarians from Weldon Library will work collaboratively with faculty to develop and deliver innovative curriculum, provide one-on-one support to student researchers, and serve on SASAH's steering committee.

Western Libraries established a University Librarian's Advisory Council, composed of community leaders who provide advice, impart business/industry knowledge, and share opportunities to reach decision makers and potential funders to support Western Libraries. Advisory Council members currently include representatives from the financial, legal, technology and consulting fields.

A quarterly series, *Breakfast with Joyce (BWJ)*, hosted by the University Librarian, provides a venue for informal consultation. Twelve invitees, including current and retired Western staff and faculty, as well as general community members, come together over brunch for a roundtable and free-ranging exploration of the future of academic libraries. The latest BWJ in May 2013 featured the future of the Music Library.

**Be Extraordinary Campaign:** Western Libraries' campaign priorities were re-visited and re-scoped in keeping with Western's expanded Campaign goal of \$750 million, of which the Libraries' portion is \$25 million. The four pillars of the campaign priorities remain the same: Scholars Space, Digital Zone, Collections Culture, and Creating the Future Fund. However, specific projects and recognition

opportunities have been detailed, including chairs for scholarly research in librarianship or archival practice; named positions; and joint ventures with one or more Faculties. Endowed and expendable gifts will support development of the digital library, repurposing library spaces, redeployment of staff, and creation of a culture of scholarship within the Libraries and the Archives. In terms of specific initiatives, the Digital Bookplate program continued to enjoy growth and success, with a new "Corporate Recognition" component about to be launched.

**Staff Development:** Western Libraries has been addressing workplace climate issues that were identified by the Report from the Joint Committee on Workplace Climate (JCWC) released in late May 2012. Work undertaken over two years until June 2014 will focus on improving the underlying culture within Western Libraries. The associated process will be collaborative, inclusive and consultative, and the anticipated results are expected to benefit all staff. In addition to the intensive efforts devoted to workplace climate during 2012-13, pre-existing staff communication and consultation modes continued. Western Libraries' staff development efforts focused on developing the essential skills required in today's academic library environment. These ranged from technical and customer skills training for all front line staff to project management instruction for key individuals. We currently support staff attendance at conferences and workshops by providing release time and full or partial funding. A series of all-staff sessions are held throughout the year, providing a forum for various topics of interest. For example, the August 2012 session focused on new directions and services planned by Western Libraries in support of the Strategic Plan. Presentations on e-learning, data management and GIS were well-attended and appreciated by staff.

**Assessment:** Western Libraries has devoted efforts to developing a culture of assessment, with evaluation of outcomes and impact factored into our planning and operations. Staff have built an extremely strong culture of service in Western Libraries and this has been frequently recognized through internal (survey of graduating students) and external (LibQUAL, Globe & Mail, Maclean's) surveys. Western Libraries once again was highly rated in the 2012 Graduating Students survey and scored A- in the fall 2012 Globe & Mail University Report (tied with Alberta and Toronto), but no longer in 1<sup>st</sup> place, that achievement going to McGill. This is a decline from the early years of the survey when Western 'owned' 1<sup>st</sup> place. The LibQUAL survey was conducted during March 2013 in concert with other CARL libraries. Preliminary analysis of results indicate that the follow-up actions in response to the previous LibQUAL survey in 2010 have apparently been successful, in that all categories of library users – faculty, graduate students and undergraduates – indicated increased satisfaction with library resources, access and services.

## LOOKING FORWARD – PRIORITIES FOR 2013-14

### Leadership Changes

Joyce Garnett will end her tenure as University Librarian at the end of June 2013 after 15 years in the role.

Robin Keirstead will serve as Acting University Librarian effective 1 July 2013. Robin assumed his current position as Western University's first University Archivist in 2001. In addition to his administrative responsibilities with Western Libraries, he served a five year term as University Commissioner for Access to Information and Privacy Protection and chaired the Council of Ontario Universities' Task Force on Privacy Issues for three years.

### Opportunities

Western Libraries' submission to the strategic plan review identified opportunities for enhanced contributions by the Libraries to Western's overarching academic mission – the creation and dissemination of knowledge. Selective examples are:

Western Libraries is the de facto 'Third Place' on campus, defined as the place other than home or work where people gather and feel a sense of community which leads to collaborative learning and research. This should be nurtured and developed further in both the physical and virtual environments. (The Third Place is a term created by sociologist, Ray Oldenburg, in his 1989 book *A Great Good Place*.)

Western Libraries could provide lifelong learning opportunities for Western's 280,000 alumni through access to selected digital information resources. Providing this access for our alumni would increase alumni engagement and foster warmer feelings about the University, leading to stronger volunteer and donor participation. The access would also be of great value to graduates of our professional programs to support their requirements for lifelong learning in their respective fields.

Librarians and archivists at Western are academic staff with the responsibility to engage in scholarly work and to disseminate peer-reviewed results. Librarians and archivists can contribute to the creation and dissemination of knowledge in librarianship and archival practice as individual researchers and as integrated members of selected research teams.

Librarians can engage with researchers about research data management to ensure effective preservation, management and dissemination of research data for future exploration.

Librarians can support initiatives related to research productivity and research metrics at all levels within the University, including pan-University, Faculty, Department and individual assessments.

In concert with campus partners, librarians can develop educational programming to ensure an understanding of rights related to scholarly communication and intellectual property, and to ensure student understanding of academic integrity expectations and behaviour.

**Council of Ontario Universities  
Report to Senate of the Academic Colleague  
Kathleen Okruhlik, June 2013**

The COU Academic Colleagues met in Toronto May 23- 24, 2013. There was no meeting of the full Council.

**Provincial Budget:** There seem to have been no real surprises in the budget released on May 2<sup>nd</sup>. The “new jobs strategy” had been signalled in advance, and it seems clear that universities will play a role of some sort in that strategy—although there is not much information available and it is not yet clear exactly how our sector will be affected.

**Strategic Mandate Agreements:** These documents, originally submitted under a tight deadline with no clear rules of the game, will likely be treated as bilateral agreements (between each university and the provincial government) and continue to be tied to the government’s differentiation policy. So they are not going away. Minister Duguid’s style is, however, markedly different from that of his predecessor. Here as elsewhere we are less likely to hear the language of “transformation” and more likely to see a few targeted changes. Duguid is also expected to rely more heavily on the expertise of Ministry staff.

**2013-14 Graduate Enrolment Allocation:** On May 23, the provincial government released a document that describes how new graduate spaces will be allocated. There will be no new spaces for universities that are far below their targets. Those that are near their targets will share 200 new spaces (150 Master’s level, 50 PhD level). Universities that have exceeded their targets will get one more year’s funding for those extra students. Western falls into the second category; we came within 5% of hitting our overall target. So it looks as if we’ll pick up something on the order of 28 new MA spaces and 12 new PhD spaces.

**Tuition:** It seems likely that the government will at least consider deferral of full tuition payment until after OSAP is in.

**Ontario Universities Online:** This project is moving ahead. The plan is that BIUs would be proportionally divided by universities. So if a student were taking four courses at the home university and one elsewhere, the home university would get .8 BIU and the other would get .2 BIU. (This project must not be confused with the idea of a stand-alone online university. This is a collaborative project among existing universities.)

**Teaching Activities and Community Involvement:** If your unit has good news stories about community involvement or innovative teaching, don’t forget to send them to Helen Connell (AVP Communication): [hconnell@uwo.ca](mailto:hconnell@uwo.ca). If your stories make it on to Western’s website, they may get picked up by COU.

**COU Update:** A new COU Update is available from Nancy Martinelli upon request. This one is dated May 15, 2013. Please bear in mind that the COU Update is not a public document and is made available for the sole purpose of assisting you in your work as Senators.

I will be pleased to answer questions about these and other issues on the floor of Senate.

**ANNOUNCEMENTS AND COMMUNICATIONS**

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**Announcements**

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FOR INFORMATION

**Announcements**

Name	Department/School	Faculty	Admin Post	Effective Date	End Date
JB Orange	CSD	Health Sciences	School Director	July 1-2013	June 30-16

**COMMUNICATIONS**

Reports on Promotion and/or Tenure – 2012-13

See [Appendix 1](#).



**TO:** Faculty Relations  
**FROM:** Equity & Human Rights Services  
**DATE:** May 13, 2013  
**SUBJECT:** *Reports on Promotion and/or Tenure – 2012-2013*

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Please find attached charts summarizing the information requested on the designated group status of those individuals considered for Promotion and/or Tenure under the Collective Agreements for 2012/2013.

As in previous years, the data is provided with the following notes:

- The information related to the designated groups – with the exception of gender – was provided by Equity & Human Rights Services (EHRS).
- The information provided by EHRS is in aggregate form only and was drawn from the Employment Equity database.
- All information in the database is obtained through self-identification surveys sent to employees; therefore, information is only available for those individuals who have completed surveys.
- Where the information is unknown, it is considered to be a “no” response (i.e. not a member of designated group).
- For reasons of confidentiality, information is suppressed in cases where there are fewer than 5 individuals in the group considered for Promotion and/or Tenure and/or where deemed necessary by EHRS.

**2012-13 REPORT ON PROMOTION AND/OR TENURE CASES CONSIDERED UNDER THE FACULTY COLLECTIVE AGREEMENT**

(as required under Clause 21 in the Article *Promotion and Tenure*)

**Total cases considered for Promotion and/or Tenure**

Male	42						
Female	27						
Aboriginal	0						
Visible Minority	9						
Person with Disability	2						

**Probationary Assistant Professors considered for Promotion and Tenure**

	Process initiated by Dean in the last year - Clause 15.1	Process initiated by Dean in any year before the last year - Clause 15.3	Process initiated by Member by March 1 of 3rd year for consideration in the 4th year - Clause 15.4	Positive Committee recommendation - Clause 17	Negative Committee recommendation - Clause 17	Positive Provost decision - Clause 18	Negative Provost decision - Clause 18.3
Male	20	2	1	23	0	22	1
Female	16	4	2	22	0	22	0
Aboriginal	0	0	s	0	0	0	0
Visible Minority	5	0	s	5	0	5	0
Person with Disability	1	0	s	1	0	1	0

**Probationary Associate Professor considered for Promotion or Granting of Tenure**

	Process initiated by the Dean in the last year of the appointment - Clause 15.2	Process initiated by Dean in any year before the last year - Clause 15.3		Positive Committee recommendation - Clause 17	Negative Committee recommendation - Clause 17	Positive Provost decision - Clause 18	Negative Provost decision - Clause 18.3
Male	1			s	s	s	s
Female	0			s	s	s	s
Aboriginal	s			s	s	s	s
Visible Minority	s			s	s	s	s
Person with Disability	s			s	s	s	s

**Tenured Associate Professors considered for Promotion**

	Process initiated by Dean - Clause 15.5	Process initiated by Member no earlier than three years after promotion to Associate Professor - Clause 15.6		Positive Committee recommendation - Clause 17	Negative Committee recommendation - Clause 17	Positive Provost decision - Clause 18	Negative Provost decision - Clause 18.3
Male	13	5		15	3	15	3
Female	3	2		4	1	4	1
Aboriginal	0	0		0	0	0	0
Visible Minority	3	1		2	2	2	2
Person with Disability	1	0		1	0	1	0

**Limited-Term Assistant and Associate Professors Considered for Promotion**

	Process initiated by Dean - Clause 15.5.1	Process initiated by Member - Clause 15.4.2	Process initiated by Member - Clause 15.6.1	Positive Committee recommendation - Clause 17	Negative Committee recommendation - Clause 17	Positive Provost decision - Clause 18	Negative Provost decision - Clause 18.3
Male							
Female							
Aboriginal							
Visible Minority							
Person with Disability							

**Total cases considered for Promotion and/or Tenure**

The information related to the designated groups - with the exception of gender - was provided by Equity & Human Rights Services. This information was provided, in aggregate form only, from the Employment Equity Database. All information in this database is obtained through the self-identification surveys sent to employees. Therefore, information about membership in a designated group is only available for individuals who completed and returned the surveys. Those who have not completed a survey and who were considered for tenure and/or promotion are counted as not being members of a designated group. For reasons of confidentiality data is suppressed (s) in cases where there were less than 5 individuals considered in a group.

**2008-2013 REPORT ON PROMOTION AND CONTINUING APPOINTMENT CASES CONSIDERED UNDER THE LIBRARIANS AND ARCHIVISTS COLLECTIVE AGREEMENT**

(as required under Clause 21 in the Article *Promotion and Continuing Appointment*)

**Total cases considered Promotion or Continuing Appointment**

Male	3						
Female	9						
Aboriginal	0						
Visible Minority	0						
Person with Disability	1						

**Probationary Appointees considered for Promotion**

	Process initiated by University Librarian or Dean in final six months of probationary period - Clause 8.1	Process initiated by the University Librarian or Dean - Clause 8.2	Process initiated by Member - Clause 8.3	Positive Committee recommendation - Clause 18	Negative Committee recommendation - Clause 19	Positive Provost recommendation - Clause 23.3	Negative Provost recommendation - Clause 23.3
Male	0			s	s	s	s
Female	2			s	s	s	s
Aboriginal	s			s	s	s	s
Visible Minority	s			s	s	s	s
Person with Disability	s			s	s	s	s

**Probationary Appointees considered for Continuing Appointment**

	Process initiated by University Librarian or Dean in final six months of probationary period - <u>Clause 7.1 combined with Clause 7.3</u>	Process initiated by University Librarian or Dean at any time prior to final six months of probationary period - Clause 7.2		Positive Committee recommendation - Clause 18	Negative Committee recommendation - Clause 19	Positive Provost recommendation - Clause 23.3	Negative Provost recommendation - Clause 23.3
Male	3			3	0	3	0
Female	7			7	0	7	0
Aboriginal	0			0	0	0	0
Visible Minority	0			0	0	0	0
Person with Disability	1			1	0	1	0

**Total cases considered for Promotion and Continuing Appointment**

12

The information related to the designated groups - with the exception of gender - was provided by Equity & Human Rights Services. This information was provided, in aggregate form only, from the Employment Equity Database. All information in this database is obtained through the self-identification surveys sent to employees. Therefore, information about membership in a designated group is only available for individuals who completed and returned the surveys. Those who have not completed a survey and who were considered for tenure and/or continuing appointment are counted as not being members of a designated group. For reasons of confidentiality data is suppressed (s) in cases where there were less than 5 individuals considered in a group and/or where deemed necessary by EHRIS.

## **OBTAINING DEPARTMENTAL STATUS FOR THE AUBREY DAN PROGRAM IN MANAGEMENT AND ORGANIZATIONAL STUDIES**

The Administrative and Commercial Studies (ACS) program was introduced in 1981 as a program that would provide students with an undergraduate education in the social sciences but also give them the opportunity to take a number of business-related courses. The majority of the courses in the program were those already being offered by several departments within the Faculty, and elsewhere in the University. The program was initially quite small, and was run through the Social Science Dean's Office as the Office of Special Programs. The few full-time instructors at that time were appointed through the Dean's Office. In 2000, in response to student demand, ACS became a four-year Specialization and began to operate more as a regular department than a program overseen by the Dean's Office. Over the course of the next several years, the program grew rapidly, with the addition of new courses and additional faculty members hired on probationary contracts directly into the program. In 2006, the name of the program was changed to the Aubrey Dan Program in Management and Organizational Studies (MOS) and continued to grow in terms of both faculty and students, reaching its current level of over 2700 program registrants and what will be, as of July 1, 2013, 22.5 full time faculty members.

The concept of a strategic alignment of business education with the social sciences is a unique one which is clearly aimed at the rapidly growing market for business education. The MOS program has grown exponentially since its inception and there is a strong case for its continued desirability among undergraduate students (discussed in more detail below). Its rapid growth and success has reached the point where it is now the largest program in Social Science and one of the largest in the University. The high demand for the program and the resultant rapid growth in the number of courses, and the operational demands of such growth, resulted in the development and approval of a new Strategic Academic Plan in 2009, and the approval of a new curriculum in 2010, implemented in September, 2011 (see below for a brief summary of these plans). In addition, to better reflect the program's renewed strategic emphasis, it has been re-branded as "DAN Management and Organizational Studies" (DAN).

As the market for business-related education continues to grow, it was critical for DAN to position itself in the marketplace as a program that is differentiated from its competition, specifically business schools and Bachelor of Commerce programs. Traditional business schools and Bachelor of Commerce programs will continue to be successful, but the market for high quality business education has grown beyond their capacity. At Western, for example, the Ivey Business School has increased the size of its Honors Business Administration (HBA) Program to approximately 1200 students. At the same time, applications, admission averages, and enrolments have also continuously risen in the DAN Program. For example, the entering high school average for first year DAN students in 2012 was 89%. It is clear that DAN has developed a successful and popular program at Western that complements Ivey, creating an opportunity for Western to position itself among leading research-intensive universities as an innovator and

leader in business education. DAN has differentiated itself from traditional business programs and strengthened its alignment with the social sciences while still offering relevant business education that attracts high quality students and provides value to employers of its graduates.

The DAN Program provides an interdisciplinary approach to the study of management, specifically with respect to the social science foundations of selected management disciplines. The program has adopted an Evidence Based Management (EBM) perspective throughout its curriculum. This perspective, consistent with the research traditions in the social sciences, ensures that the best available management research is included in the analysis and discussion of management issues and problems. The program emphasizes the importance of a broad education in addition to the depth provided in one of the management disciplines in the program. This is accomplished through the interdisciplinary curriculum that incorporates social science perspectives, and many opportunities for elective courses in which students may combine their DAN Program specialization with other academic interests of their choice.

The Strategic Academic Plan approved for DAN in 2009 provided a detailed analysis of the market potential for university-based business education. On the basis of the analysis of published data, application and enrolment trends, and opinion solicited from selected faculty, staff, and business leaders, it was concluded that the market for the DAN Program continues to grow and that DAN is attracting more and better applicants with each succeeding year. This trend is expected to continue as DAN is a very cost-effective program relative to traditional business schools. In addition, the largest proportion of DAN applicants comes from Ontario, where university participation rates are among the highest in Canada. Finally, the value of a broader educational experience (such as interdisciplinary studies, liberal arts and social sciences) has been recognized by a growing number of private and public sector organizations recruiting university graduates, and DAN graduates are well positioned to appeal to these potential employers.

The structure of the DAN Program was originally intended to have clear linkages to social science disciplines. The revised structure and curriculum implemented in September, 2011 significantly strengthened the integration of core business education in five areas of study with a foundation in the social sciences: Accounting, Commercial Aviation Management, Consumer Behavior, Finance for MOS, and Human Resource Management. Within each stream, students may choose from three modules: Honors Specialization, Specialization, or an Honors Double Major (which must be combined with a Major in a discipline outside of the DAN Program). The Honors Double Major module enables students to combine a DAN Major with most other undergraduate programs at Western, an option that supports a broader educational experience and the development of cross-disciplinary perspectives.

The new curriculum of DAN has significant strengths. DAN provides all required academic courses for the three major professional accounting designations (CA, CGA, and CMA). Similarly, all academic courses for the professional designation in human resource

management (CHRP) are available within the program. The ability of DAN to provide courses toward these designations is a significant benefit to students interested in these career options. In addition, each major area of study (stream) specifies electives outside DAN, for the most part in the social sciences, which broaden the education of DAN students and provide cross-disciplinary perspectives. This breadth in perspective is especially important to future business leaders who must understand the historical, cultural, scientific, and political contexts within which their conduct and decisions are made and evaluated by their organizations and society at large.

In addition to the revised curriculum, the Strategic Academic Plan approved for DAN called for rebuilding its faculty complement over time to ensure the plan was implemented successfully. Three new faculty members were hired in 2009-10, one in 2010-11, and another in 2011-12. An additional three faculty members have been hired in 2012-13, which will bring the total number of full time faculty to 22.5. Three members of the current faculty were granted Promotion and Tenure last year, bringing the total number of tenured faculty in DAN to five. As of July 1, 2013, there will be an additional seven tenure-track faculty members in the program. The growth and development of the faculty complement, curriculum, and student enrolment of DAN has necessitated a physical move as well, to obtain much needed additional space. This move to the fourth floor of SSC was completed in July, 2012.

Finally, DAN will soon be involved in providing a Professional Master's Program planned for implementation in September, 2013. This program, in collaboration initially with the Faculty of Science but conceived as potentially campus-wide, will provide DAN faculty with the much desired opportunity to be involved with graduate education. On an individual basis, DAN tenure-track faculty have become increasingly involved in graduate thesis committees, examining committees, and thesis supervision in other departments. However, the Professional Master's Program will bring DAN faculty more direct experience in a graduate program of their own. This experience will be essential for the development of a traditional thesis-based DAN Master's program which we hope to launch in the near future.

In summary, the DAN Program has grown and developed substantially in the last few years. It has a highly successful and popular undergraduate program that is one of the largest undergraduate programs at Western. A new curriculum has been implemented in September of 2011 that strengthened its interdisciplinary roots with the social sciences and provides students with an outstanding student experience. The faculty complement has reached a critical mass, contributing to the research mission of the Faculty of Social Science and Western. The DAN Program will be providing a critical component of the Professional Master's program beginning in 2013. In sum, DAN has become for all intents and purposes a fully functioning member of the Faculty of Social Sciences such that it would be appropriate at this time to provide DAN with departmental status.

We propose that the Program be redefined as the Department of Management and Organizational Studies, while the Aubrey Dan Program in Management Studies remain in its present form within the newly constituted department.

Mitch Rothstein

February, 2013.