

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

**BOARD OF GOVERNORS MEETING**

**1:00 p.m., Thursday, April 21, 2016  
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 January 28, 2016](#)
4. Business Arising from the Minutes
5. Reports of Committees:
  - Property & Finance Committee - [Appendix II](#) (Rick Konrad)
  - By-Laws Committee - [Appendix III](#) (Matthew Wilson)
  - Senior Operations Committee - [Appendix IV](#) Hanny Hassan)
  - Audit Committee - [Appendix V](#) (Jim Knowles)
  - Fund Raising and Donor Relations Committee - [Appendix VI](#) (Laura Gainey)
6. Items Referred by Senate - [Appendix VII](#) (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.***

**SUMMARY OF AGENDA ITEMS – April 21, 2016 - OPEN SESSION**

Adoption of Agenda	ACTION
Report of the President	INFO
Unanimous Consent Agenda – Appendix I	ACTION
Minutes of the Meeting of January 28, 2016 – Open Session only for web	ACTION

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

2016-17 University Operating and Capital Budgets	ACTION
Student Fee-Funded Units, Ancillaries and Academic Supports	ACTION
Student Organization Fee Proposals 2016-17	ACTION
Annual Report and Recommendations of the Student Services Committee	ACTION
Beryl Ivey Chair in One Health – Renaming and Revised Terms of Reference	INFO
Neil McKenzie Chair in Cardiac Care	INFO
Vickie Blair Fellowship in Vascular Surgery – Name Change	INFO
Sheldon W. Weinstein Chair in Diabetes Research – Amendments to Terms of Reference	INFO
Quarterly Financial Report (Operating Funds) – Results to January 31, 2016	INFO
Investment Committee Report	INFO
Investment Committee Membership	INFO
New Scholarships	Consent

**Report of the By-Laws Committee- Appendix III**

Amendment to By-Law No.1 – Paragraph F.1 – Attendance	ACTION
Special Resolution No.3 – Banking – Revisions to Officer Titles	ACTION
Governance and By-Laws Committee – Draft Terms of Reference	INFO
Implementation of the Report of the Governance Review Task Force	INFO

**Report of the Senior Operations Committee – Appendix IV**

Affiliation Agreement with the Museum of Ontario Archaeology	ACTION
Code of Student Conduct Review Committee	ACTION
Appointments to University Discipline Appeals Committee (UDAC)	INFO
Appointment to Audit Committee	INFO

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

Campus Community Police – 2015 Annual Report	INFO
Western Office of the Ombudsperson Annual Report 2014-15	INFO

**Report of the Fundraising & Donor Relations Committee – Appendix VI**

Fundraising Activity Quarterly Report to January 31, 2016	INFO
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**Items Referred by Senate - Appendix VII**

2016-17 University Operating and Capital Budgets	INFO
2016 Entrance Standards for Undergraduate First-Year Admissions	INFO
Five Year Enrolment Projections	INFO
Report on Year One Class and Entering Averages	INFO
Performance Indicators Report	INFO
Report from the Provost's Task Force on University Budget Models	INFO
Report of the Graduate Funding Subcommittee on the Provost's Task Force on Budget Models	INFO
Working Group on Information Security (WGS) 2015 Annual Report	INFO
Report of the Academic Colleague	INFO
Teaching Award Recipients 2015	INFO
Report of the Honorary Degrees Committee	INFO
Board Report on Senate Agenda	INFO

## REPORT OF THE PRESIDENT

To: Board of Governors  
From: Amit Chakma  
Date: April 12, 2016  
Re: President's Report to the Board

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For the April 21, 2016 Board meeting, I'm pleased to provide the following update on important developments and achievements since the last meeting of the Board on January 28, 2016.

### **Provincial government update:**

The *2016 Ontario Budget*, announced February 25, contained three key announcements that will improve access to postsecondary education for students from lower income families, add support for Western researchers in the field of advanced manufacturing, and increase opportunity for economic development in London.

The big news for students is the introduction of the new *Ontario Student Grant*. Starting in 2017-18, the OSG will replace a patchwork of existing student financial aid programs designed to off-set the cost of postsecondary study with a single grant program designed to cover the "average" cost of tuition for students from families with incomes of \$50,000 and lower. Creating the OSG entails a fundamental restructuring of the student financial aid system through the redistribution of funding from existing programs, including the *30% Off Ontario Tuition Grant*, *Ontario Student Opportunity Grant*, *Ontario Access Grants* and other grants offered through the *Ontario Student Assistance Program*. The new OSG will also be funded in part through the elimination of provincial tuition and education tax credits that currently help to reduce the cost of postsecondary study for students from higher-income families. While the OSG's promise of "free tuition" for lower-income students does not translate into any new incremental funding for Ontario's postsecondary sector, it is a positive step toward removing some of the financial barriers that some students face in accessing higher education.

The budget also made clear that operating grants from the *Ministry of Training, Colleges and Universities* will only increase by an average of 1.1 percent per year through 2018, highlighting the fiscal challenges that lie ahead for all postsecondary institutions.

**Advanced Manufacturing Consortium:**

*The 2016 Ontario Budget* also recognized Western's strength in advanced manufacturing with the announcement of \$35 million to establish a research and development partnership between Western, McMaster and Waterloo. The *Advanced Manufacturing Consortium* will receive funding over the next five years to leverage the three universities' existing expertise and infrastructure and to support new collaborations on industrial innovation projects. Colleagues at our three universities are already working together on a smaller scale in fields related to material science, computation and automotive design. For example, Waterloo and McMaster are partners in the *Initiative for Automotive Manufacturing Innovation*, while Western and McMaster are partners on projects at Western's *Fraunhofer Centre for Composites Research*. And all three universities have collaborated on a project focused on development of light-weight automotive components using magnesium.

Given the critical importance of helping Ontario's manufacturing sector respond to global competition and rapidly changing technology, the government's investment in the university consortium is a tremendous vote of confidence in the talent of our researchers and students, and it increases Western's capacity to contribute to local economic development. Being aligned with institutions and industries located in Kitchener-Waterloo, Hamilton and the GTA also provides other important benefits for Western and the London economy. Beyond its funding support for the university consortium, the Province has also expanded the definition of its *Ontario Innovation SuperCorridor* to include London.

Extending from London through K-W and the GTA and on to Ottawa, the *Innovation SuperCorridor* represents a geographic area more densely populated with start-up companies, research institutions and highly educated talent than any other region in the country. In fact, some observers believe this region has the potential to compete with the likes of Silicon Valley as an engine for job creation and economic diversification. As such, the Province has identified the corridor—and London's inclusion within it—as a focal point for future investment focused on connectivity. This is where recent proposals related to high-speed rail and municipal rapid transit fit into the picture.

**Federal government update:**

*The 2016 Federal Budget*, announced March 22, contained good news for the postsecondary sector on several fronts, particularly with regard to infrastructure, support for the research granting councils, student financial assistance, and Indigenous education.

Starting with infrastructure, the budget included a \$2-billion commitment over three years (beginning in 2016–17) for a new *Post-Secondary Institutions Strategic Investment Fund* that will provide up to 50 per cent of the eligible costs of infrastructure projects at post-secondary institutions and affiliated research and commercialization organizations. Funded in collaboration with provinces and territories, this federal initiative will support the improvement and expansion of research and commercialization facilities at universities and

industrial training facilities at college and polytechnic institutions, along with projects that reduce greenhouse gas emissions and improve the environmental sustainability of these types of facilities. Work is underway to implement this initiative as quickly as possible, and Western is already busy assembling our application to the first round of funding in order to meet the May 9 submission deadline. In support of the public announcement of the details related to this important initiative, Western was honoured to host the Minister of Innovation, Science & Economic Development, Navdeep Bains, when he visited campus April 7. Following his announcement, Minister Bains toured our facilities at the Advanced Manufacturing Park.

The budget also included a strong show of support for the federal research councils, providing an additional \$95 million per year (beginning in 2016–17), which is the highest amount of new annual funding for university-level research in more than a decade. This includes:

- \$30 million for Canadian Institutes of Health Research;
- \$30 million for Natural Sciences and Engineering Research Council;
- \$16 million for Social Sciences and Humanities Research Council; and
- \$19 million for **Research Support Fund** to support the indirect costs borne by post-secondary institutions in undertaking federally sponsored research.

On the student financial assistance front, the Canada Student Loans Program is expected to see support increase by 50 per cent, including:

- from \$2,000 to \$3,000 per year for students from low-income families;
- from \$800 to \$1,200 per year for students from middle-income families; and
- from \$1,200 to \$1,800 per year for part-time students.

In addition, the budget proposes to increase the loan repayment threshold to ensure that no student will have to repay their Canada Student Loan until they are earning at least \$25,000 per year following graduation.

And a total investment of \$2.6 billion over five years (beginning in 2016-17) is proposed to support primary and secondary Indigenous education on reserve. While this will not have a direct impact on post-secondary institutions, it is complementary to Western's commitment to improving accessibility and success in higher education for Indigenous peoples. In fact, Western is currently developing its first-ever Indigenous Strategic Plan, a draft of which was circulated to faculty, staff and students on April 10 for comment. The draft plan can be read at [http://www.indigenous.uwo.ca/universitywide/indigenous\\_strategic\\_plan.html](http://www.indigenous.uwo.ca/universitywide/indigenous_strategic_plan.html) and the Indigenous Strategic Initiatives Committee aims to bring a final plan to Senate and the Board of Governors for review and approval in the Fall of 2016.

**London Rapid Transit update:**

During the past several months, Western has been consulting with members of the university community and undertaken a comprehensive study of traffic flow through campus in response to the City of London's rapid transit proposal, which includes proposed routes for light rail train lines to run through campus. Faculty, staff and students have been highly engaged in the consultation process, providing more than 700 written submissions to the administrative working group that is analyzing the issue and preparing a formal response that will be submitted to the Board in June.

**Leadership update:**

At the April meeting of Senate, Leadership Review/Selection Committees were confirmed for the Deans of the Faculties of Law and Arts and Humanities, as well as for the Vice-Provost (International). These committees will begin to undertake their work in May. The Law committee will have a mandate to go immediately to search as the incumbent dean, Iain Scott, has notified Western of his intent to retire from the University upon completion of his term at the of June 2017.

## **ACTIVITIES OF THE PRESIDENT**

(January 21, 2016 – April 12, 2016)

<b>January</b>	21	London	Internal meetings
	22	London	Internal meeting
	22		Senior Operations meeting
	22		Senate
	26		Mayor's State of the City Address
	26		Internal meetings
	26		External meeting
	26		Internal meetings
	26		Media interview
	26		Retirement dinner
	27		Internal meetings
	27		Media interview
	27		Meeting with senior leaders
	28		Breakfast meeting with faculty member
	28		Western Campaign Announcement (United Way)
	28		Board of Governors lunch and Board meeting
	28		Dinner meeting
	29		Media interview
	29		STIC Teleconference
<b>February</b>	30- Feb 6	India	India Mission
	8	London	Internal meetings
	9		Senior Operations Committee meeting
	9		Lunch meeting with Dean
	9		External telephone calls
	9		Meeting with UWOFPA President
	9		Meeting with senior leaders
	10		Leaders' Forum
	10		Internal meetings
	11		Bylaws Committee meeting
	11		Internal meetings
	12		Media interview
	12		Internal meetings
	12		Senate
	22		Honorary Degree telephone calls
	22		Lunch with UWOFPA President
	22		Meeting with faculty member
	22		Meeting with external stakeholder
	23-24	Quebec City	Meeting with external stakeholder
	25	Toronto	2016 Ontario Budget Speech
	26	London	Honorary Degree telephone calls
	26		Video shoot

	29		Internal meetings
	29		SCUP meeting
	29		SOGS Executive meeting
	29		Mustang Mission Kick-off
<b>March</b>	1		Internal meetings
	1		Deans Meeting
	1		RISB Board of Directors meeting
	2		Honorary Degree telephone call
	2 - 3	Toronto	CST Board of Directors meeting
	4	Toronto	External meetings
	7	London	Sunrise Ceremony and breakfast (Indigenous Services)
	7	London	Western Founders Day Event
	7	New York City	Western Founders Day Event
	8	New York City	External Meetings
	8	New York City	Alumni Event
	10	London	Internal meetings
	10		Lynda Shaw Memorial Luncheon and Lecture
	10		Meeting with UWOFPA President
	10		Internal meetings
	11		Internal meeting
	11		Lunch meeting with external stakeholder
	11		Senate
	11		Dinner meeting
	14		Meeting with external stakeholder
	14		Presentation and lunch with visiting government official
	14		Telephone call with external stakeholder
	15		Audit Committee meeting
	15		Property & Finance Committee meeting
	15		Senior Operations Committee meeting
	15		Bylaws Committee meeting
	15		President's Reception for Residence Staff
	16		Honorary Degree telephone calls
	16		Lunch meeting with UWOFPA President
	16		External phone calls
	17		Lunch with USC President
	17		Internal meetings
	18		External stakeholder tour and presentation
	19		Western Student Research Conference
	20		Western Spring Scholarship & Awards Brunch
	21		Internal meetings
	21		Meeting with senior leaders
	22		MPH-CPH Accreditation meeting
	22		Media interview
	22		Lunch meeting with faculty member
	22		Arts & Humanities Research Day

	22		Universities Canada Budget teleconference
	23		Video shoot
	23		Scholar's Electives End of Year Celebration
	28		SCUP teleconference
	30		Breakfast Address – Kate Young, Member of Parliament
<b>March</b>	30		External telephone calls
	30		Faculty Author Reception
	31		Green Awards/Student Wise Event
	31		Lunch and lecture with external stakeholder
	31		Operations Agenda meeting
	31		Reception for opening of Cohen Commons/Exploration Lab
	31		Claude and Elain Pensa Lecture in Human Rights
<b>April</b>	1		Telephone call with external stakeholder
	1		Lunch meeting with Dean
	1		Meeting with student
	1		Meeting with external stakeholder
	1		Dinner meeting
	4		Internal meetings
	4		Telephone calls with external stakeholders
	4		Lunch meeting with UWOFA President
	5		Internal meetings
	5		VP Annual Review
	5		Round table meeting with external stakeholder
	5		Western Athletic Awards Gala
	6		Campus Council meeting
	6	Toronto	External stakeholder meetings
	6	Toronto	COU Council Meeting
	7	London	Announcement by Federal Government
	8	London	Meeting with external stakeholder
	8		Western Community Engaged Learning Partner Appreciation Lunch
	8		Senate
	8		Canadian Bone and Joint Conference Banquet and Awards Presentation
	11		Senior Leadership Retreat
	12		Meeting with Board Chair and Vice-Chair
	12		Property and Finance Committee meeting
	12		Senior Operations Committee meeting
	12		Bylaws Committee meeting
	12		VP Annual Review
	12		Internal meetings

**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 January 28, 2016	ACTION
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**Report of the Property & Finance Committee – Appendix II**

2.	Beryl Ivey Chair in One Health – Renaming and Revised Terms of Reference	INFORMATION
3.	Neil McKenzie Chair in Cardiac Care	INFORMATION
4.	Vickie Blair Fellowship in Vascular Surgery – Name Change	INFORMATION
5.	Sheldon H. Weinstein Chair in Diabetes Research – Amendments to Terms of Reference	INFORMATION
6.	Quarterly Financial Report (Operating Budget)	INFORMATION
7.	Investment Committee Report	INFORMATION
8.	Investment Committee Membership	INFORMATION
9.	New Scholarships and Awards	INFORMATION

**By-Laws Committee – Appendix III**

10.	Special Resolution No. 3 – Banking – Revisions to Officer Titles	ACTION
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**Senior Operations Committee – Appendix IV**

11.	Code of Student Conduct Review Committee	ACTION
12.	Appointments to University Discipline Appeals Committee (UDAC)	INFORMATION
13.	Appointment to Audit Committee	INFORMATION

**Audit Committee – Appendix V**

14.	Campus Community Police Service – 2015 Annual Report	INFORMATION
15.	Western Office of the Ombudsperson Annual Report 2014 -15	INFORMATION

**Fundraising and Donor Relations Committee – Appendix VI**

16.	Fundraising Activity Quarterly Report to January 31, 2016	INFORMATION
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**Items Referred by Senate – Appendix VII**

17.	2016-17 University Operating and Capital Budgets	INFORMATION
18.	2016 Entrance Standards for Undergraduate First-Year Admissions	INFORMATION
19.	Five Year Enrolment Projections	INFORMATION
20.	Report on Year One Class and Entering Averages	INFORMATION
21.	Report from the Provost's Task Force on University Budget Models	INFORMATION
22.	Report of the Graduate Funding Subcommittee on the Provost's Task Force on Budget Models	INFORMATION
23.	Working Group on Information Security (WGIS) 2015 Annual Report	INFORMATION
24.	Report of the Academic Colleague	INFORMATION
25.	Teaching Award Recipient 2015	INFORMATION
26.	Report of the Honorary Degrees Committee	INFORMATION
27.	Board Report on Senate Agenda	INFORMATION

### The Unanimous Consent Agenda

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

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

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

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

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

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

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

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

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

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

**January 28, 2016**

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

PRESENT: Mr. H. Hassan, Chair  
Ms. I. Birrell, Secretary

Mr. J. Adams  
Dr. S. Armstrong  
Dr. C. Beynon  
Ms. W. Boye  
Dr. J. Capone  
Dr. A. Chakma  
Mr. J. Cowin  
Ms. S. Chrominska ☞  
Ms. K. Cole  
Dr. J. Deakin  
Ms. L. Gainey

Mr. K. Gibbons  
Dr. R. Giffin  
Mr. J. Green  
Mr. P. Jenkins ☞  
Mr. J. Knowles  
Mr. R. Konrad ☞  
Ms. G. Kulczycki  
Mr. T. Sutherland  
Dr. B. Timney  
Dr. J. Toswell  
Mr. M. Wilson

By Invitation: R. Chelladurai, H. Connell, S. Farnell, L. Logan, J. O'Brien, A. Weedon

**BG.16-01**      **Remarks From The Chair**

Mr. H. Hassan, as incoming Chair, gave a brief statement thanking the Board members for their support and confidence in allowing him to carry out the duties of Chair of Western's Board of Governors.

**BG.16-02**      **Teleconferencing for Board Meetings**

The Chair reported that early last year the Board had a discussion about various procedural matters, including whether and when members might be able to attend a meeting of the Board by teleconference. There was general support for allowing this for up to two meetings per year and it was proposed that an amendment to the Board's by-law be brought forward for consideration. That was put on hold in the spring as a full scale governance review was required. Several Board members are out of the country for this meeting and, based on the earlier consensus view, they have been allowed to participate by phone. He asked that the By-Laws Committee deal with this issue as soon as possible and bring forward a resolution that can be implemented effective the April meeting of the Board.

**BG.16-03**      **REPORT OF THE PRESIDENT**

The President's report distributed with the agenda, consisted of the following topics: federal government update, provincial government update, update on the Syrian refugee crisis and leadership update. He noted that the Dean of the Faculty of Science, Charmaine Dean, and the Dean of the Don Wright Faculty of Music, Betty Anne Younker, were both renewed for second five-year terms.

The President announced that Western had raised \$717,000 in its United Way Campaign and is the largest contributor in the region.

He reported that Western has been invited to submit a full proposal in the second round of the Canada First Research Excellence Fund competition and will submit a detailed proposal by the end of March.

As part of the President's report, a brief video with respect to the Truth & Reconciliation Commission was shown and an update was provided on work that is underway at Western with respect to Indigenous peoples' issues.

BG.16-04 **UNANIMOUS CONSENT AGENDA** [Appendix I]

It was moved by M. Wilson, seconded by L. Gainey,

That the 17 items listed in Appendix 1, Unanimous Consent Agenda, be approved or received for information by the Board of Governors by unanimous consent.

CARRIED

BG.16-05 **Minutes of the Previous Meeting**

The open session minutes of the meeting of November 26, 2015, were approved as circulated.

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

BG.16-06 **Increase in Operating Reserve**

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

That a new Operating Reserve Policy be approved as follows:

1. Effective with the 2016-17 Budget, the University's Operating Budget Reserve be set at a minimum of \$7.5 million as the target for the final year of this four-year planning period (i.e., target for April 30, 2019); and
2. The Operating Budget Reserve level be reviewed and re-set at the beginning of each subsequent multi-year planning cycle as the target for the final year of that planning period.

R. Chelladurai reported that since the mid-1990s the Operating Reserve has been set at \$2.5 million – one percent of the Operating Revenues. In 2009 the Operating Reserve Policy was reviewed and reaffirmed. In each of the last two budget approval discussions at the Property & Finance Committee meetings the need to review the level of the Operating Reserve was raised by members of the Committee. The 2015-16 Operating Budget projects a revenue level of over \$690 million, and this figure is forecast to surpass \$750 million by the end of the four-year planning period. If the one percent rough-justice rule is applied, the Operating Reserve would reach \$7.5 million by the end of this four-year cycle, however, the actual amount would fluctuate as a function of the operating revenue and there would never be a clearly-defined target figure that could be used for planning purposes.

The purpose of the reserve is two-fold: to cushion the impact on the institution of unforeseen downturns in revenue or increases in expenditures and to allow the University to develop multi-year plans, without being restricted by a requirement that the annual budget must be balanced.

The Operating Reserve is the Board's tool to ensure prudent planning for and management of the Operating Budget by the administration.

In reply to questions, R. Chelladurai noted that operating reserve policies in the university sector vary, but the 1 percent range is quite common. With respect to providing a safety net against government cuts he explained that a cut of 2 percent in government grants would be \$6 million. J. Deakin said the downside of a too large number is that it might be seen to attenuate operating flexibility. Reviewing the Operating Budget Reserve level on a four-year basis allows the administration the opportunity to assess the financial situation based on changes in government funding or tuition revenue.

The question was called and CARRIED.

BG.16-07 **Revisions to MAPP 2.10 – Scholarships, Awards and Prizes – Definitions and Approval Process**

It was moved M. Wilson, seconded by L. Gainey,

That amendments to MAPP 2.10, Scholarships, Awards and Prizes – Definitions and Approval Process Policy (outlined in Appendix II, Annex 1), be approved.

CARRIED (By Unanimous Consent)

BG.16-08 **Update on Rapid Transit**

P. Jenkins provided an update on various discussions that had taken place with the city thus far. Western has gone on record as being in support of a rapid transit system servicing the campus but more investigative work is required before being able to support any particular routing. The President provided an overview of the meeting with the Mayor and City Manager noting that the Mayor wants the community to speak with a single voice as he pursues funding from the provincial and federal governments. The President confirmed that the project is important now and for the future development of the campus. The Campus Master Plan calls for infilling space that will have an impact on parking. In on-campus consultation there is an emerging theme: to the campus, not through the campus. He said the Mayor understands the challenges faced in finding an optimal route solution through the campus.

G. Kulczycki provided an overview of two possible routes through the campus, both of which would require University Drive and the bridge to be widened to five lanes. The university is engaging in wide ranging consultations with respect to impacts of the two potential routes. A traffic study is also underway.

BG.16-09 **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:

- Investment Committee Report
- Quarterly Financial Report (Operating Budget)
- Annual Report on Licensees Doing Business with the Western Bookstore
- Revenues, Expenditures and Tuition: By Faculty
- Ancillary Financial Report
- New Scholarships and Awards

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

BG.16-10

**Governance Review Task Force Recommendations - Implementation Plan**

The Board was informed that the By-Laws Committee and the Governance Review Task Force met in December to discuss the implementation plan for the recommendations of the Task Force. Given that the membership of the By-Laws Committee would be reconstituted at the January 2016 Board meeting the deliberations were in the form of advice. Details are contained in Appendix III.

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

BG.16-11

**The University of Western Ontario Act – Proposal to Remove Canadian Citizenship Requirement**

It was moved by J. Toswell, seconded by J. Knowles,

That the Board of Governors endorse the proposal from the Ministry of Training, Colleges and Universities to remove the requirement in the UWO Act that members of the Board of Governors be Canadian citizens.

The Board was advised that the Ministry of Training, Colleges and Universities (MTCU) had approached the University to determine whether it would endorse a proposal to remove from The University of Western Ontario Act the requirement that members of the Board be Canadian citizens. Western is one of only four universities in Ontario to still have this requirement. The other three are being asked to consider the same request. The concern is that the provision may be discriminatory. The window for bringing forward this specific amendment is short – MTCU needs to move it through internal approvals over the month of January to early/mid February at the latest.

The Chair stated that the request would normally have been considered and brought forward from the By-Laws Committee, however, given the timeline from MTCU, it was decided by the Senior Operations Committee (SROPS) that the change be recommended with the understanding that this is the only element that will be considered for change.

It was moved by J. Adams, seconded by M. Wilson,

That the recommendation to remove the requirement in the UWO Act that members of the Board of Governors be Canadian citizens be referred to the By-Laws Committee for review and report to the Board in April.

Speaking in support of his motion to defer, J. Adams said that this was not timely given the governance issues Western has faced in the last year and the review work that is underway. He did not understand the urgency; should the By-Laws Committee and the Board approve the recommendation in April, MTCU can incorporate the amendment to the University's Act at another time.

Dr. Chakma reported that the request from MTCU relates to an incident at the University of Toronto in 2013-14 where an international student was denied the opportunity to run for a seat on its Governing Council because of this particular clause in their Act. The risk of not taking advantage of the option to remove the clause in the UWO Act now could be viewed as a missed opportunity and the potential of reputational damage outweighs the decision to do this outside of the normal processes. He noted that the language of the recommendation makes it clear that the

proposal has come from the Ministry, not from Western and that no additional changes would be contemplated.

B. Timney suggested that a communications plan be developed to explain the unique opportunity to make a change to the UWO Act.

The question on the motion to refer was called and DEFEATED.

The main motion was called and CARRIED.

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

BG.16-12 **Information Item Reported by the Audit Committee**

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

- Harassment and Discrimination Matters Annual Report

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

BG.16-13 **Fund Raising and Donor Relations Committee Terms of Reference Amendments**

It was moved by L. Gainey, seconded by B. Timney,

That revisions to the terms of reference of the Fund Raising and Donor Relations Committee, described in Appendix VI, Annex 1, be approved.

L. Gainey, Chair of the Fund Raising and Donor Relations Committee (FRDRC) presented slides detailing the “Strategic Mandates of FRDRC”, contained in [Appendix 1](#) to these minutes.

The question was called and CARRIED.

BG.16-14 **Information Items Reported by the Fund Raising and Donor Relations Committee**

The report of the Fund Raising and Donor Relations Committee, detailed in Appendix VI, contained the following items that were received for information by unanimous consent:

- Western Fund Allocation
- Fundraising Activity Quarterly Report to October 31, 2015

**ITEMS REFERRED BY SENATE** [Appendix VII]

BG.16-15 **Change in Reporting Structure for Western Sports and Recreation**

It was moved by M. Wilson, seconded by L. Gainey,

That the reporting structure for Western Sports and Recreation be changed from the Dean of the Faculty of Health Sciences to the Associate Vice-President (Student Experience), as recommended by Senate.

CARRIED (By Unanimous Consent)

BG.16-16 **Department Of Visual Arts – Proposed Name Change To The Department Of Art History And Studio Art**

It was moved by M. Wilson, seconded by L. Gainey,

That effective July 1, 2016, the name of the Department of Visual Arts be changed to the Department of Art History and Studio Art.

CARRIED (By Unanimous Consent)

BG.16-17 **Articulation Agreement for Admission of Graduates of Lambton College's Two-Year (Accelerated) Liberal Studies Diploma to Huron University College's Faculty of Arts and Social Science**

It was moved by M. Wilson, seconded by L. Gainey,

That effective February 1, 2016, graduates from Lambton College's Two-Year (Accelerated) Liberal Studies Diploma be admitted to Huron University College's Faculty of Arts and Social Science with block transfer credits, as shown in the Articulation Agreement set out as Appendix VII, Annex 2, as recommended by Senate.

CARRIED (By Unanimous Consent)

BG.16-18 **Vice-President (Research) 2015 Annual Report**

The Board received for information the Vice-President (Research) 2015 Annual Report contained in Appendix VII, Annex 4. J. Capone provided an overview of his annual report by highlighting several slides contained in Appendix VII, Annex 4.

BG.16-19 **Report on Faculty Recruitment and Retention**

The Board received for information the Report on Faculty Recruitment and Retention detailed in Appendix VII, Annex 5. A. Weedon highlighted several slides regarding the part-time faculty issue noting that the use of part-time faculty on university campuses has been a matter of debate across North America. The narrative has been that the number of part-time faculty has been on the rise, that this cohort is in a precarious employment position because of the attempt to put together several jobs to make a full-time occupation and income and because of the uncertainty as to whether contracts would be renewed from one year to the next, and that increasing numbers of students and courses are being taught by part-time faculty rather than by tenured professors. Dr. Weedon remarked that the data provided in his presentation showed that, at Western, this narrative does not hold true and he noted the following:

- The number of part-time faculty has remained flat over time.
- There is also no significant change in either the number of courses or number of students being taught by part-time faculty.
- Most part-time faculty at Western hold the rank of Lecturer or Assistant Professor, with the distinction being that the latter must have a doctorate.
- 70 percent of part-time instructors at Western would not be eligible to make the transition to a probationary/tenured position because of the lack of a doctoral degree.
- A significant proportion of part-time instructors at Western are either graduate students or, in the professional faculties, professionals in full-time occupations who teach a course at Western.
- Most part-time faculty at Western do not teach for more than a year or two and are not teaching more than one course. The small proportion who have been teaching for many years and who also carry heavier teaching loads are concentrated in Social Sciences and Arts and Humanities.

- Over the past 15 years the number of courses and the number of students taught by part-time faculty and by probationary and tenured faculty has not changed significantly. Growth in the number of probationary and tenured Faculty has coincided with the growth in the doctoral student cohort and represents an increase in supervisory and research capacity. Growth in undergraduate student enrolment has been accommodated by an increase in the number of limited-term full-time faculty. The growth in the number of limited-term faculty is partly attributable to agreements with UWOFA that see long-term part-time positions converted to full-time Limited-Term appointments.

Asked why women take longer to achieve tenure and full professorship, A. Weedon suggested that a number of issues could be considered such as maternity leaves. Data is not collected for maternity leaves although both men and women take parental leaves. Women take longer to get tenure from first hire but not from time of degree to first hire. Women are more likely to be in disciplines where they are hired straight from PhD rather than after completing a postdoc appointment.

BG.16-20 **Interim Report of the Senate ad hoc Committee on Renewal**

The Interim Report of the Senate *ad hoc* Committee on Renewal, contained in Appendix VII, Annex 8, was received for information.

BG.16-21 **Information Items Reported By Senate**

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

- Revisions to MAPP 2.10 – Scholarships, Awards and Prizes – Definitions and Approval Process
- Western Libraries Annual Report
- Report of the Academic Colleague
- Announcements

*The meeting adjourned to the confidential session.*

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H. Hassan  
Chair

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I. Birrell  
Secretary

## Strategic Mandates of FRDRC

Presented to the Board  
January 28, 2016



### Strategic Mandate 1: Double Alumni Engagement

- Grow alumni engagement with priority on meaningful engagement
  - Launched new “Coffee with” Program
    - [10K Coffees Facebook advertisement](#)
  - Alumni Association Board is developing new strategic plan
  - Alumni survey planned



### Strategic Mandate 1: Double Alumni Engagement

- Target – Grow from 50,000 alumni engaged annually to 100,000 by 2018
  - 67,000 alumni in 14/15
  - 97,000 alumni as at November 30/15
- FRDRC to monitor progress quarterly



### Strategic Mandate 2: Surpass \$750 million Campaign Goal

- \$750 million Campaign Target
  - \$617 million at Dec 31/15 (82%)
- Grow endowments to \$500 million by 2018
  - Achieved target; Identifying possible stretch target for 2018
- Add 100 research chairs, 50 endowed
  - 36 research chairs (36%), 19 endowed (38%)
- FRDRC to identify 2-3 other key targets and monitor progress quarterly



**Strategic Mandate 3:**

**Build sustainable development operation  
of \$100 million annually**

- Review organization structure and systems to support future growth
- Implement new database system
  - System Selection Committee is formed
  - Timing of Selection: Summer 2016
- Develop transition plan for end of campaign to sustain/grow operations

**REPORT OF THE PROPERTY AND FINANCE COMMITTEE**

Contents	Consent Agenda
<p>Budgets and Fees</p> <ul style="list-style-type: none"> <li>• 2016-17 University Operating and Capital Budgets and Tuition Fees</li> <li>• Student Fee-Funded Units and Academic Supports</li> <li>• Student Organization Fees 2016</li> </ul>	No
<p>Annual Report and Recommendations of the Student Services Committee</p>	No
<p>Beryl Ivey Chair in One Health – Renaming and Revised Terms of Reference</p>	Yes
<p>Neil McKenzie Chair in Cardiac Care</p>	Yes
<p>Vickie Blair Fellowship in Vascular Surgery – Name Change</p>	Yes
<p>Sheldon H. Weinstein Chair in Diabetes Research – Amendments to Terms of Reference</p>	Yes
<p>Quarterly Financial Report (Operating Budgets)</p>	Yes
<p>Investment Committee Report</p>	Yes
<p>Investment Committee Membership</p>	Yes
<p>New Scholarships and Awards</p>	Yes

**FOR APPROVAL**

1. **2016-17 University Operating and Capital Budgets**

**Recommended:** That the Board of Governors approve the 2016-17 University Operating and Capital Budgets and the proposed Program Specific Fees and Other Supplemental Fees for 2016-17.

**Background:**

The 2016-17 Operating and Capital Budgets are attached ([Annex 1](#)). Supplemental Fees and Other Charges, shown on Table 3 of the Program Specific Fees and Other Supplemental Fees report ([Annex 2](#)) are approved by the President throughout the year, as authorized under the Student Fee Policy (Policy 2.4). These are reported for information.

2. **Student Fee-Funded Units, Ancillaries and Academic Supports**

**Recommended:** That the Board of Governors approve the 2016-17 budgets for Student Fee Funded Units, Ancillaries, and Academic Units summarized in the report entitled “Student Fee Funded Units, Ancillaries, Academic Support Units, and Associated Companies”.

**Background:**

See [Annex 3](#).

3. **Student Organization Fee Proposals for 2016-17**

The tables referenced in the motion below are in the report entitled “Student Fee Funded Units, Ancillaries, Academic Support Units, and Associated Companies” ([Annex 3](#)).

**Recommended:** That the organization fees for the University Students’ Council for 2016-17 shown in Table 2 (full-time undergraduates) and Table 3 (part-time undergraduates) be approved, as requested by the USC.

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

That the organization fees for the Honors Business Administration Association for 2016-17 shown in Table 2, note (b) be approved, as requested by the HBAA.

That the organization fees for the Master of Business Administration Association for 2016-17 shown in Table 2, note (c) be approved, as requested by the MBAA.

4. **Annual Report and Recommendations of the Student Services Committee**

**Recommended:** That the ancillary fees collected by the University be those detailed in [Annex 4](#), as recommended by the Student Services Committee.

**FOR INFORMATION**

5. **Beryl Ivey Chair in One Health – Renaming and Revised Terms of Reference**

See [Annex 5](#).

6. **Neil McKenzie Chair in Cardiac Care**

See [Annex 6](#).

7. **Vickie Blair Fellowship in Vascular Surgery – Name Change**

At its meeting of March 15, 2016 the Property and Finance Committee approved that the existing Vicky Blair Fellowship in Vascular Surgery established December 4, 2000 at the Schulich School of Medicine & Dentistry be renamed Bill & Vicky Blair Foundation Fellowship in Vascular Surgery.

This Fellowship was originally established by William H. Blair in 2000 through an expendable donation of \$105,000.

8. **Sheldon H. Weinstein Chair in Diabetes Research – Amendments to Terms of Reference**

See [Annex 7](#).

9. **Quarterly Financial Report (Operating Budgets)**

See [Annex 8](#).

10. **Investment Committee Report**

See [Annex 9](#).

11. **Investment Committee Membership**

See [Annex 10](#).

12. **New Scholarships and Awards**

See [Annex 11](#).



## Student Services Committee Report

2015/2016

Sophie Helpard, USC President  
Report of the Chair  
Wednesday March 24, 2016

### Introduction:

The Student Services Committee (SSC) and the Ancillary Fee Working Group, a sub-committee of the SSC, meet throughout the academic year to discuss students' ancillary fee priorities. The working group did the lion's share of the work for this year's SSC Fee process, and even implemented a new process to receive, review and finally approve SSC Fees. Included below is the committee's process, and our recommendations for the upcoming academic year's fees.

On behalf of the Student Services Committee I would like to commend all of the ancillary units for the work they do on behalf of students; I'd also like to thank Rick Campbell, Gitta Kulczycki, Ruban Chelladurai, and Jana Luker for all of the support they provided the committee as it worked to develop its recommendations.

### Fee Request Process:

As mentioned above, the Ancillary Fee Working Group developed a new process to examine SSC fee funded units and potential fee increases. This process is outlined below in some detail, further questions can be directed to the chair.

In an effort to clarify the priorities of students, the Ancillary Fee Working Group outlined three areas of focus for this year's SSC fee funded units and these focuses are: student development, experiential learning, and student mental health. The SSC fee funded units were then asked to submit written proposals outlining the core function of the unit, along with a SWOT, and requests for fee increases. The Ancillary Fee Working Group then reviewed the written submissions, and created a short list of units who were asked to present to the committee, and answer questions regarding their submissions. The final part of the new process was the selection of units for fee increases tied to specific projects; these results are listed below in greater detail.

### Recommendation:

#### **The committee unanimously recommends approval of the 2016-17 student activity fee schedule.**

After lengthy discussions, the committee recognized the need for all units to receive an inflationary increase in order to maintain their levels of service. The recommended fee represents an inflationary increase of 2.0% for all SSC fee funded units. As well, an \$8.32 increase is recommended for new services in Student Success Centre, Student Development Centre, Indigenous Services, and Student Health Services. These increases are outlined in greater depth and with specific service improvements below.

<sup>1</sup>Working Group Voting Members: USC President -- Sophie Helpard, USC VP Interim -- Alex Benac, SOGS President -- Tamara Hinan. Resource Members: Associate Vice President, Student Experience -- Jana Luker, Director of Ancillary Budgets and Business Planning -- Rick Campbell

**Conclusion:**

Students take their role in recommending ancillary fee levels to the Board of Governors very seriously and we appreciate the effective and respectful working relationship we've developed with the University administration and the Directors of Western's student funded ancillary units. That said, with the newly appointed AVP Student Experience as the primary liaison around this committee, and elsewhere, we anticipate some changes in the way this committee will operate. Our hope is that this committee can be used as a strategic body, to help coordinate service augmentations on the basis of student needs. It has also been indicated that the terms of reference for this committee should be reviewed in order to ensure that the appropriate university leaders are present for deliberations.

**Western University**  
**Fiscal 2016/17**

**Introduction**

This report includes a schedule of the 2016/17 activity fee adjustments approved by the Student Services Committee (SSC) on November 10, 2015, 2016/17 fee funded ancillary budget documents for each unit, and the associated unit performance data requested by the SSC.

In November 2015, the SSC approved a 2016/17 base fee increase of 2% for all fee-funded ancillary units to help offset inflation. The SSC also approved the following unit specific fee increases to fund new initiatives or program expansion:

Student Success Centre: \$2.66

To create a Global Experiential Learning Coordinator position that will Develop expertise in the area of international community engagement learning by connecting with practitioners/scholars across North America, amongst many other goals.

Student Development Centre: \$2.56

To fund a full-time permanent psychologist to lead a new program for Walk-in Single Session Therapy in order to ensure that we better meet the needs of graduate and undergraduate students in as timely a manner as possible.

Indigenous Services: \$0.74

To provide an Elders-in-Residence program for Indigenous students seeking guidance, counseling, and teachings from cultural and societal leaders with long life experiences connected to Indigenous language, histories, traditional stories, knowledge of plants and medicines, and healing practices.

Student Health Services: \$2.36

Continued funding for a social worker on staff to provide increased counseling hours for crisis intake and the reduction of wait times.

*Western University*  
**SSC Approved Fiscal 2016-17 Full-Time Student Activity Fee Rates**

	2-Term Full-Time Undergraduate Students						3-Term Full-Time Graduate/MBA Students					
	Fiscal 2015/16 Rates \$	Inflation Pool Increase		New Initiatives Fee Increase \$	Total Fee Increase \$	fiscal 2016/17 Rates \$	fiscal 2015/16 Rates \$	Increase		New Initiatives Fee Increases \$	Total Fee Increase \$	fiscal 2016/17 Rates \$
		\$	%	\$	\$			\$	%	\$	\$	
Campus Recreation	97.31	1.95	2.0%		1.95	99.26	123.90	2.48	2.0%		2.48	126.38
financial Aid	37.15	0.74	2.0%		0.74	37.89	37.15	0.74	2.0%		0.74	37.89
Indigenous Services	7.96	0.16	2.0%	0.74	0.90	8.86	7.96	0.16	2.0%	0.74	0.90	8.86
Intercollegiate Athletics	85.89	1.72	2.0%		1.72	87.61	85.89	1.72	2.0%		1.72	87.61
International Students Services	13.62	0.27	2.0%		0.27	13.89	13.62	0.27	2.0%		0.27	13.89
Off Campus Housing & Housing Mediation	8.65	0.17	2.0%		0.17	8.82	8.65	0.17	2.0%		0.17	8.82
Services for Students With Disabilities	12.86	0.26	2.0%		0.26	13.12	12.86	0.26	2.0%		0.26	13.12
Student Development Centre	71.94	1.44	2.0%	ASO	4.00	75.94	71.94	1.44	2.0%	ASO	4.00	75.94
Student Success Centre	44.27	0.89	2.0%	2.66	3.55	47.82	27.76	0.56	2.0%	2.66	3.22	30.98
Student Health Services	46.48	0.93	2.0%	2.36	3.29	49.77	46.48	0.93	2.0%	2.36	3.29	49.77
Western Foot Patrol	4.57	0.09	2.0%		0.09	4.66	4.57	0.09	2.0%		0.09	4.66
Thompson Recreation & Athletic Centre	18.82	0.38	2.0%		0.38	19.20	18.82	0.38	2.0%		0.38	19.20
<b>Total UWO Student Activity Fees</b>	<b>449.52</b>	<b>9.00</b>	<b>2.0%</b>	<b>8.32</b>	<b>17.32</b>	<b>466.84</b>	<b>459.60</b>	<b>9.20</b>	<b>2.0%</b>	<b>8.32</b>	<b>17.52</b>	<b>477.12</b>

## **THE BERYL IVEY CHAIR IN ONE HEALTH – RENAMING**

### **FOR INFORMATION**

At its meeting of March 15, 2016 the Property and Finance Committee approved that the name of the Beryl Ivey Chair in Ecosystem Health be changed to the Beryl Ivey Chair in One Health and that the terms of the Chair be updated as follows.

**Donor and Funding:** The Chair was originally established in 2001 through a donation from Mr. Richard M. Ivey and later supplemented through a bequest from Mrs. Beryl Ivey. As of December 31, 2015, the endowment for the Chair held \$2,728,821.88.

**Effective Date:** January 1, 2016

**Purpose:** The primary role of the Chair will be to champion all aspects of One Health at Western. The Chair will work to integrate the concept of One Health fully into the educational curriculum and as a guiding principle for all training levels including practice and continuing education. The Chair is expected to promote excellence in One Health research, be a leader in education and promote community partnerships.

The income from the endowment fund will be used to support the academic program of the holder of the Chair. Funds available may be directed towards salary and benefits or direct research support, or some mixture thereof.

The administration of the spending of resources will be the responsibility of the Dean of Schulich Medicine & Dentistry in collaboration with Chair of the Department to which the Beryl Ivey Chair in One Health is appointed.

**Criteria:** An appointment to the Chair will be conducted in accordance with the selection process outlined below and the University's policies and procedures on advertising and appointments. The holder of the Chair will be a senior scientist, preferably with a Doctor of Medicine, who is a recognized leader in the field of One Health. The Chair will be appointed at the level of Associate Professor or Professor in the most appropriate department within the Schulich School of Medicine & Dentistry, depending upon qualifications. Clinical appointment(s) to the London Hospitals will be negotiated as required.

The Chair will be selected by an Advisory Committee led by the Dean of Schulich Medicine & Dentistry or the Dean's designate and two other members of the Faculty to be determined by the Dean or designate. If an external candidate is selected by the Advisory Committee, the Advisory Committee will forward the recommendation for initial appointment to the Appointments Committee of the relevant Department of Schulich Medicine & Dentistry for review under the University's policies and procedures on appointments.

Renewal of appointments to the Chair will be conducted in accordance with University policies and procedures and guidelines established by Schulich Medicine & Dentistry for reviewing endowed chairs.

**Reporting:** The University, will continue to provide a written report on the progress and advancement of the Chair's work to the Ivey family on an annual basis. The name of the Chair will be mentioned in all publications or public activities relating to the Chair's work, and when appropriate, the One Health program.

**Background:**

As a result of changes over time to the way Ecosystem Health is being delivered at Western University and other universities, the Schulich School of Medicine & Dentistry is seeking to change the name and the terms of The Beryl Ivey Chair in Ecosystem Health.

Since the Chair was established, Ecosystem Health has evolved and is now being referred to as One Health. This is a change that has occurred here at Western and beyond. One Health is an overarching term that refers to the concept of multidisciplinary collaborative approaches to solving today's local, national and global and environmental health challenges. This perspective recognizes that the health of people, animals and ecosystems are inextricably linked as "one."

Since Schulich Medicine & Dentistry is going to be searching for a new Chair, it is believed a change of name will more accurately reflect the research focus of the Chair and will appeal to a broader range of candidates.

Additionally, the original terms of reference stipulated that a "senior scientist" who is a "recognized leader in the field" be appointed to the Chair at the level of "Professor." Schulich Medicine & Dentistry would like to expand the terms so that a mid-level scientist/researcher may be hired at the Associate Professor level. This will allow them to grow the department and expand the program. This would not preclude someone from being hired at a Professor level.

The Chair has been funded by Mr. Richard M. Ivey and the late Mrs. Beryl Ivey.

## **NEIL MCKENZIE CHAIR IN CARDIAC CARE - ESTABLISHMENT**

### **FOR INFORMATION**

At its meeting of March 15, 2016 the Property and Finance Committee approved that the Neil McKenzie Chair in Cardiac Care be established with academic appointment in the Division of Cardiology in the Schulich School of Medicine & Dentistry.

**Donor and Funding:** Members of the Division of Cardiology have donated \$1,500,000 to support the Chair together with a \$400,000 donation from Dr. Neil McKenzie. These funds have been endowed at the University to support the Chair and the initial donation has been matched by \$1.5 million from the University, to create an endowment fund in excess of \$3 million to support the Neil McKenzie Chair in Cardiac Care.

Dr. Michael Strong, Dean of the Schulich School of Medicine & Dentistry supports the naming and establishment of this Chair.

**Effective Date:** July 1, 2016

**Purpose:** The creation of this Chair will position Western's Schulich School of Medicine & Dentistry at the forefront of cardiac education and research, ultimately improving outcomes for patients requiring cardiac diagnoses and treatment. The Schulich School of Medicine & Dentistry at the University is internationally known for its formidable strengths in cardiovascular-related research. This endowed gift will continue to advance this success and help articulate a vision, results and further discoveries that will assist surgeons and cardiologists with cardiovascular based interventions.

The income from the endowment fund will be used to support the academic program of the holder of the Chair. Funds available may be directed towards salary and benefits or direct research support, or some mixture thereof. The Chair must hold a primary appointment within the Division of Cardiology.

The administration of the spending of resources will be the responsibility of the Dean of the Schulich School of Medicine & Dentistry in collaboration with Chair of the Department of Medicine and the Chair of the Division of Cardiology together.

**Criteria:** The holder of the Chair will be a cardiologist/clinician scientist who applies expert strategies toward the understanding and treatment of important clinical problems within Cardiology. The Chair will hold a primary appointment within the Division of Cardiology, and be committed to academic activity and program development within cardiology research.

Appointments to the Neil McKenzie Chair in Cardiac Care will be conducted in accordance with University policies and procedures on Academic appointments and will be for a five-year term, normally renewable once upon the recommendation of a review panel, and at the discretion of the Dean.

Renewal of appointments to the Chair in Cardiac Care will be conducted in accordance with University policies and procedures and guidelines established by the Schulich School of Medicine & Dentistry for reviewing endowed chairs, with terms of reference for review, and options if progress is judged to be inadequate. Expectations include: peer review scholarship, leveraging for external grant support, annual progress reports, and city wide program development in research, education, and clinical deliveries, with predefined metrics in each area. A focus on the cardiology sub-specialty training program, and an independent research program will also be expected.

**Reporting:** The University agrees to report annually to each individual donor who has committed \$10,000 or more to the Chair regarding the financial status of the endowment.

**Background:**

The Chair has been funded by individual members of the Division of Cardiology and Dr. Neil McKenzie.

Dr. McKenzie as Chair of the Division of Cardiovascular and Thoracic Surgery at Western from 1988 to 1997. University Hospital as the first in Canada to use cyclosporine and Dr. McKenzie established an orthotopic thoracic organ transplant program and performed the first heart transplant there in 1981.

In 2015, he received the Dean's Lifetime Achievement Award. He remains active in the field of adult heart surgery and thoracic organ transplantation at Western.

### **Sheldon H. Weinstein Chair in Diabetes Research**

#### **FOR INFORMATION**

At its meeting of April 12, 2016 the Property and Finance Committee approved that provisions for the Sheldon H. Weinstein Chair in Diabetes Research with academic appointment in the Schulich School of Medicine & Dentistry be updated as follows.

Terms for the Sheldon H. Weinstein Chair in Diabetes Research were first established in 2003 and included a clause that allowed Foundation Western to hold the “capital of the endowed fund for a minimum of 10 years following the first full-time appointment to the Sheldon H. Weinstein Chair in Diabetes Research. After this 10 year period, the Board of Directors of Foundation Western will determine whether to continue to hold the endowment permanently or to otherwise direct the capital on an expendable or endowed basis in the best interest of diabetes or related medical research.” The first appointment to the Chair was made in 2005 and more than ten years has passed.

In 2014, Foundation Western was dissolved. In the absence of the Board of Directors of Foundation, in consultation with Dean Michael Strong, Schulich School of Medicine & Dentistry, it was determined that the University should hold an internal endowment to support the Sheldon H. Weinstein Chair in Diabetes Research.

Further, Dr. Strong requested that the terms of the internal endowment permit the Chair to be appointed without consultation with an Advisory Committee.

**Donor and Funding:** The Sheldon H. Weinstein Chair in Diabetes Research was created in 2003 through a donation from the Estates of Wallace and Betty Weinstein in memory of their son, Sheldon Weinstein, who died prematurely after a lengthy battle with diabetes. As of December 31, 2015, the endowment for the Chair held \$2,119,858.

Provisions for the Chair, created in 2003, allowed for the fund supporting the Chair to be reviewed after a minimum of ten years to determine whether to continue to hold the endowment permanently or to otherwise direct the capital on an expendable or endowed basis in the best interest of diabetes or related medical research. The University has determined that diabetes research is best served by directing the capital on an endowed basis in support of the Chair, subject to the following terms.

**Effective Date:** January 1, 2016

**Purpose:** The income from the endowment fund will be used to support the academic program of the holder of the Chair. Funds available may be directed towards salary and benefits or direct research support, or some mixture thereof.

The administration of the spending of resources will be the responsibility of the Dean of the Schulich School of Medicine & Dentistry.

**Criteria:** The Chair’s research will be in diabetes or related medical research with a focus on Type I diabetes. The Chair will hold a primary appointment within the Schulich School of Medicine & Dentistry, and be committed to academic activity and program development within diabetes research.

Appointments to the Sheldon H. Weinstein Chair in Diabetes Research will be conducted in accordance with the appropriate University policies and procedures on Academic appointments and will be for a five-year term, normally renewable once upon the recommendation of a review panel, and at the discretion of the Dean.

Renewal of appointments to the Sheldon H. Weinstein Chair in Diabetes Research will be conducted in accordance with University policies and procedures and guidelines established by the Schulich School of Medicine & Dentistry for reviewing endowed chairs, with terms of reference for review, and options if progress is judged to be inadequate.

**Review:** Each time the Chair comes up for appointment or renewal, the Dean will determine whether to maintain the endowment as set out herein or to otherwise direct the capital on an expendable or endowed basis in the best interest of diabetes or related medical research. Any change shall be subject to the approval of the University's Board of Governors and the Senate.

**Reporting:** The University will continue to report to the original signers of the donor agreement.

**Background:** The Sheldon H. Weinstein Chair in Diabetes Research was created in 2003 through a donation from the Estates of Wallace and Betty Weinstein in memory of their son, Sheldon Weinstein, who died prematurely after a lengthy battle with diabetes.

*Western University*  
**2015-16 Operating Budget Update**  
as at January 31, 2016  
(\$000)

**<a> Summary**

		As Approved by Board	Revised Forecast	Increase/Decrease	
				\$	%
1	Revenues <b>	693,166	698,237	5,071	0.73%
2	Expenditures <c>	692,902	692,039	(863)	-0.12%
3	Surplus / (Deficit)	264	6,198	5,934	
4	Operating Reserve -- Beginning of Year	33,721	39,534	5,813	
5	Surplus / (Deficit)	264	6,198	5,934	
6	Operating Reserve -- End of Year	33,985	45,732	11,747	

**<b> Revenue Changes**

7	Tuition Revenue: Undergraduate			5,896	
8	Government Grants :FFICR -Robarts			(226)	
9	Other Revenues - Research Overheads -Robarts			(225)	
10	All Other			(374)	
11	Total Revenue Changes			5,071	

**<c> Expense Changes**

12	Medicine : Robarts Revenues			(451)	
13	All Other			(412)	
14	Total Expenditure Changes			(863)	

## Report of the Investment Committee

### For Information

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

### Performance

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

<u>Asset Class</u>	Annual Dec. 31 <u>2015</u>	Annual Dec. 31 <u>2014</u>	Annual Dec. 31 <u>2013</u>	Annual Dec. 31 <u>2012</u>	Annualized for Four years Ending Dec. 31 2015
<b>Equities:</b>					
Canadian	(2.37)%	13.47%	23.09%	10.96%	10.91%
US	10.46	19.11	39.21	16.59	20.89
Non North American	11.04	5.33	27.73	19.55	15.60
Private	35.64	28.17	19.51	10.21	23.01
<b>Fixed Income</b>	3.81	8.53	(0.70)	3.55	3.75
<b>Real Estate</b>	7.67	8.65	9.87	12.03	9.54
<b>Absolute Return Strategies</b>	9.08	8.11	8.52	8.70	8.60
<b>Infrastructure</b>	15.18	10.09	-	-	-
 <b>Total Fund Return</b>	 <u>7.36%</u>	 <u>11.64%</u>	 <u>19.84</u>	 <u>11.37%</u>	 <u>12.46%</u>
 <b>Policy Return</b>	 <u>4.37%</u>	 <u>9.31</u>	 <u>16.98%</u>	 <u>10.45%</u>	 <u>10.19%</u>

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

One of the Investment Committee's objectives is to earn a 4% real rate of return over the long term (i.e., to earn 4% over the rate of inflation, as measured by the Consumer Price Index). Inflation has averaged 1.3% per year for the four year period and 1.6% per year for the ten year period.

For the four years ending December 31, 2015, the annualized real rate of return was 11.2%. For ten years ending December 31, 2015, the annualized real rate of return for the portfolio was 5.2%.

### Value added by Active Management

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

Over the four years ending December 31, 2015, the actual annualized return for the portfolio was 12.5% and the return generated by the market indices for the portfolio was 10.2% (the policy return). Over the ten years ending December 31, 2015, the actual annualized return for the portfolio was 6.8% and the return generated by the market indices for the portfolio was 5.8%. The objective was met for both of these periods.

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

The table below provides the classifications and market value of the assets held at December 31, 2015:

	Market Value	Target Asset Mix			Actual Asset Mix
		Minimum	Target	Maximum	
<b>Equities</b>					
<i>Canadian</i>	199,573,703.27	15.0%	20.0%	25.0%	18.9%
<i>US</i>	231,386,256.59	15.0%	20.0%	25.0%	21.9%
<i>EAFE</i>	223,052,750.16	15.0%	20.0%	25.0%	21.1%
<i>Private</i>	48,602,659.09	0.0%	5.0%	10.0%	4.6%
<b>Total Equities</b>	<b>702,615,369.11</b>	<b>60.0%</b>	<b>65.0%</b>	<b>70.0%</b>	66.5%
<b>Fixed Income</b>					
<i>Core Fixed Income</i>	163,966,337.78	5.0%	10.0%	30.0%	15.5%
<i>Commercial Mortgages</i>	51,078,703.00	0.0%	5.0%	10.0%	4.8%
<b>Total Fixed Income</b>	<b>215,045,040.78</b>	<b>10.0%</b>	<b>15.0%</b>	<b>35.0%</b>	20.4%
<b>Real Assets</b>					
<i>Real Estate</i>	38,309,323.00	0.0%	5.0%	10.0%	3.6%
<i>Infrastructure</i>	69,598,379.09	5.0%	10.0%	15.0%	6.6%
<b>Total Real Assets</b>	<b>107,907,702.09</b>	<b>5%</b>	<b>15%</b>	<b>20%</b>	10.2%
<b>Diversifiers</b>					
<i>Cash</i>	4,503,826.63	0.0%	0.0%	10.0%	0.4%
<i>Absolute Return Strategies, Market Neutral Strategies</i>	26,616,916.65	0.0%	5.0%	10.0%	2.5%
<b>Total Diversifiers</b>	<b>31,120,743.28</b>	<b>0%</b>	<b>5%</b>	<b>15%</b>	2.9%
<b>Grand Total</b>	<b>1,056,688,855.26</b>				<b>100.0%</b>

The following chart summarizes the total investments held at December 31, 2015:

Investment Portfolio	Value Invested
<b>Short term</b>	<b>324.0</b>
<i>Operating:</i>	
<i>Obligations</i>	258.5
<i>Surplus</i>	218.3
<b>Total Operating</b>	<b>476.8</b>
Endowed	579.9
<b>Total Operating &amp; Endowed Portfolio</b>	<b>1056.7</b>
<b>Total Investments</b>	<b>1,380.7</b>

#### Update on Investment Committee Activities

- At the February 2016 Investment Committee Meeting, the Committee continued its discussion regarding the allocation to the Diversifiers strategic asset class. Currently, only a little more than half of the 5% allocation has been filled. Given the lack of consensus regarding a potential

investment strategy, the Committee decided to increase its target allocation to private equity from 5% to 7.5%, citing its comfort with the existing manager, the stronger expected returns from private equity compared to other asset classes and the capacity of the Operating & Endowment Fund to sustain additional risk.

- At the same Investment Committee meeting, the Committee approved the transfer of \$50 million from the short term portfolio to the cash allocation in the Operating & Endowment Fund.
- Administration updated the annual Stress Testing report for the Investment Committee
  - The report confirmed that we should continue to adhere to the following risk controls:
    - Maintaining sufficient short term assets such that no funds would be required to be withdrawn from the Portfolio in a worst case scenario
    - Upholding the recommendation to maintain a cash reserve (short term portfolio) of no less than \$150.0 million
    - Maintaining the ratio of assets of obligations established by the Board
    - Limiting contributions to the operating budget
- The allocation to Real Estate is below target and will remain below target even when fully funded. The Committee decided that the timing was not right to allocate more to this asset class and chose to reassess the situation at the next meeting.
- Administration presented a report to the Investment Committee on dynamic currency management. The Committee requested more information for the next meeting, especially regarding costs.
- The working group on Responsible Investing presented a draft of the Terms of Reference to the Investment Committee at the February meeting for feedback.
  - Work continues on the development of the Terms of Reference

# UWO Operating - Combined

## Total Fund Real Returns – December 31, 2015

A Real Return of 11.2% over the last 4 years and well 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	7.4	9.5	12.8	12.5	9.6	9.7	10.7	6.5	6.1	6.8	7.8
CPI (Inflation)	1.6	1.5	1.4	1.3	1.5	1.6	1.6	1.5	1.6	1.6	1.8
Real Return	5.8	7.9	11.4	11.2	8.1	8.1	9.1	4.9	4.5	5.2	6.0
	Yr Ending 12/31/2015	Yr Ending 12/31/2014	Yr Ending 12/31/2013	Yr Ending 12/31/2012	Yr Ending 12/31/2011	Yr Ending 12/31/2010	Yr Ending 12/31/2009	Yr Ending 12/31/2008	Yr Ending 12/31/2007	Yr Ending 12/31/2006	
UWO Annual Returns	7.4	11.6	19.8	11.4	-1.0	10.2	16.7	-18.9	3.6	12.9	
CPI (Inflation)	1.6	1.5	1.2	0.8	2.3	2.4	1.3	1.2	2.4	1.7	
Real Return	5.8	10.2	18.6	10.5	-3.3	7.9	15.3	-20.1	1.3	11.2	

# UWO Operating - Combined

## Total Fund Value Added – December 31, 2015

Good value added from active management in all annualized time periods!

	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)	7.4	9.5	12.8	12.5	9.6	9.7	10.7	6.5	6.1	6.8
Policy Return (2)	4.4	6.8	10.1	10.2	7.9	8.4	9.6	5.4	5.1	5.8
Value Added	3.0	2.7	2.7	2.3	1.7	1.3	1.1	1.0	1.0	1.0

	Yr Ending 12/31/2015	Yr Ending 12/31/2014	Yr Ending 12/31/2013	Yr Ending 12/31/2012	Yr Ending 12/31/2011	Yr Ending 12/31/2010	Yr Ending 12/31/2009	Yr Ending 12/31/2008	Yr Ending 12/31/2007	Yr Ending 12/31/2006
UWO Annual Return (1)	7.4	11.6	19.8	11.4	-1.0	10.2	16.7	-18.9	3.6	12.9
Policy Return (2)	4.4	9.3	17.0	10.5	-0.8	10.8	17.3	-19.6	2.9	12.0
Value Added	3.0	2.3	2.9	0.9	-0.2	-0.6	-0.6	0.8	0.8	0.9

### Policy Mix as of December 31

S&P/TSX Composite	20%	20%	20%	20%	20%	20%	20%	20%	20%	20%
S&P 500	5%	5%	5%	5%	5%	5%	5%	5%	15%	15%
S&P 500 Hedged Currency	11%	11%	11%	11%	11%	11%	11%	10%	5%	5%
S&P 400 Hedged Currency	4%	4%	4%	4%	4%	4%	4%	5%	5%	5%
MSCI EAFE	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%
MSCI EAFE Hedged Currency	10%	10%	10%	10%	10%	10%	10%	10%	5%	5%
<b>Total Equity</b>	<b>60%</b>									
FTSE TMX Bond Universe (3)	18%	18%	25%	25%	25%	40%	40%	40%	40%	40%
MSCI All Country World (ACWI)	5%	5%	5%	5%	5%	0%	0%	0%	0%	0%
90-Day LIBOR	3%	3%	5%	5%	5%	0%	0%	0%	0%	0%
Infrastructure (CPI + 5)	10%	10%	0%	0%	0%	0%	0%	0%	0%	0%
Real Estate (4)	5%	5%	5%	5%	5%	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) Currently allocation is 10% FTSE TMX Bond Universe, 5% using a combination of (60% FTSE TMX ST / 40% FTSE TMX MT), and 2.5% FTSE TMX ST Bond Index.

Includes hedge fund and private equity prior to July 2010

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

### Investment Committee Membership

#### FOR INFORMATION

At its meeting on March 15, 2016 the Property and Finance Committee approved the following reappointments to the Investment Committee:

Doug Porter	2 years to February 2018
Lee Sienna	5 years to March 2021
David Stenason	5 years to January 2021

#### **Background:**

##### Doug Porter

Douglas Porter is a high-profile Economist with over 25 years' experience analyzing global economies and financial markets. He excels in interpreting and communicating the impact of key economic and financial data for businesses, and was identified as the best economic forecaster by Bloomberg.

In his role as Chief Economist and Managing Director, BMO Financial Group, he oversees the macroeconomic and financial market forecasts and is co-author of the firm's weekly flagship publication, *Focus*. Mr. Porter manages the team that won the prestigious 2010 Lawrence Klein award for forecast accuracy of the U.S. economy during the tumultuous 2006 to 2009 period. As a respected commentator on economic and financial trends, he is often quoted in the national press and is interviewed regularly on radio and television.

Mr. Porter was appointed to the Investment Committee for an initial three-year term ending February 2016. He has agreed to a two-year renewal, extending his membership to February 2018.

##### Lee Sienna

Lee Sienna was appointed to the position of Vice-President, Long Term Equities; a newly-created portfolio within the private equity group at Ontario Teacher's Pension Plan, in June 2009. From 2002 until his new appointment, he was Vice President, Private Capital of Ontario Teachers' Pension Plan. From 1998 to 2002, Mr. Sienna was partner at Calcap Corporate Finance Limited, a consulting firm specializing in mergers and acquisitions. From 1995 to 1998, Mr. Sienna was Vice President, Corporate Development at Dairyworld Foods. Prior to 1995, he held various positions in management and corporate development for companies in the beverage, food and entertainment industries, primarily with John Labatt Limited. Mr. Sienna serves on the Board of Directors of ALH Holding Inc., Easton-Bell Sports, AOT Bedding Holdings Corporation (Serta), GNC Corporation and GCAN Insurance Company. He is also a Chartered Accountant and a graduate (HBA) of the Richard Ivey School of Business and received an MBA from the Rotman School at the University of Toronto. He is also a member of the Institute of Corporate Directors.

Mr. Sienna was appointed to a second 5 year term ending March 2016 and has agreed to a five-year renewal, extending his membership for a third term ending March 2021.

##### David Stenason

David Stenason is currently the Managing Director and co-owner of Rempart Asset Management in Montréal, Québec. Founded in 2003 under a predecessor name, Rempart offers investment portfolio management services to both private clients and charitable organizations. The firm currently manages about \$525 million.

Mr. Stenason received his formal education at Western University (BA – Economics '78) and McGill University (MBA – Accounting & Finance '80), and obtained his Chartered Financial Analyst (CFA) designation in 1989.

Mr. Stenason's career began at Gulf Canada Ltd., where he worked in several financial areas throughout the company's operations. In late 1985, he became a "sell side" institutional equities analyst covering the

Canadian energy and pipelines industries. He worked as an analyst at Levesque Beaubien (now National Bank Financial), CIBC World Markets, Gordon Capital and Scotia Capital. He left the equities research world in 2002 and initiated plans to develop what is now Rempart Asset Management.

Mr. Stenason was appointed to an initial 3 year term ending December 2016. He has agreed to a 5 year renewal, extending his membership to December 2021.

The Investment Committee unanimously supported the reappointments.

With the reappointments, the Committee membership is as follows:

Two current or former members of the Board of Governors, appointed by the P&F Committee

Rosamond Ivey	(August 2018)
Jim Knowles	(May 2016)

Five members appointed by the P&F Committee on recommendation of the Investment Committee

Doug Greaves	(August 2017)
Richard Konrad	(March 2018)
Doug Porter	(February 2018)
Lee Sienna	(March 2021)
David Stenason	(December 2021)

**Ex Officio**

Gitta Kulczycki - Vice-President (Resources & Operations)  
Lynn Logan – Associate Vice-President (Financial & Facilities)  
Martin Belanger – Director, Investments  
Diane Stechly-Hoover – Director, Treasury Services  
Tom Keenlyside – Associate Director, Investments

## **NEW SCHOLARSHIPS AND AWARDS**

### **FOR INFORMATION**

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.

#### **Imran Jaffer Memorial Award in Urban Development (Geography)**

Awarded annually to a full-time undergraduate student entering Year 3 of the Honors Specialization in Urban Development module, or the combined Honors Specialization in Urban Development/HBA program, with a 70% minimum average. Preference will be given to a student who has demonstrated active community leadership or volunteer involvement. Candidates must submit a one-page statement outlining their community leadership and volunteer activities by September 30th to the Department of Geography. The recipient will be selected by a Scholarship and Awards Committee led by the Chair of the Department of Geography. This award was established through the Imran Jaffer Foundation, and the family and friends of Imran Jaffer in celebration of his life, and to recognize a student who shares Imran's qualities, values and interests. The hope is that future students will receive the assistance they require to fulfil their dreams and aspirations.

Value: 1 at \$1,000

Effective Date: 2016-2017 academic year

#### **Robert Mitsuo Izawa Scholarship (Medicine)**

Awarded annually to an undergraduate student entering Year 4 of the Doctor of Medicine (MD) program in the Schulich School of Medicine & Dentistry, with academic achievement, who demonstrates leadership and commitment to the profession. Students must submit a one-page statement outlining their leadership and commitment, to the Undergraduate Medical Office by September 30<sup>th</sup>. Students must also have demonstrated financial need. Online financial assistance applications are available through Student Center, and must be submitted by September 30<sup>th</sup>. The Progression and Awards Committee will select the recipient after the Office of the Registrar has assessed the financial need. This scholarship was established by a generous donation from Ruth, in memory of her father, Robert Mitsuo Izawa.

Value: 1 at \$1,500

Effective Date: 2016-2017 to 2020-2021 academic years inclusive

*Robert's family were living in British Columbia when WWII broke out and the Canadian Government ordered the Japanese internment. As a young man, Robert aspired to become a medical doctor but the internment placement and wartime challenges proved insurmountable. The family was forced to move east and settled in the Chatham area. Robert worked in the automotive industry as a stationary engineer and, throughout his lifetime, demonstrated generosity and compassion for humanity.*

#### **USC Experiential Learning Bursary (Any Undergraduate Program)**

Awarded annually to undergraduate students in any year, of any program, who have demonstrated financial need and are participating in a student club or related student activity requiring support for the financial costs associated with the club or activity. This would include experiences such as RezSoph, Faculty Soph and involvement in other student organizations. Online financial assistance applications are available through the Office of the Registrar's website and must be submitted by October 31. The Office of the Registrar will select the recipients. This bursary was established through the generosity of the University Students' Council in order to assist in eliminating financial barriers so that students may more fully participate in the Western experience.

Value: 10 at \$500

Effective Date: 2016-2017 academic year

Gavin and Jane Cameron Hamilton Award (Any Undergraduate Program)

Awarded annually to full-time undergraduate students, in any year of any program, with a minimum 70% average and demonstrated financial need, who are from the St. Thomas/Elgin County area. First preference will be given to students in the Faculty of Arts and Humanities, with second preference to students in Physics, Chemistry or Engineering. Online financial assistance applications are available through Student Center and must be completed by September 30th. The Office of the Registrar will select the recipients. This award was established by Dr. Gavin Hamilton (MD '55) in memory of his parents, Gavin and Jane Cameron Hamilton.

Value: 2 at \$2,000

Effective Date: 2016-2017 academic year

*Gavin and Jane Cameron Hamilton lived in St. Thomas for most of their lives, and believed in the great value of education.*

Amendola Family Football Award (Athletic Award, Football)

Awarded annually to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a significant contribution as a member of the Men's Football Team. 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%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipient based on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Ned (MD '84) and Alison Amendola (MBA '85, BSc '82).

Value: 1 at \$4,500

Effective Date: 2016-2017 to 2020-2021 academic years inclusive

Professor Kenneth Hilborn Doctoral Completion Award (School of Graduate and Postdoctoral Studies, History)

Awarded annually to graduate students in the Doctoral Program in History, based on academic achievement and research merit. The recipients will be selected by the Graduate Committee in the Department of History. At least one representative must be a member of the School of Graduate and Postdoctoral Studies. Applications are due September 1<sup>st</sup>, and must include a statement detailing the steps remaining to complete the dissertation, and a supporting letter from the applicant's doctoral supervisor. This award was established by a generous gift from the Estate of Dr. Kenneth H. Hilborn.

Value: 2 at \$6,250

Effective Date: May 2015

*Professor Kenneth Hilborn taught courses in History and International Relations at The University of Western Ontario for 36 years from 1961 to 1997. He was a graduate of Queen's University (Kingston) and the University of Oxford (England). His love of both history and his students led him to establish this award in the hope that future students would receive the support they need to complete their studies in History. Professor Hilborn retired in 1997 from The University of Western Ontario. He died in 2013 at age 79.*

Professor Kenneth Hilborn Graduate Student Award for Research and Conference Travel (School of Graduate and Postdoctoral Studies, History)

Awarded annually to graduate students in History, based on academic achievement and research merit. Preference will be given to students in the following order:

1. Masters student in Public History (1 student selected)
2. Masters or Doctoral Students in History (4 students selected)

A one-page statement outlining conference and travel plans must be submitted to the Graduate Chair, Department of History, by December 1st. The recipients will be selected by the Graduate Committee in the Department of History. At least one representative must be a member of the School of Graduate and Postdoctoral Studies. This award was established by a generous gift from the Estate of Dr. Kenneth H. Hilborn.

Value: 5 at \$1,500  
Effective Date: May 2015

*Professor Kenneth Hilborn taught courses in History and International Relations at The University of Western Ontario for 36 years from 1961 to 1997. He was a graduate of Queen's University (Kingston) and the University of Oxford (England). His love of both history and his students led him to establish this award in the hope that future students would receive the support they need to complete their studies in History. Professor Hilborn retired in 1997 from The University of Western Ontario. He died in 2013 at age 79.*

Professor Kenneth Hilborn Global Opportunities Award (Social Science, History)

Awarded annually to full-time undergraduate students participating in a Western University international experience or study abroad program for which academic credit or approval from their department or faculty will be obtained. This includes academic exchange programs; approved study abroad programs; curriculum based international field courses/research; international community service learning; volunteer opportunities and internships led by Western University. Preference will be given to students in the following order:

1. History Students Majoring in Jewish Studies or Middle East Studies (1 student selected)
2. Students in Honors Specialization, Specialization, or Major in History (2 students selected)
3. History Students in Honors Specialization in International Relations (2 students selected)

If in any year, there are no students in one of these areas, then the awards can be made to students in the other areas. To qualify for these awards, the experience must meet at least one of the following criteria: Be organized by Western University staff, faculty or department, be eligible for academic credit, form a required component of the student's degree program. Students participating in any of the above listed programs who are registered at the constituent University may be considered. Students must be currently registered in a full-time course load (minimum 3.5 full courses). 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. Students may only receive a Global Opportunities award once during their academic career at Western. Online applications are available on the Global Opportunities website, Western International. Transcripts are required for students who studied elsewhere in their previous academic year. Applications are due on November 15th (for decisions in early January) and March 15th (for decisions in early May). Western International will consult with the Chair in the Department of History for selection of the students. Students will be selected based on a combination of academic achievement, as well as 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 a generous gift from the Estate of Dr. Kenneth H. Hilborn.

Value: 5 at \$2,000\*  
Effective: 2015-2016 academic year  
\*\$5,000 from the endowment will be matched by \$5,000 through the University's Global Opportunities Award Matching Program.

*Professor Kenneth Hilborn taught courses in History and International Relations at The University of Western Ontario for 36 years from 1961 to 1997. He was a graduate of Queen's University (Kingston) and the University of Oxford (England). His love of both history and his students led him to establish this award in the hope that future students would receive the support they need to complete their studies in History. Professor Hilborn retired in 1997 from The University of Western Ontario. He died in 2013 at age 79.*

Professor Kenneth Hilborn International Relations Graduation Scholarship (Social Science, History)

Awarded annually to the undergraduate student in Year 4 History who is graduating with an Honors Specialization in International Relations and has demonstrated academic excellence, as well as participation in activities beyond formal studies that resulted in their enhanced knowledge of global affairs. Academic excellence will be based on the average of the final five 3000- and/or 4000-level courses completed in the Honors Specialization in International Relations module. A one-page statement outlining the applicants' activities must be submitted by March 30th to the Main Office, Department of History. A

committee designated by the Chair in History will select the recipient. This scholarship was established by a generous gift from the Estate of Dr. Kenneth H. Hilborn.

Value: 1 at \$1,000  
Effective Date: 2015-2016 academic year

*Professor Kenneth Hilborn taught courses in History and International Relations at The University of Western Ontario for 36 years from 1961 to 1997. He was a graduate of Queen's University (Kingston) and the University of Oxford (England). His love of both history and his students led him to establish this award in the hope that future students would receive the support they need to complete their studies in History. Professor Hilborn retired in 1997 from The University of Western Ontario. He died in 2013 at age 79.*

Catalyst Capital Scholarship in Bankruptcy and Insolvency Law (Law)

Awarded annually to a full-time undergraduate student in Year 2 or 3 of the Faculty of Law who achieves the highest academic standing in the Bankruptcy and Insolvency course. The recipient will be selected by the scholarship and awards committee in the Faculty of Law. This scholarship was established by a generous gift from The Catalyst Capital Group Inc.

Value: 1 at \$2,500  
Effective Date: 2015-2016 to 2017-2018 academic years inclusive

Catalyst Capital Writing Scholarship in Advanced Restructuring and Insolvency Law (Law)

Awarded annually to a full-time undergraduate student in Year 2 or 3 of the Faculty of Law who demonstrates excellence in writing and legal research in the area of bankruptcy, insolvency and/or restructuring law. A paper written for a law school course, a seminar or an individual research paper, including a paper accepted for publication by a legal journal, will be considered for this scholarship. The recipient will be selected by the scholarship and awards committee in the Faculty of Law. This scholarship was established by a generous gift from The Catalyst Capital Group Inc.

Value: 1 at \$2,500  
Effective Date: 2015-2016 to 2017-2018 academic years inclusive

Catalyst Capital Scholarship in Bankruptcy, Insolvency and Restructuring Law (Law)

Awarded annually to a full-time undergraduate student who has completed Year 3 in the Faculty of Law with the highest academic standing in Bankruptcy, Insolvency and Restructuring courses. The recipient will be selected by the scholarship and awards committee in the Faculty of Law. This scholarship was established by a generous gift from The Catalyst Capital Group Inc.

Value: 1 at \$5,000  
Effective Date: 2015-2016 to 2017-2018 academic years inclusive

Catalyst Capital Entrance Scholarship (Law)

Awarded annually to a full-time student entering Year 1 in the Faculty of Law. Preference will be given to a student who has demonstrated an interest or background in business and/or insolvency related matters. The recipient will be selected by the scholarship and awards committee in the Faculty of Law. This scholarship was established by a generous gift from The Catalyst Capital Group Inc.

Value: 2 at \$10,000  
Effective Date: 2015-2016 to 2017-2018 academic years inclusive

Auburn Developments Inc. Football Award (Athletic Award, Football)

Awarded annually to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a significant contribution as a member of the Men's Football Team. 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%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipients. 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 by Auburn Developments Inc.

Value: 1 at \$4,500

Effective Date: 2016-2017 to 2020-2021 academic years inclusive

Mark Teskey Men's Hockey Scholarship (Athletic Award, Hockey)

Awarded annually to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a significant contribution as a member of the Men's Hockey Team. 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%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipients. 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 scholarship was established by Mr. Mark Teskey (BA '83).

Value: 1 at \$4,500

Effective Date: 2016-2017 to 2020-2021 academic years inclusive

Costco Wholesale Student Continuing Award (Social Science, Management and Organizational Studies)

Awarded to a full-time student entering Year 1 in any module in the DAN Management and Organizational Studies (MOS) program, with demonstrated financial need and a minimum 70% average. Preference will be given to a student who has graduated from a London, Ontario high school. Online financial assistance applications are available through Student Center and must be submitted by September 30<sup>th</sup>. This award will continue into Year 2, 3 and 4 provided that the recipient continues in the MOS program, maintains a 70% average, and continues to demonstrate financial need. If the student fails to retain, another student in the same year will be selected. Only one student will hold this award during any year. The Office of the Registrar will select the recipient. This award was established by a generous donation from Costco Wholesale.

Value: 1 at \$2,000 (continuing Year 1, 2, 3 and 4)

Effective Date: 2016-2017 academic year

Vladimir and Mary Ann Hachinski Master of Public Health Scholarship (School of Graduate and Postdoctoral Studies, Master of Public Health)

Awarded annually to a graduate student entering the Master of Public Health Program, with academic achievement and financial need. Preference will be given to a student who has work or volunteer experience in the field of stroke or dementia. The Admissions committee in the MPH Program will select the recipient. At least one member of the committee must hold membership in the School of Graduate and Postdoctoral Studies. This scholarship was established with a generous gift from Dr. Vladimir Hachinski and Mrs. Mary Ann Hachinski.

Value: 1 at \$1,000

Effective Date: May 2016

Bob and Velma Howie Award in Medicine (Medicine)

Awarded annually to an undergraduate student in Year 3 of the Doctor of Medicine (MD) Program with academic achievement and demonstrated financial need. Online financial assistance applications are available through Student Center and must be submitted by September 30<sup>th</sup>. The Progression and Awards Committee, Schulich School of Medicine & Dentistry, will select the recipient after the Office of the Registrar has assessed the financial need. This award was established through a generous estate gift from Bob and Verna Howie, long-time friends and supporters of Western.

Value: 1 at \$12,000

Effective Date: 2016-2017 academic year

Peter F.J. Miller Entrance Scholarship (Information and Media Studies)

Awarded annually to a graduate student entering the Master of Media in Journalism and Communication program, with academic achievement. The Scholarship Committee in the Faculty of Information and Media Studies will select the recipient. At least one representative of the committee must hold current

membership in the School of Graduate and Postdoctoral Studies. This scholarship was established by Mr. Peter F.J. Miller (Dip '67, Journalism).

Value: 1 at \$1,000  
Effective Date: May 2016 to April 2026 inclusive

Dr. Sampo Paunonen Graduate Psychology Scholarship (Social Science, Psychology)

Awarded annually to a full-time graduate student in a Masters or Doctoral program in Psychology, with academic achievement and research merit, whose research is based in the social sciences and humanities. The scholarship committee in the Graduate Psychology program will select the recipient. At least one representative of the committee must hold current membership in the School of Graduate and Postdoctoral Studies. This scholarship was established by the family, friends and colleagues of Dr. Paunonen (PhD '82, Psychology, BA '77) to honour and celebrate his life, and to recognize a student who shares Dr. Paunonen's qualities, values and interests. The hope is that future students will receive the assistance they require to fulfil their dreams and aspirations.

Value: 1 at \$1,000  
Effective Date: May 2016

*Dr. Paunonen was a long-time Faculty member in the Psychology Department at Western University and specialized in Personality and Measurement research. He died in 2015 at age 63.*

Mark McQueen Award in Political Science (Social Science, Political Science)

Awarded annually to an undergraduate student entering Year 4 Honors Political Science, (with a minimum 70% average in Year 3 Honors Political Science), who has actively participated in at least two of the following: University Students' Council, The Gazette, varsity sports, a USC political club, or a sorority/fraternity. A one-page statement outlining the student's participation in these extra-curricular activities must be submitted to the Dean's Office in Social Science by September 30th. The scholarship and awards committee in the Faculty of Social Science will select the recipient. This award was established on the occasion of Mark McQueen's 50<sup>th</sup> birthday, by his father Dr. Roderick McQueen.

Value: 1 at \$1,200  
Effective Date: 2016-2017 academic year

Saito Family Global Opportunities Award (Any Undergraduate or Graduate Program, with the exception of Ivey)

Awarded to a student (undergraduate or graduate) participating in the Western Heads East program. Students in all faculties are eligible, with the exception of the Richard Ivey School of Business. Students participating in this program who are registered at the constituent University may be considered. Students must have completed their prescribed academic program the previous year. Students may apply for this award in advance of being accepted into the Western Heads East program with receipt of the award contingent upon acceptance into the program. Students may only receive a Global Opportunities award once during their academic career at Western. Online applications are available on the Global Opportunities website, Western International. Transcripts are required for students who studied elsewhere in their previous academic year. Applications are due on March 15th (for decisions in early May). Students will be selected based on a combination of academic achievement, as well as 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 a generous gift from Mr. & Mrs. Kenji (BSc '93) and Munjula Saito.

Value: 1 at \$,1000  
Effective Date: 2015-2016 academic year

Mike Cowan Men's Volleyball Award (Any Undergraduate or Graduate Program [Athletic Award, Volleyball])

Awarded annually to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a significant contribution as a member of the Men's Volleyball Team. 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%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipient based on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Mr. Mike Cowan (HBA '96).

Value: 1 at \$2,000

Effective Date: 2016-2017 to 2020-2021 academic years inclusive

Sellery Family Men's Volleyball Award (Any Undergraduate or Graduate Program [Athletic Award, Volleyball])

Awarded annually to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a significant contribution as a member of the Men's Volleyball Team. Preference will be given to a student from the Ivey Business School. If there is no qualified candidate from Ivey, the award will be granted to the most eligible member of the Men's Volleyball team. 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%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipient based on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Mr. Alan Sellery (HBA '87) and his family.

Value: 1 at \$2,000

Effective Date: 2016-2017 academic year

Meds Class of 1973 Award (Medicine)

Awarded to a student entering Year 1 of the Doctor of Medicine (MD) program, based on academic achievement and demonstrated financial need. Candidates must complete an admission financial assistance application form, available online through the Office of the Registrar's website, by April 1. The recipient will be selected by the Office of the Registrar. The recipient will continue to receive this award for four years, provided that he/she progresses satisfactorily and continues to demonstrate financial need each year. This award was established by a generous donation from the Meds Class of 1973.

Value: 1 at \$1,000, continuing for Years 1,2,3 and 4

Effective Date: 2016-2017 academic year

Dr. Bert Carron Graduate Scholarship in Sport and Exercise Psychology (Kinesiology)

Awarded annually to a full-time Masters or Doctoral student in the Kinesiology Graduate program, who is conducting research in the area of sport and exercise psychology. Preference will be given to a Doctoral student who has a demonstrated scholarly record in publications, presentations, and/or grants. The selection of the recipient will be made by the Kinesiology Graduate Committee, with at least one representative who holds current membership in the School of Graduate and Postdoctoral Studies. This scholarship was established by friends and colleagues in honour of Dr. Bert Carron.

Value: 1 at \$1,000

Effective Date: 2016-2017 to 2025-2026 academic years inclusive (*with value to be reviewed in the final year*)

*Bert was a distinguished athlete, author, professor, researcher and mentor who was internationally recognized for his contributions to Sport Psychology. He retired from the School of Kinesiology, after more than 40 years of academic excellence. Dr. Carron's main research interests were focused on group dynamics in sport teams and exercise classes. He died in 2014 at age 72.*

Kyle Brandon Traves Memorial Scholarship in Science (Science)

Awarded annually to a full-time undergraduate student entering Year 2 in the Faculty of Science, based on academic achievement (minimum 80% average), and active involvement in extracurricular activities or university athletics. A one-page statement regarding involvement in extracurricular or athletic activities must be submitted to the Dean's Office in Science by September 30th. The recipient will be selected by

the Scholarship and Awards Committee in the Faculty of Science. This scholarship was established by the family in memory of Kyle Traves (BSc '13) through the Kyle Brandon Traves Foundation.

Value: 1 at \$2,000

Effective Date: 2016-2017 academic year

*Kyle was dedicated and passionate; dedicated to his education and passionate about music and sports including football, hockey and rugby. Kyle enjoyed exceptional success in his short music career. "Branded Travesty" original mixes were sold through record labels on various sites and climbed to high levels. Kyle was a friend to many; he touched their lives in countless ways. His friends often speak of his strong character, goodwill, unforgettable personality and a smile that was so contagious. His positive energy and genuine ability to enjoy the simple things produced extraordinary memories out of ordinary events. Although Kyle left us too soon, he had a tremendous impact. This scholarship in support of arts, sports and academia is a legacy to Kyle, his memory and his goals in life.*

Dorothy Walsh Female Athletic Scholarship (Any Undergraduate or Graduate Program [Athletic Award, Women's Varsity Team])

Awarded annually to full-time undergraduate or graduate students in any year of any degree program at Western, including the Affiliated University Colleges, who are making significant contributions as members of a women's varsity team. Preference will be given to female students enrolled in Kinesiology. 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%. Candidates 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 recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This scholarship was established by GoodLife Fitness in honour of David Patchell-Evans' mother, Dorothy.

Value: 5 at \$2,000

Effective Date: 2016-2017 to 2020-2021 academic years inclusive

*GoodLife Fitness is the largest health club company in Canada with over 300 locations across the country. GoodLife's head office is located in London, ON and is led by a number of Western alumni including David Patchell-Evans (BA '77, LLD '12) Founder and CEO, Jane Riddell (BA '77, MA '85) Chief Operations Officer, and John Muszak (HBA '85) Vice President Marketing and Public Relations.*

Chris McCauley Scholarship (Any Undergraduate or Graduate Program (Athletic Award, Men's Hockey Team))

Awarded annually to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a contribution as a member of the Mustang Men's Hockey team. Candidates who are intercollegiate student athletes must be in compliance with current OUA and CIS regulations. As per OUA and CIS regulations, an entering student athlete must have a minimum admission average of 80% and a non-entering student must have an in-course average of 70%. The Western Athletic Financial Awards Committee will select the recipient based on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Western Mustang Men's Hockey Team (1980-1984) and (1985-1989) in honour of Chris McCauley, their teammate (BA, Honors Physical Education '87).

Value: 1 at \$1,000

Effective Date: 2016-2017 academic year

KPMG HBA 2 Award (Ivey Business School)

Awarded annually to full-time HBA 2 students at the Ivey Business School with a minimum 70% average who have indicated an interest in accounting. The HBA Scholarship Committee will make the final selection of the recipients. These awards were established with a generous gift from KPMG Foundation.

Value: 5 at \$5,000

Effective Date: 2016-2017 to 2020-2021 academic years inclusive

**REPORT OF THE BY-LAWS COMMITTEE**

	<b>Consent Agenda</b>
<b>Amendment to By-Law No. 1 – Paragraph F.1 – Attendance</b>	<b>No</b>
<b>Special Resolution No. 3 – Banking – Revisions to Officer Titles</b>	<b>Yes</b>
<b>Governance and By-Laws Committee – Draft Terms of Reference</b>	<b>No</b>
<b>Implementation of the Report of the Governance Review Task Force</b>	<b>No</b>

**FOR APPROVAL**

**1. Amendment to By-Law No.1 – Paragraph F.1 - Attendance**

**Recommended:** That By-Law No. 1, paragraph F.1 be amended to read as follows (amendment in italics):

A quorum of the Board consists of ten members, of whom at least five shall be members appointed or elected under clauses (b), (c), (d), and (h) of Section 9.(1) of the Act. *Attendance at special meetings and at up to two regular meetings per calendar year by teleconferencing or other electronic means is permitted.*

**Background:**

Last year, the Board agreed that members should be permitted to attend a limited number of regular Board meetings by teleconference and the By-Laws Committee was asked to bring forward the appropriate by-law amendment. When the Governance Review Task Force was struck, it was determined that amendment of the by-law to implement the attendance recommendation should be deferred until the Task Force completed its work. See [Annex 1](#).

**2. Special Resolution No. 3 – Banking – Revisions to Officer Titles**

**Recommended:** That Special Resolution No. 3 – Banking be revised to recognize changes in signatories' titles as follows:

Manager, Treasury & Investments is now Director, Treasury Services  
Research Accounting Manager is now Director, Research Finance  
Supervisor of General Accounting/General Accounting System Manager is now Director, Financial Information Systems

**Background:**

These are changes in titles only, not in officers. See [Annex 2](#).

## **FOR INFORMATION**

### **3. Governance and By-Laws Committee Terms of Reference**

One of the recommendations of the Governance Review Task Force was that the By-Laws Committee be restructured as a governance committee. Attached for discussion in [Annex 3](#) are draft terms of reference for a Governance and By-Laws Committee.

### **4. Implementation of the Report of the Governance Review Task Force**

Beginning in December 2015 with a joint meeting of members of the By-Laws Committee and the Governance Review Task Force, the By-Laws Committee has met four times over the winter to develop an implementation plan for the recommendations contained in the report of the Governance Review Task Force. See [Annex 4](#) for a list of the recommendations. The following has been done:

- Recommendations have been sorted into categories based on whether they can be achieved in the short, medium or long term and first steps for implementation have been identified.
- It has been proposed, and Senate has agreed, that Senate will receive a regular report from the Board at its meetings. Reports will be for information and will highlight decisions and discussion at the Board meeting immediately preceding the Senate meeting at which a report is being made. The first such report will be submitted to Senate at its May meeting to report on the Board's April meeting.
- Chairs of Senate standing committees have been invited to meet with the Senior Operations Committee on a regular basis (timing to be determined).
- It has been proposed that a common orientation module on shared governance be developed that would be useful to new members of both Senate and Board. That recommendation was put to Senate's Operations/Agenda Committee and referred to the Senate ad hoc Committee on Renewal for consideration.
- Models for presentation of committee reports have been reviewed to find ways to allow for more strategic discussions at the Board.
- Standing committees have begun to review their terms of reference.

Some of the recommendations put forward in the report of the Governance Review Task Force require in-depth discussion and review. The By-Laws Committee suggests that working groups be struck for these issues and is seeking volunteers from within the Board to assist with their development. Two in particular for which volunteers are being sought are the development of a Board performance assessment protocol, and orientation and on-going Board education programs.

The University Secretariat will be reviewing its web site over the summer and considering ways to enhance information sharing for the university community and for the Board. Members' input with respect to improvements they would find helpful and suggestions for revisions should be forwarded to the University Secretary.



## MEMORANDUM

To: Members of the Board of Governors

From: Irene Birrell, University Secretary

Date: February 16, 2016

Re: Notice of Proposed Amendment to By-Law Number 1

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The Board's By-Law Number 1 states the following with respect to proposed by-law amendments:

### Q. AMENDMENT

1. Notice of any motion to enact, amend or repeal any By-Law of the Board shall be given by mail, facsimile, or electronic mail at least 30 days prior to the meeting of the Board at which the motion is to be presented.
2. A motion to enact, amend or repeal any By-Law of the Board shall not carry unless it receives the affirmative vote of at least 15 members of the Board.

At its meeting of February 11, 2016, the By-Laws Committee approved the following:

That the By-Laws Committee recommend to the Board of Governors that By-Law No. 1, paragraph F.1 be amended to read as follows (amendment in italics):

A quorum of the Board consists of ten members, of whom at least five shall be members appointed or elected under clauses (b), (c), (d), and (h) of Section 9.(1) of the Act. *Attendance at special meetings and at up to two regular meetings per calendar year by teleconferencing or other electronic means is permitted.*

This memorandum serves as notice of the proposed by-law amendment, which will be on the agenda of the Board's meeting on April 21, 2016.

BOARD OF GOVERNORS

**BANKING**

Ref: Special Resolution No. 3

Amended: ~~10 NOV 15~~

1. **General**

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

**GROUP "A"**

Vice-President (Resources & Operations)  
Associate Vice-President (Finance & Facilities)

**GROUP "B"**

Controller  
Director, Treasury Services

2. **Number of Signatures Required**

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

3. **Signing Officers for Cheques**

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

**GROUP "A"**

Vice-President (Resources & Operations)

Associate Vice-President (Finance & Facilities)

Controller

Director, Treasury Services

**GROUP "B"**

Director, Financial Information Systems

Director, Research Finance

Associate Vice-President (Human Resources)

Financial Officer, Special Funds

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4. **Facsimile Signatures**

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

5. **Verbal/Facsimile Messages**

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

6. **Transfer Deposit Accounts**

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

7. **Advice to Bank**

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

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

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

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

**GROUP "A"**

Director, Western Centre for Continuing Studies

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Director of Trois-Pistoles French Immersion School

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Controller, The University of Western Ontario

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**GROUP "B"**

Administrative Assistant for Trois-Pistoles French Immersion  
School

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Director, Financial Information Systems  
The University of Western Ontario

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

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Attached: [Annex 1](#) – Banking Transactions – Verbal/facsimile Messages

**BANKING TRANSACTIONS – VERBAL/FACSIMILE MESSAGES**

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

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

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

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

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

## **Governance and By-Laws Committee**

### **Terms of Reference – Draft 3**

1. The Governance and By-Laws Committee is a standing committee of the Board with responsibility for oversight of corporate governance policies and practices. In developing such policies and practices, and in their ongoing review, the Committee has a responsibility to be aware of and apply best practices in higher education governance. Effective governance policies and practices will:
  - Be consonant with the Board's responsibilities under the Act
  - Provide means by which the Board can fulfill its fiduciary duties
  - Enhance transparency and the Board's ability to make decisions effectively
  - Include accountability measures for Board decisions
  - Allow for the effective and efficient flow of business to the Board
  - Delegate authority appropriately to Board Officers, committees appointed by the Board, the President and Vice-Presidents
  - Promote effective communication and interaction with Senate to sustain the principles of shared governance
  
2. In carrying out its responsibilities, the Committee shall
  - (a) recommend to the Board processes for periodic Board performance reviews and implement those processes;
  - (b) design and implement orientation and on-going member education processes;
  - (c) establish and implement processes for the periodic review of governance documents, policies, procedures, special resolutions and by-laws and make recommendations to the Board with respect to amendments to those instruments as warranted (the Committee has delegated authority to make amendments of a non-substantive or editorial nature on behalf of the Board);
  - (d) advise on and make recommendations to the Board on the structure of Board agendas and meeting processes
  - (e) recommend to the Board and periodically review roles for the Board, its Officers, committee chairs, Board members and non-Board members of committees;
  - (f) oversee periodic reviews of the Board's standing committees' terms of reference and make recommendations to the Board with respect to amendments as warranted by those reviews and as recommended by the individual standing committee;
  - (g) make recommendations and provide advice to the Board with respect to new or restructured standing committees, as may be proposed from time to time by the Governance and By-Laws Committee or by individual standing committees;
  - (h) develop guidelines for the filling of vacancies on the Board, including matrices for needs analyses and processes for identifying potential Board members;
  - (i) oversee electoral policies and procedures, including recommending changes to the Board as warranted, and adjudicating issues forward by the Chief Returning Officer for Board elections;
  - (j) develop and oversee conflict of interest policies and practices for members of the Board and its committees;

- (k) develop a process for periodic review of the university's administrative policies and monitor the implementation of that process;
- (l) advise the Board with respect to the Board's relationship with Senate and recommend the establishment of practices and procedures to enhance that relationship as appropriate; and
- (m) annually review its own performance as measured against these terms of reference.

3. The membership of the Governance and By-Laws Committee shall be:

The Chair of the Board  
The Vice-Chair of the Board  
The President & Vice-Chancellor or Designate

Six members of the Board, appointed by the Board, including two external members, one member of faculty, one member of the administrative staff, one student, and one additional member from any constituency.

The Secretary of the Board (non-voting)

- 4. The Chair of the Committee shall be designated by the Board of Governors annually. The Vice-Chair of the Board shall be the Vice-Chair of the Committee. The Secretary of the Board shall be Secretary of the Committee.
- 5. The Committee normally meets four times per year with additional meetings as necessary at the call of the Chair.

**Recommendations from the Governance Review Task Force**

1. Request a place on the Senate agenda for regular Board reports – similar to the reports from the Academic Colleague regarding matters discussed at the Council of Ontario Universities. This would provide an opportunity for dialogue and input on some of the issues before the Board and an opportunity to advance communications between the two bodies. The report could be given by one of the two Board representatives on Senate.
2. Request a series of regular meetings, perhaps semi-annually, between the Senior Operations Committee of the Board (which consists of the chairs of the Board's standing committees and the chair and vice-chair of the Board) and the chairs of Senate's standing committees.
3. Propose to Senate the development of a joint orientation and education program focused on the roles and processes of the Board and the Senate, so that members of both bodies can have a better understanding of the work and role of both the Board and Senate.
4. Establish a schedule of meetings between Board members and leaders of stakeholder groups; meetings might be formal or informal in nature but the goal should be to provide opportunities for unfiltered discussion between members of the Board and stakeholder groups.
5. Improve electronic communication measures to allow the Board and individual Board members to inform the campus community and others about Board discussions and decisions.
6. Develop an annual plan for Board education that might include such options as space on Board agendas for information presentations, and opportunities for visits to different divisions/areas of campus.
7. Create an annual "Report of the Board" to the community outlining key strategic issues assessed by the Board and its activities in support of those issues.
8. Consider ways to build stronger relationships, continue to increase engagement in the broader London community, and work with our external partners to develop appropriate communication and consultation mechanisms.
9. Allocate time in meetings to reviewing the university's relationship with and place in the community.
10. Each standing committee of the Board should review its terms of reference both with respect to mandate and membership. This should include consideration of whether there is the appropriate level of delegation from the Board to the committee and from the committee, through policy, to the administration. The review process, while conducted by each standing committee, should be overseen by the Bylaws Committee to ensure consistency and coordination among committees' terms of reference are maintained.
11. The Board and each of the committees should have an annual work plan focused on strategic priorities.
12. In order to provide time in meetings for strategic dialogue and in-depth discussion of issues, the Board agenda should be redesigned to move away from final transactional decisions as the driver. Committee chairs should report in a more coherent, holistic way, focusing on strategic issues and discussions, whether or not those issues have reached a point of decision. There are many agenda models that could be considered, including placing all motions on a consent agenda to be dealt

### **Recommendations from the Governance Review Task Force**

- with at the end of the meeting instead of the beginning, after the contextual committee presentations have taken place.
13. There should be a review of which items are dealt with in open session and which in closed session, with an emphasis on the Board and its meetings being as open and transparent as possible.
  14. Consideration should be given to the possibility of the Board setting aside time to meet with no members of the administration present.
  15. The list of standard reports that come forward throughout the year should be reviewed. Are they giving the Board and the committees the information they need for strategic, effective decision making? How are they related to the Board's fiduciary responsibilities? How are they related to the strategic directions of the university?
  16. The timing of when issues are brought before the Board should be reviewed with the administration.
  17. The Senior Operations Committee, as matter of practice, and in consultation with members of the Board, should maintain and update a comprehensive pool of potential members, with focus on closing any skills gaps and ensuring a breadth of diverse individuals and experiences are reflected in the pool.
  18. The members' skills matrix should be updated annually and shared with members of the Board and appointing bodies.
  19. Develop a structured Board performance assessment plan, including an understanding of current skills and gaps within the membership.
  20. Establish role statements for the chair of the Board and for the chairs of Board committees, and consider whether the 1997 statements on roles and responsibilities need to be refreshed.
  21. Develop a formal on-boarding orientation and annual education program for Board members designed to maintain and improve awareness and understanding of campus activities and constituent priorities and to provide regular policy refreshers on key compliance topics with respect to board policies.
  22. Amend the mandate of the Bylaws Committee to encompass both its current responsibilities and the responsibilities of a governance committee (including, but not limited to, board orientation, ongoing education, ethical standards, and performance assessment).

**REPORT OF THE SENIOR OPERATIONS COMMITTEE**

<b>Contents</b>	<b>Consent Agenda</b>
<b>Affiliation Agreement with the Museum of Ontario Archaeology</b>	<b>No</b>
<b>Code of Student Conduct Review Committee</b>	<b>Yes</b>
<b>Appointments to University Discipline Appeals Committee (UDAC)</b>	<b>Yes</b>
<b>Appointment to Audit Committee</b>	<b>Yes</b>

**FOR APPROVAL**

1. **Affiliation Agreement with the Museum of Ontario Archaeology**

**Recommended:** That the Board of Governors approve the proposed Affiliation Agreement with the Museum of Ontario Archaeology, attached hereto as **Annex 1**.

**Background:**

The Museum of Ontario Archaeology began as a collection of artifacts donated by the Jury family to the University of Western Ontario in the 1930s. It was housed in the Lawson Library for many years and maintained through the Department of Anthropology in the Faculty of Social Sciences. In the 1970s, the Lawson family donated the land on which the Museum currently stands to the University and the current building was constructed. In 1978 the Museum was incorporated as a separate, not-for-profit, charitable corporation, and the land was transferred by the University to the new corporation.

The majority of the Museum's funding comes from three endowment funds. The Lawson Fund was given directly to the Museum corporation and as such the Museum acts as the trustee of that fund. The Elsie Jury Fund and the Wilfred Jury Fund are funds that were created by bequests to the University in the wills of Elsie and Wilfred Jury. Although the bequests were to the University, the funds are to be used for specific purposes of the Museum unrelated to any University activities. At the present time, therefore, the University is the Trustee of those funds, and disperses the income to the Museum for use in accordance with the terms of the bequest.

While the Museum has existed as a separate legal entity since 1978, it has maintained a close relationship with the University. The Lawson Chair, funded jointly by the Museum and the University has, until recently, also served as the Executive Director of the Museum. The endowment funds have been managed by the University. Over the years, either by agreement or by-law, a substantial number of the members of the Museum Board were appointed or approved by the University. As a result, the University has been deemed, for accounting purposes, to control the Museum and the Museum financial statements have been consolidated with the University financial statements.

In negotiating the most recent agreement between the University and the Museum, it has been agreed that it is in the interest of both institutions to move away from the previous model and allow the Museum more independence and flexibility in its operations. The proposed agreement provides for the following substantive changes from the previous agreement:

- (a) Western will appoint only one member of the Museum's board (rather than five) and will no longer approve the entire board.
- (b) Western will transfer legal and fiduciary responsibility for the management of the Jury Funds and the Lawson Fund to the Museum.
- (c) The Museum will move to managing its own finance and HR functions (currently provided by Western) and will maintain the option to purchase additional services from Western.
- (d) The Museum budget will not be submitted to Western for approval.

One additional issue arising out of the change in relationship relates to the Sustainable Archaeology Facility. The SAF was built on Museum lands with a CFI grant obtained through Western. Western is obligated to continue to operate the facility for a further period of time as determined under the terms of the grant. Western will, therefore, enter into a formal lease with the Museum of the land on which the SAF sits until such time as Western no longer has any legal responsibility for the operation of the SAF, at which time ownership and full responsibility for its operation will be transferred to the Museum. It is expected that that will occur during the term of the Affiliation Agreement and there is a provision in the Agreement to that effect.

This new relationship allows the Museum to take responsibility for its own financial future without impacting the University while maintaining the academic and research relationship between the two institutions.

## 2. Code of Student Conduct Review Committee

**Recommended:** That the Board of Governors strike a review committee for the Code of Student Conduct with membership as follows:

A Dean or Associate Dean appointed by the President (Chair)  
Associate Vice-President, Student Experience  
Associate Vice-President, Housing and Ancillary Services (or designate)  
Vice-Provost (Graduate & Postdoctoral Studies) (or designate)  
Chair, University Disciplinary Appeals Committee  
President of USC (or designate)  
President of SOGS (or designate)  
University Legal Counsel  
Associate University Secretary

### **Background:**

The Code of Student Conduct is a Board policy that deals with issues of non-academic misconduct. It was scheduled for a five-year review last year, but the review was deferred until the new Associate Vice-President (Student Experience) was able to gain some experience administering the policy.

The proposed membership for the review committee is the same as that for the last comprehensive review. If this membership structure is approved, Dean Iain Scott, Faculty of Law, has agreed to chair the committee.

### **FOR INFORMATION**

## 3. Appointments to University Discipline Appeals Committee (UDAC)

The Senior Operations Committee has approved the appointment of the following student members to UDAC for one year terms beginning July 1, 2016:

### ***Undergraduate***

~~Matt Jadd~~  
Anikett Bhatt  
Chelsea Wang  
Zach Turner  
~~Joseph Scarfone~~

***Note: M. Jadd and J. Scarfone are students at an Affiliate University College therefore not eligible to serve on UDAC  
Two students will be appointed in May.***

### ***Graduate***

Laura Rosen  
Melissa Knott  
Ahmed Abuhussein

4. **Appointment to the Audit Committee**

The terms of reference of the Audit Committee allow for the appointment of up to two non-Board members to ensure that the Committee has the full range of expertise required. The Senior Operations Committee has approved the appointment of Joan Mohamed to the Audit Committee. Ms. Mohamed is an expert in risk assessment and management, currently serving as Chief Risk Officer, Wealth Management & Head, Operational Risk Management at BMO Financial Group.

**This Agreement made effective the xx day of xx, 2016  
between**

**THE BOARD OF GOVERNORS OF THE  
UNIVERSITY OF WESTERN ONTARIO  
hereinafter called "the University" and**

**THE MUSEUM OF ONTARIO ARCHAEOLOGY  
hereinafter called "the Museum"**

WHEREAS the Institutions wish to formalize their ongoing relationship of collaboration and support; and

WHEREAS The Museum is dedicated to preserving, expanding and disseminating archaeological knowledge of Ontario and adjacent regions throughout their more than 12,000 years of human occupation; by its mission statement, the Museum:

shall be recognized internationally as a premier research centre for studies in archaeology. In this capacity, the collection, identification and preservation of artifacts will continue to be of paramount importance to provide an ever-expanding database for academic research. The knowledge gained from this research shall be shared through graduate and under-graduate student training, regular publications, displays and educational programmes within the wider community;

and

WHEREAS The University, by its Mission Statement, is dedicated to the advancement of learning through teaching and research and to the discovery and application of knowledge. An important part of its mission is to promote the development of new initiatives in research and encourage the formation of transdisciplinary endeavors and concerted efforts with other institutions to achieve research goals beyond the capacity of any one institution;

THEREFORE the Institutions agree to enter into this revised Agreement under the terms and conditions set out herein.

#### **1.0 Governance and Administration**

- 1.1 The Museum is an independent charitable non-share capital corporation in accordance with all applicable laws.
- 1.2 The Dean of the Faculty of Social Science shall designate one member of the Faculty as The University/Museum Liaison Officer.
- 1.3 The Museum shall amend its By-Laws to provide that The University/Museum Liaison Officer shall be an ex-officio Director of the Museum corporation.

## **2.0 The Lawson Chair in Canadian Archaeology (“Lawson Chair”)**

- 2.1 The Lawson Chair holder shall be an individual with a faculty appointment at the University held in the Department of Anthropology. The Lawson Chair is cross-appointed between the University and Museum.
- 2.2 The Lawson Chair holder is solely an employee of the University.
- 2.3 The University shall enter into an agreement with the Museum to establish the terms of reference and the assigned duties of the Lawson Chair at the Museum.
- 2.4 Annually, the Museum shall provide the University \$45,000.00 to support the work of the Lawson Chair on [insert month and day].
- 2.5 The Museum will also provide office space for the Lawson Chair in the museum facility.

## **3.0 The W. Jury and E. Jury Funds and Artifacts**

- 3.1 The W. Jury and E. Jury Funds (the “Jury Funds”) were bequeathed to the University for the benefit of the Museum. The University shall apply through the Public Guardian and Trustee to formally transfer the funds to the Museum. Should the transfer be granted, the Museum shall be solely responsible for the management, use and disbursement of the funds.
- 3.2 The University shall continue to retain ownership of the Jury artifacts which are housed at the Museum. The University shall continue to pay and transfer a maximum of fifty thousand dollars (\$50,000.00) annually on or before [insert date] to the Museum to support preservation and interpretation of the Jury Artifacts for both the University and the public.

## **4.0 Budgeting and Fundraising**

- 4.1 The budget of the Museum shall be set by its board of directors. At any time prior to January 30 of each year, the University may request to review the budget (which request will be considered by the Museum directors)..
- 4.2 The Museum shall be wholly responsible for all fund-raising activities unrelated to academic research activity.

## **5.0 Services provided to the University**

- 5.1 The faculty of Social Science at the University shall continue to pay and transfer a maximum of forty thousand dollars (\$40,000.00) annually to the Museum on or before [insert date] in exchange for the following privileges and opportunities:
  - (i) waiver by the Museum of all licencing fees for access and use of Museum copyrighted materials for research and educational purposes.

- (ii) access to the Museum and Lawson site for integrated educational and research programming;
- (iii) the opportunity for University faculty and students to display and lead temporary exhibitions;
- (iv) the opportunity for University students to gain employment skills and training through work study, volunteer placements and summer employment; and
- (v) experiential learning opportunities for University students, particularly those in the Faculty of Social Science and First Nations Studies programs.
- (vi) support Sustainable Archaeology and its long term care responsibilities as an archaeological collections repository.

5.2 The parties will work to develop a transition plan to facilitate the Museum taking responsibility for operations of Sustainable Archaeology and its physical space by the end of this agreement.

#### **6.0 Services provided to the Museum**

- 6.1 The Museum has the option to purchase services from the University (e.g., policing, occupational health and safety services, fire prevention, human resource and financial services, etc.). These services will be provided in the manner and at rates which such services would be provided to the members of the on-campus community.
- 6.2 The Museum intends to move financial services including human resources to its own financial institution. The Museum will work with Institutional Planning and Budgeting Services to ensure this is a smooth transition and will continue to pay the annual administrative fee (currently 5%) to the University until the transition is complete.

#### **7.0 Term and Amendment**

- 7.1 This Agreement shall be in force and effect for five years from the date of this Agreement unless it is extended by agreement of the Institutions.
- 7.2 The parties agree that, commencing six months prior to the end of this Agreement, they will begin negotiations in good faith to enter into a new agreement.
- 7.3 Either party may deliver to the other written notice at least six months prior to the end of this Agreement that it does not wish to negotiate a new agreement. In such case, neither party is under any obligation to enter into negotiations pursuant to paragraph 7.2.
- 7.4 In the event that either party finds it necessary to terminate or amend this agreement, six months written notice will be given prior to the new termination or renegotiated date.

- 7.5 This Agreement may be amended only by written agreement of the parties
- 7.6 This Agreement supersedes and replaces all other agreements between the Museum and the University.
- 7.7 Additional agreements that may be developed between the University and Museum must refer to and be consistent with this agreement.

IN WITNESS WHEREOF the parties have executed this Agreement by their duly authorized officers.

**THE BOARD OF GOVERNORS  
THE UNIVERSITY OF WESTERN ONTARIO**

Per:

Janice Deakin, Provost & Vice-President (Academic)

Per:

Irene Birrell, Secretary of the Board of Governors

**THE MUSEUM OF ONTARIO ARCHAEOLOGY**

Per:

Per:

**REPORT OF THE AUDIT COMMITTEE**

<b>Contents</b>	<b>Consent Agenda</b>
<b>Campus Community Police Service – 2015 Annual Report</b>	<b>Yes</b>
<b>Western Office of the Ombudsperson Annual Report 2014-15</b>	<b>Yes</b>

**FOR INFORMATION**

1. **Campus Community Police Service – 2015 Annual Report**

See [Annexes 1\(a\) and 1\(b\)](#).

2. **Western Office of the Ombudsperson Annual Report 2014-15**

See [Annex 2](#).

**FOR INFORMATION**

# Campus Police, Audit Committee Report

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## **Supporting a Safe Campus**

Western University is deeply committed to campus safety and security. With a staff complement of twenty-one special constables, Campus Community Police Service provides twenty-four hour service to the students, faculty and staff of Western main campus, Brescia, Huron and King's College, along with the three research locations.

### **Emergency Operations and Communications**

Campus Police provides leadership and Incident Command during major incidents. Severe weather is constantly monitored in conjunction with Environment Canada. Emergency notifications occur through a number of means such as social media and building communication systems. Each year an emergency exercise tests our emergency response capabilities.

### **Technology**

Utilization of iPad technology continues to be a valuable tool to connect Campus Police officers with the records management system. The iPad has numerous capabilities such as the ability to capture statements, photos, video and FaceTime with supervisors. It is also being tested as a cruiser in-car camera system.

Tablets have also been provided to the London Fire Department. The tablet is loaded with fire plans and building plans for all buildings on Campus. This allows the responding fire unit to have access to the building layout while en-route to the scene with the most recent, accurate data. The alternative is to place a hard copy plan in a secure container at each fire panel across Campus. Maintaining up-to-date hard copies would be very expensive and difficult to maintain.

### **Volunteers**

Foot Patrol and Building Evacuation Team volunteers continue to significantly contribute to the Safe Campus environment. Foot Patrol provides safe escorts for many students in a high visibility capacity. They also perform valued ongoing checks of the emergency blue phone system and lighting on Campus. Each campus building has identified staff to perform the duties of a Building Evacuation Team (BET). They play an essential role, by ensuring prompt evacuations during alarm situations. Their enthusiasm and involvement is also a valued communication network for emergency services. The manager Fire Safety meets semi-annually with BET's to ensure that they are updated with current emergency information and expectations.

### **Communications Centre**

The Communications Centre provides vital 24-hour services to the Campus for 911, alarm monitoring and video monitoring. The Communications Centre dispatches officers to all alarms and incidents. In addition, the Communications Centre is the afterhour's point of contact for all incoming enquiries to Campus, which can range from law enforcement queries to assistance to students on field trips in foreign countries on any continent.

Upgrades to the Communications Centre are being planned to provide an ergonomically improved working environment and also the capacity to monitor fire systems remotely. This is particularly important should there be a requirement to vacate the Communications Centre during a building emergency.

### **Safe Campus Advisory Partners (SCAP)**

SCAP is a committee that meets on a monthly basis to review the more significant safety related incidents that have occurred on Campus. The committee is chaired by the Director, Campus Police and is comprised of professionals from Legal Services, Housing, Registrars Office, Graduate Studies, Student Development, Health Services, and Human Resources. Incidents are reviewed to determine appropriate response and/or trends. In the event of a specific serious incident, appropriate representatives from SCAP will be assembled to determine a plan of action

SCAP will also address emerging issues or request new strategies for pro-active measures as required. An example would be the updating of the sexual violence policy and procedures. SCAP will provide guidance and leadership to the subcommittee as required.

During the past year, SCAP has support the development of the Sexual Violence policy. A subcommittee has been implemented to address sexual violence prevention and education.

### **Mental Health**

The number of mental health incidents continues to rise each year. This is an issue shared by all police agencies and health care professionals. The development of a mobile crisis team in London has assisted Campus Police on several occasions. The amount of time involved in these incidents is challenging as each incident requires the dispatch of two officers and most often for a minimum two-hour period.

### **Accreditation**

Campus Police continues to be the only accredited campus police service in Canada. The commitment to the accreditation standards ensures that Campus Police at Western provides professional community policing service. The re-accreditation process occurs every four years. Campus Police is scheduled for re-accreditation in the spring of 2016.

### ***John Carson***

Director

Campus Community Police

Phone 519-661-4010

email – [jcarso8@uwo.ca](mailto:jcarso8@uwo.ca)



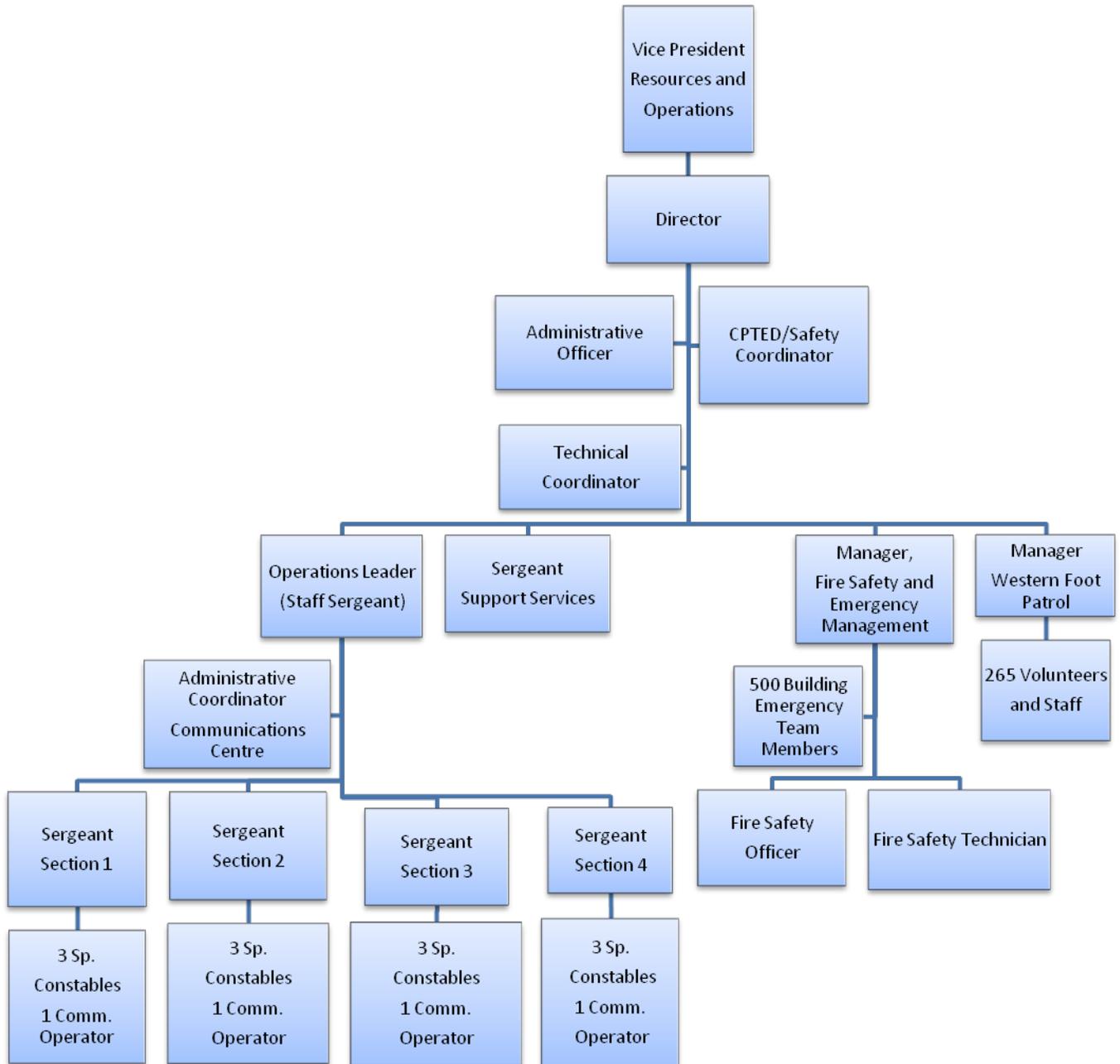
### **Attachments**

Unit Structure

Safe Campus Initiatives

Emergency Structure

## Campus Community Police – Structure 2016

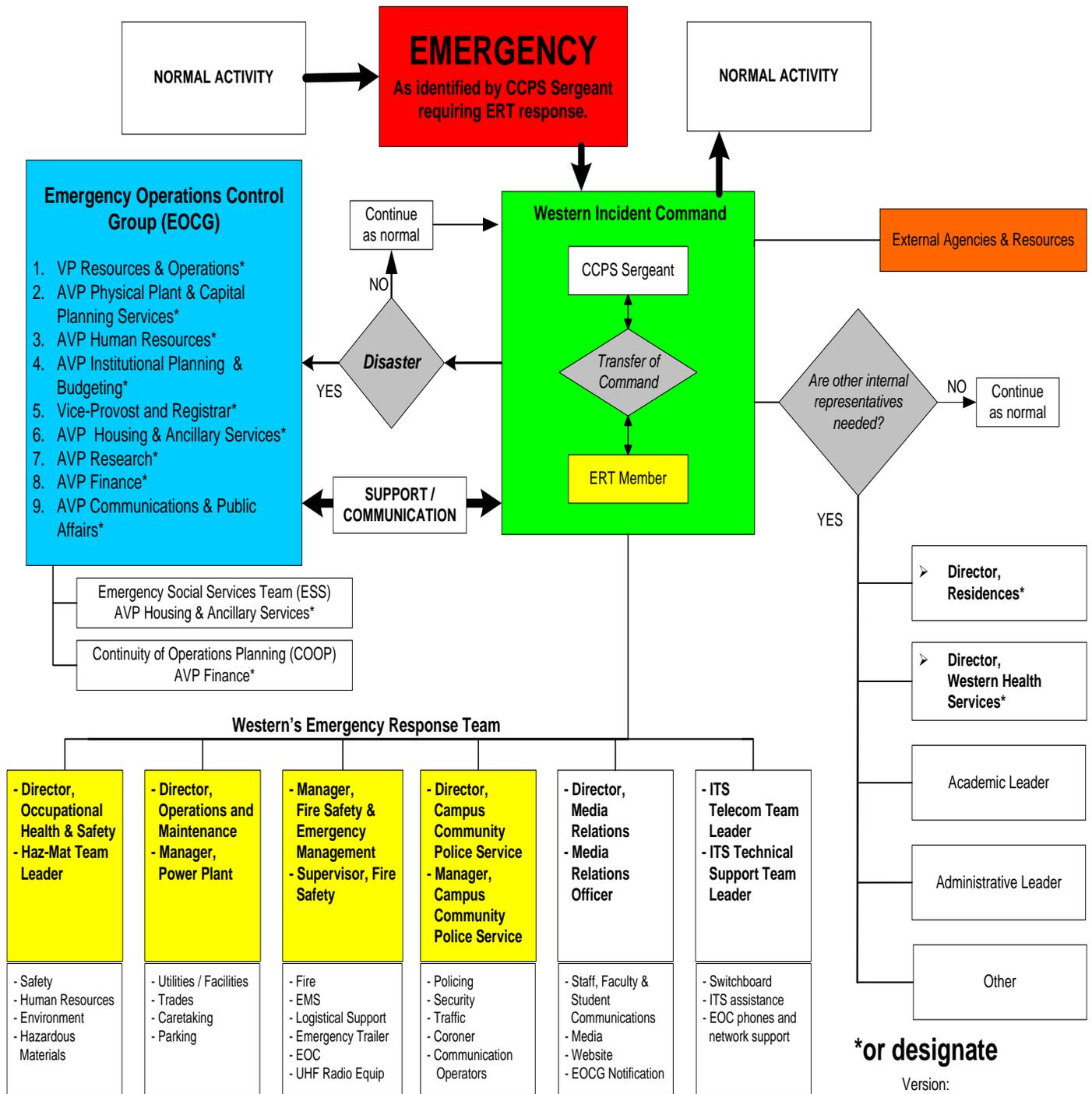




## Safety Initiatives on Campus

<p><b>1. Risk Management Program</b></p> <ul style="list-style-type: none"> <li>i) Safe Campus Program</li> <li>ii) Business Continuity plan</li> <li>iii) Pandemic plan</li> <li>iv) Social Services plan</li> <li>v) Bomb Threats plan</li> <li>vi) Hazardous Materials</li> <li>vii) Bio Safety</li> <li>viii) Fire Safety plans</li> <li>ix) Emergency Response Plan</li> </ul> <p><b>2. Campus Community Police Service</b></p> <ul style="list-style-type: none"> <li>3. 911 System – LPS Integration</li> <li>4. Use of Force (Special Const.) training</li> <li>5. ERD (Emergency Rapid Deployment) trained special constables</li> <li>6. Tactical Officers training (LPS &amp; OPP)</li> <li>7. CPTED/Safety Coordinator</li> <li>8. CPTED/Safety training &amp; reviews</li> <li>9. Emergency Management Coordination</li> <li>10. BEM (Basic Emergency Mng.) training</li> <li>11. Crowd Management (protests) training</li> <li>12. Vulnerability Screening (Police Checks)</li> <li>13. Traffic Management Program</li> <li>14. Security Guards integration program</li> <li>15. Graffiti Eradication Program</li> <li>16. Emergency Blue Phones (21)</li> <li>17. Laptop Engraving Program</li> <li>18. Residence Liaison Program (RLO)</li> <li>19. Alarms Systems (1,500)</li> <li>20. Scout Security Alarm System</li> <li>21. Access Control Program (Cards &amp; Keys)</li> <li>22. Code of Student Conduct</li> <li>23. Controlled Goods Program</li> <li>24. Video Monitoring Policy/ Program</li> <li>25. Traffic Management</li> <li>26. Incident Command Training</li> </ul>	<p><b>27. Emergency Response Team (ERT)</b></p> <ul style="list-style-type: none"> <li>28. Emergency Operations Control Group</li> <li>29. Emergency Resp. Committee (ERC)</li> <li>30. Emergency Operations Centre (EOC X 2)</li> <li>31. E.M.O. training of ERT and EOCG</li> <li>32. Emergency Training exercises</li> <li>33. P/A integrated with Fire Systems</li> </ul> <hr/> <p><b>34. Fire Safety Department &amp; Protocols</b></p> <ul style="list-style-type: none"> <li>35. Fire Watch Program</li> <li>36. Fire Safety training</li> <li>37. BET (building emergency teams)</li> </ul> <hr/> <p><b>38. Foot Patrol (Safe Walk)</b></p> <ul style="list-style-type: none"> <li>39. Working Alone Program</li> <li>40. Lighting Surveys (monthly)</li> </ul> <hr/> <p><b>41. OHS – Radiation Program</b></p> <ul style="list-style-type: none"> <li>42. Controlled Goods Program</li> <li>43. HazMat Team</li> <li>44. Confined Space Rescue Team</li> <li>45. OHS Committees (JOHSC)</li> </ul> <hr/> <p><b>46. Equity and Human Rights Services</b></p> <ul style="list-style-type: none"> <li>47. Discrimination and Harassment Policy</li> <li>48. Women’s Safety Committee</li> <li>49. Respectful Campus Program</li> <li>50. Counselling Services – Internal</li> <li>51. Employee Assistance Program (EAP)</li> <li>52. Ombuds Services</li> </ul> <hr/> <ul style="list-style-type: none"> <li>53. Student Emerg. Response Teams (SERT)</li> <li>54. ITS Security (Cyber Safety)</li> <li>55. Residences Code of Behaviour</li> <li>56. Roof Access Program</li> <li>57. Communications Team</li> <li>58. International Travel Support</li> <li>59. Border Crossing Protocol (USA)</li> <li>60. Affiliated Colleges Emerg. Integration</li> </ul>
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# Western's Emergency Response Process

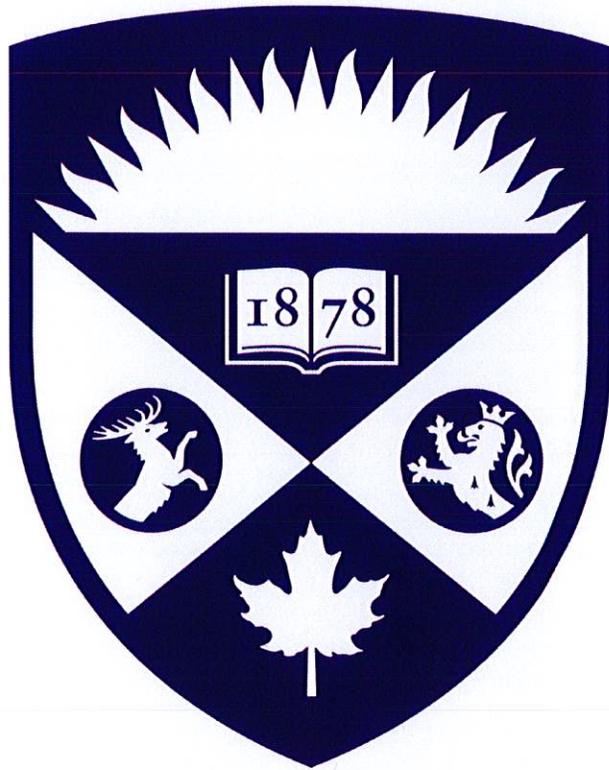


# Campus Community Police Service *Annual Report*



2015





**Western**  
UNIVERSITY • CANADA

## From the Director



Campus safety at Western is the collaborative effort of all our partners who ensure the wellbeing of students, staff, and faculty. Once again, I am pleased to share a few highlights of the activities that have occurred during this past year. The Campus Community Police Service (CCPS) is a 24 hour, seven day per week operation that includes the services of Campus Police, Fire Safety and Emergency Management, Foot Patrol and over 700 volunteers.

During 2015, the Campus continued to grow with the renovations of Delaware Hall, Music and the Nursing/FIMS building under construction. Mental health incidents continued to require significant time from our Special Constables, Student Health, Student Development Centre, Housing personnel and the Student Emergency Response Team (SERT). Special events such as Mustang Football and Homecoming also required specific attention and a partnership with London Police Service to ensure the large number of participants and spectators enjoyed the events in safety.

Campus Police had the privilege to co-host the annual OACUSA (Ontario Association of College and University Security Administrators) Conference with Fanshawe College. High calibre speakers from across North America, addressing timely issues impacting post-secondary institutions, provided a unique learning opportunity for OACUSA members and Campus Police staff.

I would like to acknowledge our colleagues with London Police Service. Their ongoing professional support of Western University through training and daily operations is very much recognized and appreciated. It is a pleasure to congratulate Chief John Pare on his appointment. Chief Pare is a highly respected police leader. We look forward to working closely with Chief Pare and his leadership team to achieve mutual success.

Our many Campus partners such as Students Council, Housing, Facilities Management, our Affiliated University Colleges, to name but a few, are always prepared to provide the necessary support to address issues for the benefit of the entire Campus community. It is this continued partnership that ensures that Campus Safety remains a priority for all who work, study and enjoy Western University.

Campus Police makes every effort to understand the current and potential future challenges that we may face. The delivery of a service of excellence will require a focus on emerging issues to be well prepared and positioned for the challenges ahead.

We hope you will enjoy reading about our 2015 activities in our Annual Report.

Thank you,

John Carson

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## Goals and Objectives

### **Pursue Best Practices**

1. *Development and maintenance of Community Partnerships to ensure positive relationships, open communications, mutual respect and public confidence*
  - a. Sustain honest, supportive and respectful community leadership
  - b. Interact in a proactive & non-judgmental manner with students, staff and faculty
  - c. Accept responsibility for personal actions and outcomes

### **Discover and Develop Talent**

2. *Continuous development of staff to provide opportunities for individual growth and ensure best practice in service delivery*
  - a. Exceed community expectations in collaboration and service delivery
  - b. Build excellence in learning, team consistency and supervision
  - c. Complete thorough, timely and professional investigations

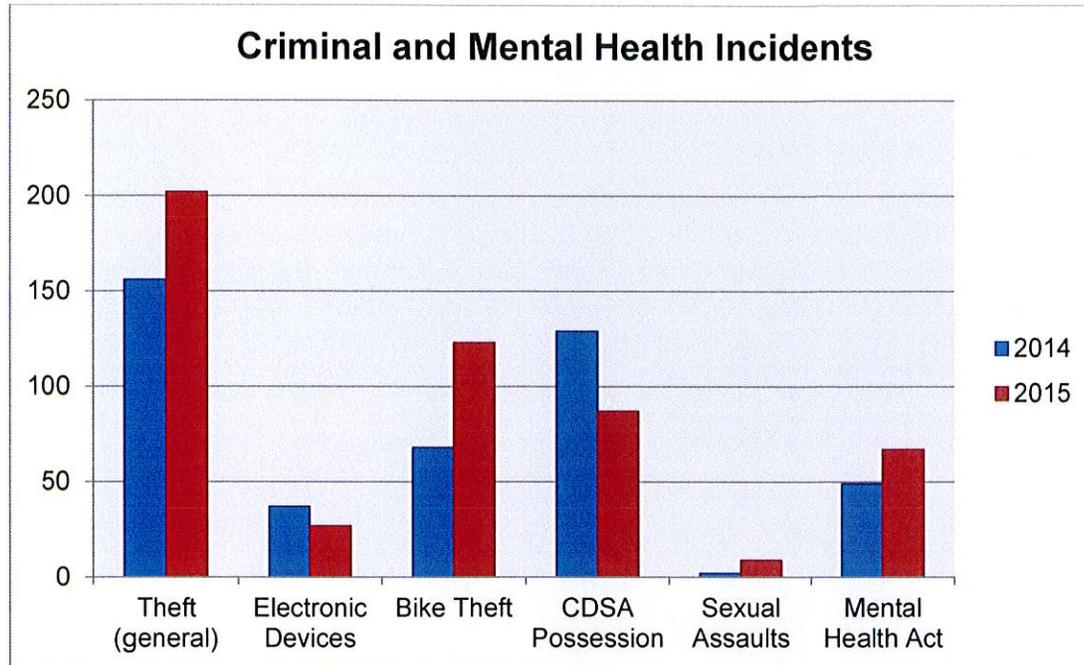
### **Align and Integrate Business Process to Better Serve Clients**

3. *Development and implementation of preventative safety and security strategies to protect people, their property and university assets*
  - a. Engage in problem solving to improve safety, security & community confidence
  - b. Listen to concerns, assess risk, analyze hazards, anticipate problems, and develop solutions in consultation with stakeholders
  - c. Assist in community protection education and individual responsibilities

### **Strengthen Opportunities for Interaction and Shared Understanding of Roles and Goals**

4. *Enforcement to ensure a safe community and compliance with legal obligations*
  - a. Involve the community in determining safety objectives
  - b. Develop strategic initiatives and actions in response to community concerns
  - c. Promote individual, public and OHS risk management strategies & outcomes

## Statistics and Occurrences



The specific cases noted on the graph notwithstanding, the overall criminal occurrences have been in steady decline to the point they were at their lowest point in 2015 than at any time in the last 11 years.

Although there has been a marked increase in bicycle thefts, it should be noted that Campus Police instituted a bicycle registration/U-lock program late in 2014. Participants who registered their bicycles with Campus Police received a free U-lock. 300 locks were issued. No bicycles equipped with a CCPS U-lock were stolen.

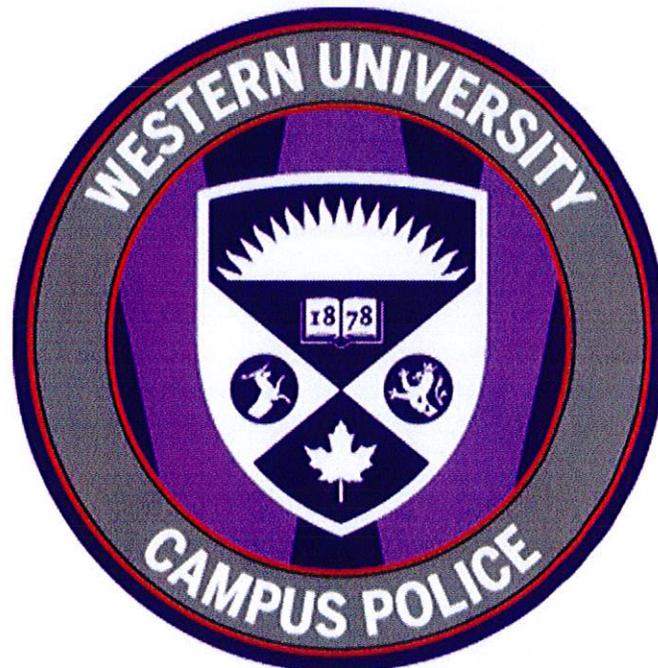
Campus Police works closely with the Sexual Violence Prevention and Education Committee to raise awareness and establish clear policies. Campus Police and the Safe Campus Advisory Partners participated in a Western forum "Consent and Compassion; Preventing and Responding to Sexual Violence at Western". The keynote speaker, Dr. Rachel Alicia Griffin is an anti-gender advocate and survivor.

Mental Health Act incidents are on the rise. Campus Police will continue to work with campus agencies to provide support to those in need.

## Provincial Statute Offences

	2014	2015	+/-
<b>Liquor Licence Act (LLA)</b>	78	68	-13%
LLA Charges	41	47	
<b>Highway Traffic Act (HTA)</b>	36	27	-25%
HTA Charges	16	13	
<b>Trespass to Property Act (TPA)</b>	59	43	-27%
TPA Charges	20	13	
<b>Bylaw Offences</b>	46	29	-37%

There continues to be a significant decrease in provincial statute charges. CCPS officers attribute this decline to an increased presence in residences and at public functions.



## New Faces at CCPS

Melissa Grant came to Campus Police as a Police Communications Operator shortly after finishing the Emergency Telecommunications program at Fanshawe College. Melissa spends her off duty time with family and friends. She is an avid runner who gives back to the community by volunteering with the Dave Mounsey Memorial Fund and the Animal Rescue Foundation (ARF). The Dave Mounsey Memorial Fund is dedicated to the donation of life-saving defibrillators to public buildings in the name of fallen Law Enforcement, Fire, EMS and Military members who have died in the line of duty.



*Melissa in her "office" at Campus Police*

Special Constable Greg Vandenberg joined the CCPS family in July bringing four years of law enforcement experience with him. Prior to starting with Campus Police, S/Cst Vandenberg worked for the Ministry of Natural Resources as a Park Warden at the Pinery Provincial Park and was responsible for safety and security within the boundaries of the Park. He enforced Provincial statutes and assisted the Ontario Provincial Police with criminal investigations in the Park. Greg is a volunteer minor hockey coach during his off-hours.



*Greg is looking forward to serving the Campus community.*

## Behind the Scenes



*Sergeant Christine Greco is our CPTED Coordinator and one of our supervisors*

Sgt. Christine Greco began her career in Sault Ste. Marie, Ontario as an elementary school teacher then as a police constable with the Sault Ste. Marie Police Service. In addition to the two Bachelor degrees she holds, (Science and Education) Christine is also a Special Education Specialist and is one of our two Rape Aggression Defense (RAD) instructors. She joined the CCPS in 2010 as a patrol officer and became the CPTED Coordinator in 2013. Along with her CPTED duties, Christine is also the Freedom of Information and Protection of Privacy Act officer and a member of the Sexual Violence and the Facilities Management committees.



*Dianne has enjoyed her first year accepting the challenges of being the Communications Administrative Coordinator*

Dianne Myers began service with Campus Police as a Police Communications Officer in 2001. She arrived with a security background courtesy of her employment with Chubb Security. This experience was much appreciated as Dianne helped CCPS upgrade its alarm monitoring software. Over the years she developed her skills as a Communications Operator to the point where she was relied upon to train and coach her peers. In January of 2015, Dianne was successful in competing for the Communications Administrative Coordinator position. Dianne continues to work on her leadership skills by attending Western's Professional Certificate in Public Sector Management.

## Community Service

Campus Police are the custodians of found property and bicycles. Twice a year it is necessary to dispose of these unclaimed items by way of bicycle and property sales. The proceeds from these sales are deposited in a special fund. The accumulation of monies in this fund enables Campus Police to support many campus and London area charities. In 2015 a total of \$3750 was donated to 18 deserving causes. Some of these included: The Canadian Cancer Society, The Military Police Fund for Blind Children, Habitat for Humanity and the London and area Food Bank.



*CCPS staff present \$500 to USC Food Support Program*

*Director Carson presents \$100 to RCMP Inspector Andrew Cowan in support of Habitat for Humanity*



*Tracey Hill and Dianne Myers present \$500 to the Faculty of Social Science Syrian Refugee Program*

In addition to the behind the scenes community support, Campus Police were very visible at events such as the Platt's Lane annual BBQ.



*S/Cst Doug Rook shows a CCPS cruiser to enthusiastic admirers at the Platt's Lane BBQ*

Sgt. Christine Greco became certified as a Rape Aggression Defense (RAD) instructor in 2015. CCPS now has two certified instructors, as Sgt. Greco works alongside Sgt. Loreto Rossi in delivering this training to the campus community.



*The CCPS RAD training program continued in 2015. Several courses are scheduled for 2016*

## Director's Citation

On March 13, 2015, Mr. Arsenio Giron suffered a cardiac arrest while visiting the Western Campus Recreation Center. Facility life guards Kyle Emerson, Kaitlin Jack, David Ferguson and Matt Copeland immediately responded and initiated emergency medical treatment which included CPR and defibrillation on the unconscious Giron. Student Emergency Response Team (SERT), members Rachel Holloway, Jessica Asztalos and Daniel Yacoub along with Campus Police also responded. The SERT members relieved the life guards and continued the life saving efforts. Following a third defibrillation from an AED, Mr. Giron's vital signs returned. The Middlesex-London Ambulance service further stabilized Mr. Giron and transported him to hospital. The coordinated efforts of these medical teams saved Mr. Giron's life.

On September 15, 2015 an awards ceremony was held at the Recreation Center. A Campus Police Director's Citation was presented by Director Carson in recognition of the outstanding life saving efforts made by members of the lifeguard cadre and SERT. Also able to attend was a recovered and emotional Mr. Giron who wished to express his heartfelt thanks and appreciation.

This incident is a shining example of how the extensive, ongoing training these teams undertake pays off. Well done to all!



*Pictured at the Director's Citation Ceremony are from left: Matt Copeland, David Ferguson, Kate Jack, Kyle Emerson, Rachel Holloway, Mr. Arsenio Giron, Daniel Yacoub, Jessica Asztalos, Gitta Kulczycki (VP Resources and Operations), and John Carson (Director, Campus Community Police Service)*

## Harmony 10 Exercise

Western University's annual disaster exercise, dubbed Harmony 10, was held on Thursday May 14, 2015.

This year's scenario featured a catastrophic failure in the North Electrical Substation causing a prolonged power outage to the majority of buildings on the northwest quadrant of Campus.

Campus Police attended the scene as first responders and conducted a damage assessment. A medical component was included in the exercise, with two injured persons involved. Western's SERT team and Middlesex-London Ambulance Service acted in concert to treat these injuries.

This exercise also tested the performance of emergency backup generators. The Emergency Operations Control Group (EOCG) then addressed the long-term support needs and alternative operations measures raised by the extent of the power failure.

During the exercise minor communications issues were identified. Steps have since been taken to address those issues.



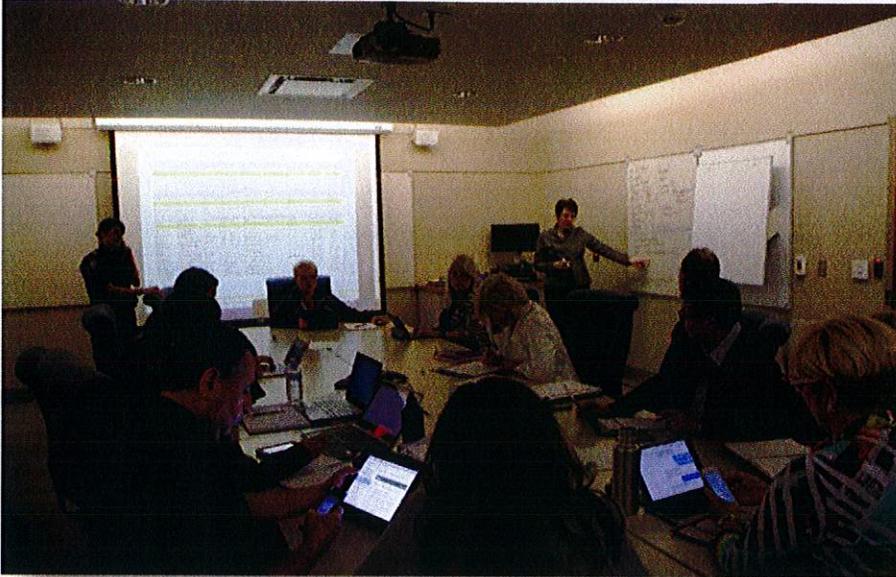
*Sergeants Austin, Hughes and Decher discuss police response*



*Facilities Management electrical expert Doug Johnson briefs Incident Command Group*



*First Response resources were coordinated from the CCPS Communications Centre*



*The EOCG worked to mitigate the emergency and keep Western operating*



*SERT's Emergency Response skills were put to the test with simulated injuries*



*The debriefing was invaluable in identifying strengths and weaknesses of existing plans*

This exercise served to demonstrate how seamlessly various units, such as Campus Police, Facilities Management, the EOCG, and SERT, work together to respond to a variety of emergencies and keep Western operating.



## Crime Prevention Through Environmental Design (CPTED)

The goal of CPTED is to increase individual awareness of surroundings and help develop an environment that ensures personal safety and security.

CPTED is based on four principles: natural access control, natural surveillance, territorial reinforcement, and target hardening. It is the revision and assessment of each principle, which reduces the fear of crime, the incidence of crime, and has made Western University one of the safest universities in Canada.

Since 2005, there have been 370 CPTED requests completed. This number grows annually due to new construction and reconfiguring existing spaces. In 2015, thirty-two reviews were completed.

*Sgt. Greco checks locking mechanism of a door as part of a CPTED review.*



The steps in a CPTED review include:

1. Engaging the support of key partners;
2. Identifying crime and problematic issues;
3. Analyzing design based on existing crime problems and potential criminal opportunities;
4. Developing preventive or corrective design options and actions for implementation;
5. Monitoring and evaluating how these options affect crime, surveillance, interaction, and territoriality.

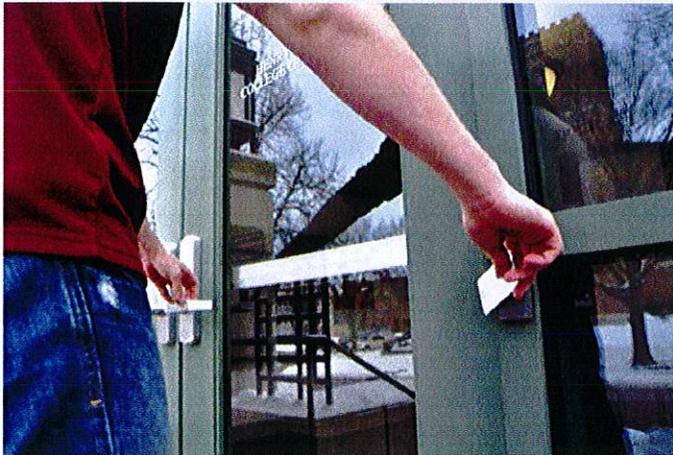
### **Card Access:**

Most of Western's 97 buildings have been upgraded to electronic card access. Card access allows entry into the building by authorized users. In addition to providing personal safety to individuals, it reduces the risk of property damage and theft. Prior to installing card access, the building must receive a CPTED review to ensure compliance with Western's standards. Campus Police monitor the appropriate use of the system and have the ability to remotely lock and unlock the facility in an emergency.

**Workplace Safety:**

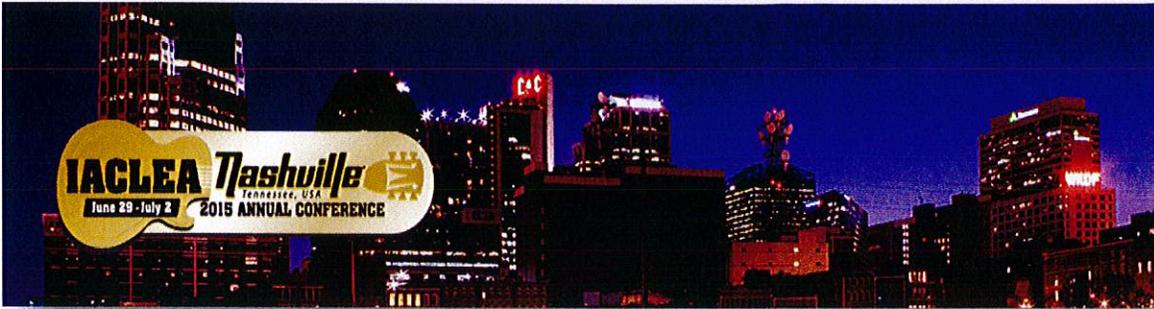
*Christine discusses Workplace Safety with a Western employee.*

Another important role of Campus Police and the CPTED Coordinator is to assist in ensuring a safe work environment for all of Western University's community. Should an individual have a specific safety concern or if safety concerns become evident during a CPTED review, the Coordinator will provide advice for safe operations and best business practices. If at any point, a member of Western's community feels unsafe, has safety concerns, or has any safety related questions, they are encouraged to contact Campus Police at any time.



*All perimeter doors at Western will eventually have electronic card access*

## Accreditation



Western is the only Canadian university to have a police service accredited by the International Association of Campus Law Enforcement Administrators, (IACLEA). As such, CCPS is a member in good standing of IACLEA having received a four-year re-accreditation in 2012. IACLEA holds an international conference every year. In 2015 the conference was held in Nashville TN from June 29 to July 2 and was hosted by Vanderbilt University. CCPS Director John Carson and Accreditation Manager Sgt. Bob McCormick attended as Western's delegates. They took advantage of the opportunity to network with other campus law enforcement professionals and to share best practices in campus safety and security.

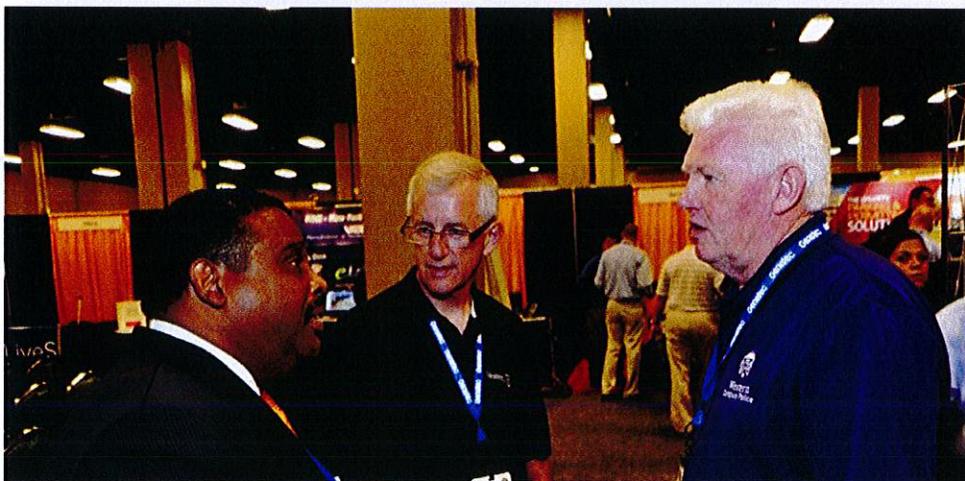
In addition to these opportunities, many workshops were held. Many relevant topics were presented. These included, "Managing Actual, Improbable Incidents on Campus", and Accreditation Manager training.



*2015 Conference Opening Ceremony*



*The contingent of Canadian delegates at the 2015 conference*

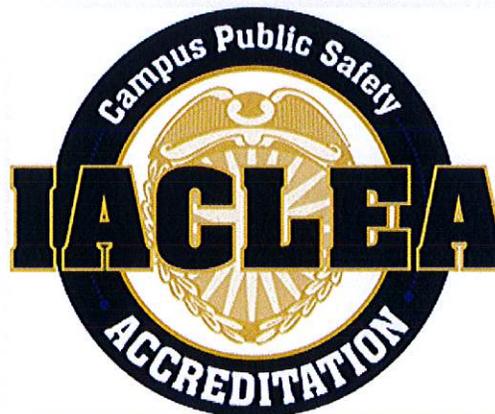


*From left, Vanderbilt University's Police Chief, August Washington discusses campus security with CCPS Director John Carson and Sgt. Bob McCormick*



*Delegates pay close attention in one of many workshops held at the Nashville conference*

In spring of 2016 Western's Campus Community Police Service will participate in its third accreditation process. This certification will confirm that CCPS adheres to the highest standards of professionalism and excellence, which are vital to the success of fulfilling its mission to protect students, faculty, staff, assets and the thousands of yearly visitors to Western University.

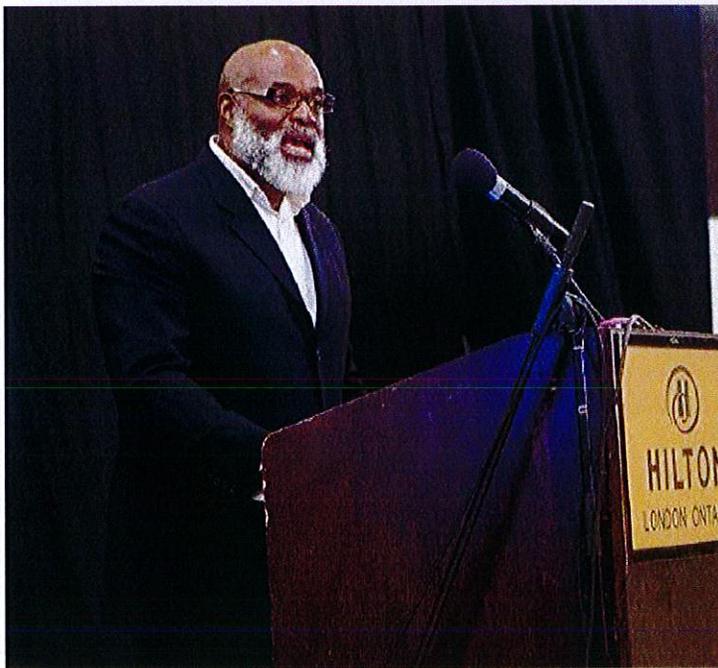


## Ontario Association of College and University Security Administrators (OACUSA)

Western's Campus Community Police Service and Fanshawe's Campus Security Services co-hosted the Ontario Association of College and University Security Administrators (OACUSA) 2015 annual spring conference from May 5 to 8.

The theme of this year's conference was "A View to Excellence". Organizers of the event seized upon the opportunity of having so many campus security professionals together to educate them on current issues impacting colleges and universities. Subject matter experts attended to give excellent presentations on very timely subjects such as "Managing student safety in a diverse world", "Investigating Sexual Violence", and "Improving Management of Suicidal Behaviour".

The conference had an international element with an excellent presentation by John P. Stone, Retired Sheriff, Jefferson County, Colorado. Mr. Stone spoke on "What really happened at Columbine".



*Jay Hope, Ph.D (Hons) B.A., O.O.M. was exceedingly qualified to deliver the Keynote address being a former Deputy Minister of Ontario's Correctional Services as well as a retired OPP Deputy Commissioner. Dr. Hope was also the Liaison Officer to the Task Force on Police Race Relations. Dr. Hope's presentation addressed "Managing Student Safety in a Diverse World".*



*Seated from left are Gitta Kulczycki, Western's VP Resources and Operations, John Carson, Director of Western's Campus Police, Sgt. Bob McCormick, Support Services Manager and Supt. Bill Chantler of the London Police Service.*

*The conference delegates were fortunate to have retired London Police Service Chief, Murray Faulkner as the moderator for the "Sexual Violence" presentations and panel discussions.*

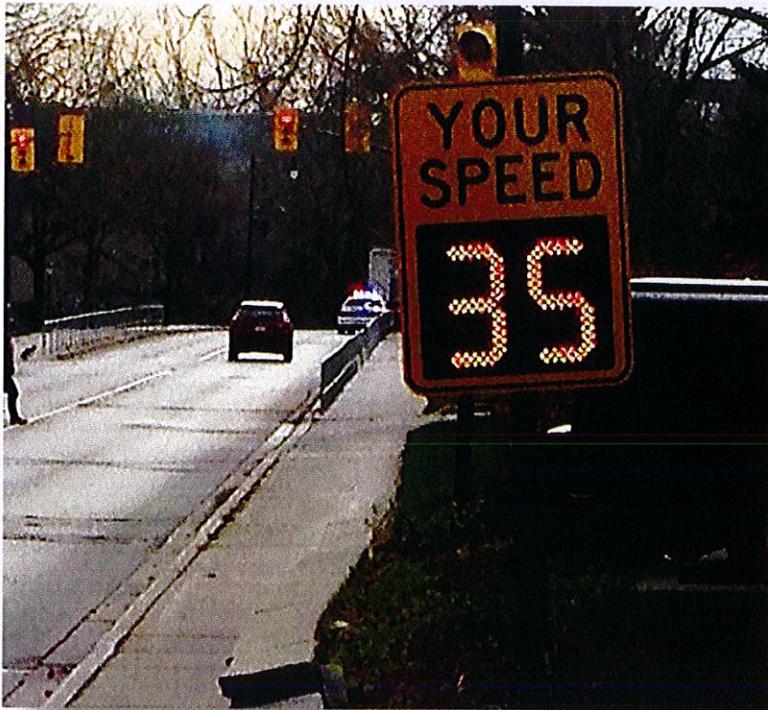


The planning of the 2015 conference began in the autumn of 2014. Many hours of hard work by the planning committee contributed to its great success.

## Transportation and Equipment

In the spirit of keeping at the forefront of police technology, and providing its officers with the best tools to perform their duties, CCPS is always open to testing new equipment. During the past year the department evaluated two motorcycles. One was a state of the art BMW police version, the other an all-electric motorcycle. Both machines performed exceedingly well and could be suitably deployed by CCPS in the future. Testing is not limited to vehicles or motorcycles. Campus police are currently evaluating the viability of using the Apple iPad as a dash mounted camera in one of its vehicles. When one of the police Crown Victoria cruisers became unservicable due to age, it was replaced by a Ford Taurus specifically manufactured for police service. 2015 also saw the two police mountain bikes receive new colors and decaling.

Campus Police improved its "Speed Watch" program by purchasing an advanced Speed Monitoring Board. This Speed Watch board is equipped with energy-efficient LED lights and will be found at strategic points around the campus on any given day.



*New all-weather Speed Watch board at work on Perth Drive.  
A violator can be seen stopped in the distance by a CCPS officer*



*A CCPS mountain bike in its new livery*



*CCPS took delivery of a 2015 Ford Taurus Police Interceptor*



*Sgt. Ryan Austin puts the 2015 BMW R1200RTP through its paces*



*CCPS also tested an all-electric motorcycle, seen here doing duty at a Mustangs football game*

## Fire Safety and Emergency Management

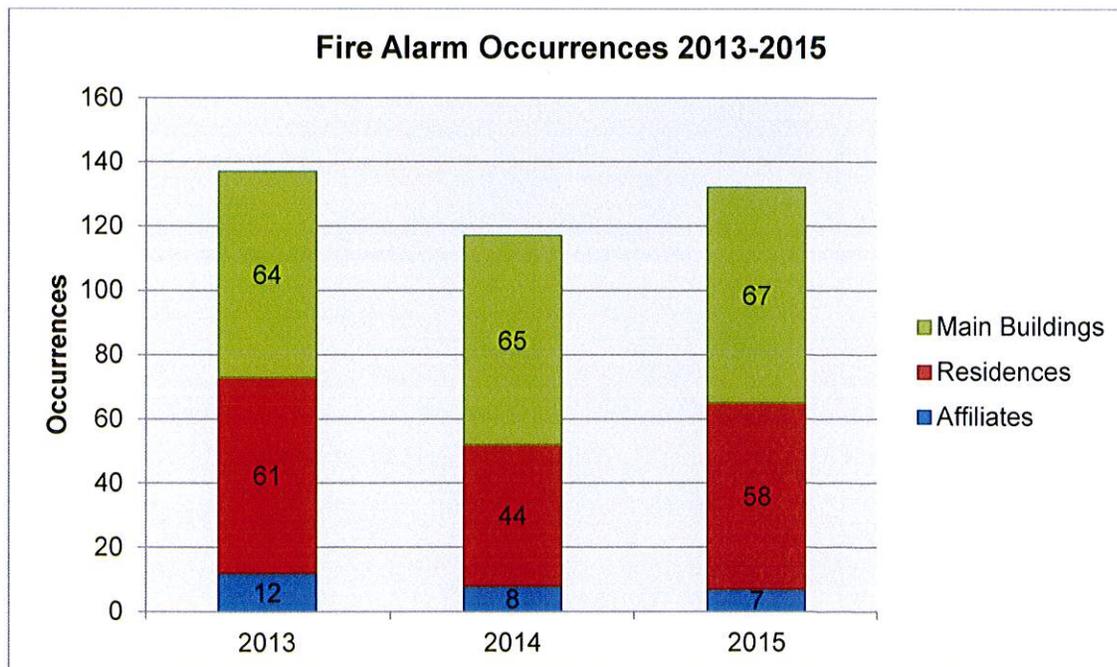


2015 was another busy and rewarding year for the Fire Safety & Emergency Management (FSEM) Department. In addition to testing, inspecting and maintenance of fire alarm systems, and with the assistance of Co-Op summer students, FSEM was involved in several training and educational endeavours this year.

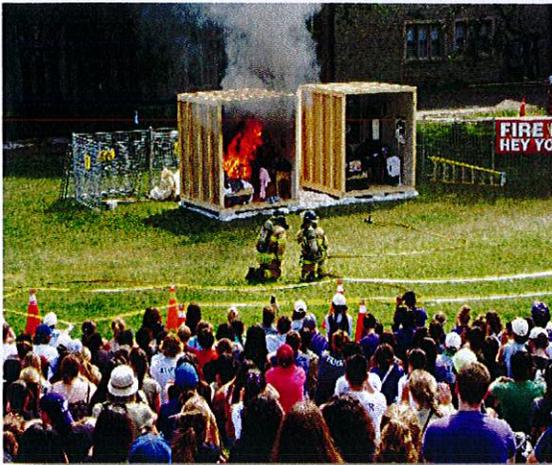
The total number of alarms increased from 117 in 2014 to 132 in 2015. There were 19 fire-related alarms in 2015, a decrease from 27 in 2014. Most fires were minor and related to cooking.

In November an incident at Western Sciences Centre required a coordinated Hazmat response from Western’s Hazmat team and London Fire Services. The incident was controlled in an organized, cooperative and professional manner. No injuries or damage occurred.

The number of accidental fire alarms caused by contractors rose from 11 to 14. The many construction and renovation projects carried out account for this increase. FSEM continue to work with the Project Managers and individual contractors to prevent false alarms.



The yearly "Live Burn" demonstration was held on the hill behind Talbot College in September.



Two mock dorm suites were furnished with lost & found and discarded items. The purpose of the demonstration is to educate students about the reality of fires in residence, how to prevent them, and what to do if a fire occurs. We also educate students on the use of fire extinguishers. This year's event was observed by all of the first-year students on campus during two separate burns.



In 2015 FSEM replaced our aging service vehicle with a Ford F-150. This new vehicle will allow us to better haul our equipment and provide our services in a safe and efficient manner.



## Western Foot Patrol

Foot Patrol is a volunteer student-driven safety service that provides a variety of supportive safety services to Western and the affiliated University Colleges. Co-ed volunteer teams provide safe-walk and work-safe programs as well as lighting inspections and Blue Emergency phone checks. We have been very appreciative in attracting upwards of 250 student volunteers each year to the 'Foot Patrol' program.

### Safe Escorts



Volunteer teams provide safe escorts at Western, Brescia, Huron and Kings University College campuses and to some off campus locations near the University. Our co-ed teams will wait with customers at a bus stop, ensure they reach their car safely in campus parking lots, and escort students to their residence or any building on campus. The Western Foot Patrol SUV complements our walking teams and is used for longer escorts and on high-volume evenings. Each school year, Foot Patrol provides approximately 2,000 safe escorts.

### Deterrence

Teams help deter crime through visible patrol. Any criminal or suspicious behaviour or event is reported to Campus Police. Examples of matters that are reported include erratic driving, heated arguments, and suspicious persons around a building.

### Work-Safe

Foot Patrol operates the Work-Safe Program in conjunction with Campus Police. Staff members working alone and late at night can call and set "check in" times while they are at work so someone knows where they are. If customers fail to check in at the scheduled times and cannot be reached, Campus Police are dispatched to check on their welfare.



### Lighting and Blue Phone audits

Foot Patrol conducts weekly audits of the emergency blue phones on campus. General lighting safety audits are completed monthly and include streets, pathways and parking lots. Audits are then submitted to the Facilities Management electrical shop for review and repair.

### Special Events

Our Annual Used Book sale was held in March in the UCC Atrium as a fundraiser for Foot Patrol. Books were generously donated by members of the London and Campus Communities and sold to raise approximately \$2,000 for the program. These proceeds were directed towards support of the program as well as the Annual Volunteer Banquet.

### Volunteer Banquet

Foot Patrol strives to appreciate and thank our tremendous volunteers in various ways throughout the year. Weekly draws for volunteers are held along with refreshments in the office, reference letters and of course a heartfelt 'Thank You'. Formally, appreciation is celebrated at our Annual Volunteer Banquet at the Great Hall in the spring. This past year, the theme for the banquet was "007 Casino Royale".



## Training and Development

Campus police ensures our officers are kept up to date with physical tactics. They receive in-service training locally and with London Police Service (LPS) dealing with current issues impacting police work.



*Three CCPS officers attended the Front Line Supervisors Course at the Ontario Police College in Aylmer*



*All Campus Police officers re-qualify in Use of Force Options with LPS annually*

In partnership with Indigenous Services (IS), Western's Campus Police hosted two cultural awareness sessions for its staff members in 2014-15. These sessions aimed to educate Western's campus police officers about Indigenous student needs, histories, cultures and build community relations on campus. IS's presentation also shared information about common cultural practices happening on-campus including acknowledging territory and smudging, which is the burning of sacred medicines' such as tobacco, sage, cedar, or sweetgrass to cleanse and purify one's self. Smudging is a common practice among Indigenous peoples in general, and within the Indigenous Services space on-campus.



*From left are the staff of Indigenous Services: Amanda Myers, Sean Hoogterp, Mandy Bragg, Kelly Nicholas, Erik Mandawe, Candace Brunette-Debassige, and Genevieve Fisher*

*Smudge pot and hand drums*



## Personal Safety

1. **Walk/ Wait with** a friend, with Foot Patrol, or near a group of people. Stay in well-lit high traffic areas.
2. **Be aware of your surroundings.** Keep your head up, as this will project confidence. Walk with alertness and this will enable you to view your surroundings, identify a potential problem or possibly an assailant.
3. **Be alert.** Keep your personal belongings, such as a laptop close by and secure; log serial numbers and photograph valuables.
4. **Avoid travelling alone including receiving a ride with a total stranger. Please ensure you have a friend when accepting rides.**
5. **If you feel that your safety is threatened, seek** immediate assistance from a business or school nearby or any place that you can reach safely. To prevent a possible reoccurrence or potential risk to others, notify the police of the incident.
6. **Keep in mind that anything you carry could be used as a weapon** and may be taken away and used against you. If confronted, do not introduce any object into the scenario. Personal safety alarms are a benefit, if they are heard.
7. **Communicate your schedule with your family and roommates.** A phone call saying you will be late will prevent unnecessary worrying. People care about you – be considerate.
8. **Be extremely cautious** of divulging any personal information on 'Social Media' or to strangers.
9. **Educate yourself on how to prepare for any circumstance.** You can never prepare yourself for every eventuality, but knowledge is a tool that will contribute to safety awareness.
10. **Trust your intuition.** If a situation or person makes you feel uncomfortable for whatever reason, go with your feelings. Immediately remove yourself from the area or person. Remember not to leave any beverages unattended.
11. **Arrange** for snow shovelling & don't let newspapers pile up outside when you are away.
12. **Plan ahead** if alcohol will be part of your evening. Arrange for a ride home ahead of time. Please don't drink and drive.



***SAFETY IS A SHARED RESPONSIBILITY***



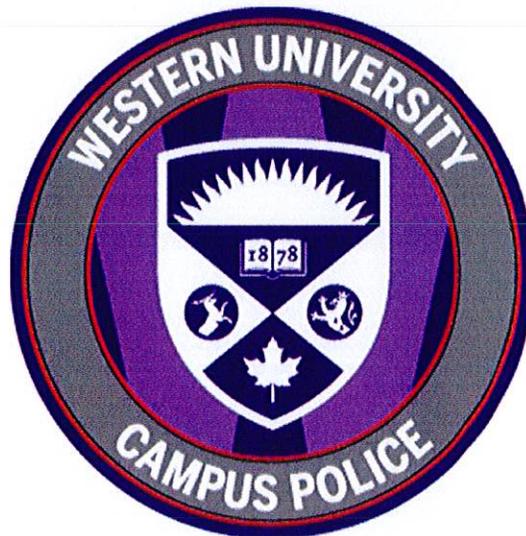
*Western has 24 "Blue Phones", placed at strategic locations throughout the campus, which provide emergency communications.*

## Conclusion

The Campus Community Police Service (CCPS) is progressive in embracing opportunities through community partnerships, effective leadership and individual responsibilities.

The CCPS supports Western's mission of 'providing the best student experience among Canada's leading research-intensive universities'. In meeting this objective CCPS will continue to work closely with Western's stakeholders and the broader community to ensure best outcomes for students, faculty, staff and visitors. The on-going support of the University Administration has been excellent and is very much appreciated by our staff.

We are committed to excellence in professional standards, personal development, community partnerships and activities contributing to safety, security and quality of life in the diverse university community at Western.



# Office of the Ombudsperson

Annual Review  
2014/15

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



OFFICE OF THE **OMBUDSPERSON**

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# Highlights of the 2014/15 year

**E**ach Fall, the Office of the Ombudsperson presents a report to the University community outlining the Office's case load and activities. I am pleased to present my sixth annual report as Ombudsperson at Western University, covering the period August 1, 2014 to July 31, 2015.

It was a productive year for Associate Ombudsperson Anita Pouliot, the Office of the Ombudsperson Advisory Committee, and myself. Our priorities were to clarify our role in academic integrity education on campus; review the mission of the Office of the Ombudsperson in student success; and redesign the Office web site.

## Academic integrity

In early January, Chair of the Office of the Ombudsperson Advisory Committee Dr Dan Shrubsole, USC VP Internal Emily Addison, and I met with Vice Provost Dr John Doerksen to discuss academic integrity initiatives at the University. The Ombuds Office has always believed the University needs to take an active, centralized role in educating students about why honesty is important in their academics and how students can ensure they are conducting themselves with integrity. The introduction of the School of Graduate and Post Doctoral Studies mandatory academic integrity quiz and the Western 1010 academic integrity module for first year students are steps in the right direction.

Subsequent to our meeting, Western's administration assigned a University staff member to be the official representative on the Council of Ontario University's Academic Integrity Council of Ontario (AICO). With a centrally appointed AICO contact, Western's Ombuds Office has taken a step back from academic integrity education and I am hopeful that by attending AICO meetings, Western representatives will be inspired to replicate initiatives at other institutions.

## Renewed mission

In our 2012/13 report, I stated "We're all in this together. Faculty, administrators, students, staff -- we're all contributors to student success." During the 2014/15 year the Advisory Committee and Ombuds staff worked on a descriptive phrase for the Office that clearly states the role the Office plays in student success. That phrase is on the front cover of this year's report: *Preparing students to prevent, manage, and resolve difficult situations*. This phrase is adapted with permission from the University of Washington's Office of the Ombudsperson. We don't solve students' problems. Instead, we help students develop tools they can use to solve an immediate concern and will be able to use in the future.

## Website

A highlight this year was the redesign of the Office web site and the introduction of a social media presence for the Ombuds Office. Fourth year Media, Information and Technoculture (MIT) student Taylor King took on these projects for us, going above and beyond the initial task. Our site includes the important information it always has regarding Western's policies, appeals, and deadlines, but now follows the Western brand and includes an appointment request form, making it easier for students to get in touch with us. We hope our new Facebook and Twitter presence spreads the word about our services and provides useful information about conflict management and activities on campus that promote student success.

## Going forward

The 2015/16 year will build on the work that this office has been doing for over 30 years. From a reporting standpoint, we will continue to evolve the annual report ensuring transparency in the classification of cases we are seeing but also making sure data is easily understood. Anita Pouliot and I will also continue to reach out to students and establish the role our office can play in their success. In January 2016, Ombudsman Ontario will begin accepting complaints about universities. Our Office has already begun working to ensure there is no confusion over who students can go to on campus to get advice on their concerns.

I hope you enjoy reading this look at our operations over the 2014/15 year and encourage you to contact me if you have information you'd like to see in future reports.

Jennifer Meister  
Ombudsperson, Western University  
jmeiste@uwo.ca  
519-661-3573 or on campus ext. 82602

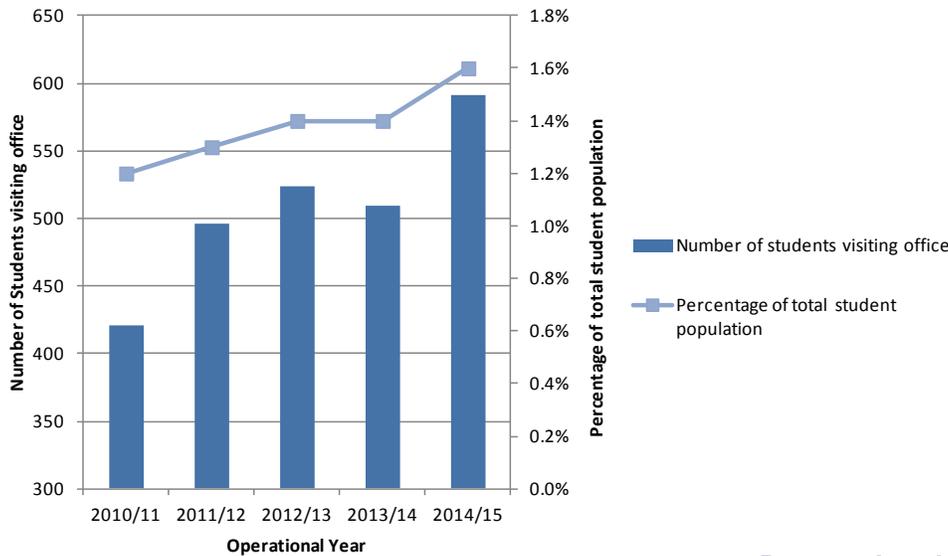
# Supporting Students

Associate Ombudsperson Anita Pouliot and I guided students through 591 concerns during the 2014/15 year, representing 1.56 percent of the total student base (including graduate, undergraduate, main campus, Brescia, Huron, and King's University Colleges). The percentage of student population visiting the Office has increased gradually over the past five years, from 1.2 percent in 2010/11. This is in line with other university and college Ombuds offices. We market our services to students through events, online media and paper advertising to name a few vehicles. We also have good working relationships with student groups and associate deans and vice provosts who often refer students in difficulty to our office.

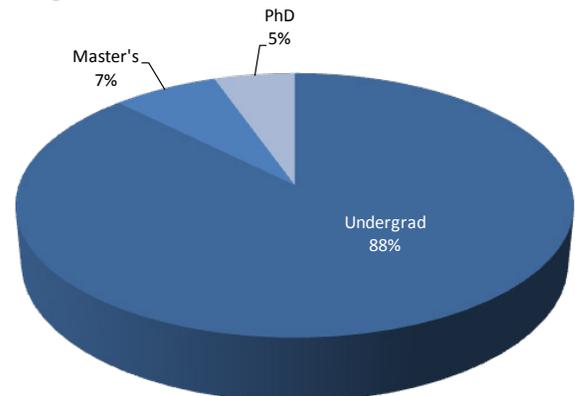
Of the 591 student visitors to the Office of the Ombudsperson in 2014/15, 518, or 88 percent, were undergraduate students from main campus or one of the Affiliated University Colleges. Forty one students, 7 percent, were Master's students; and 32 students, 5 percent, were PhD students. Students from professional programs such as Medicine and Law are included in the undergraduate calculation.

## Student visitors over time

(Please note that the scale showing the number of students visiting the Ombuds Office starts at 300.)



## Degree level of student visitors



# Academic Data

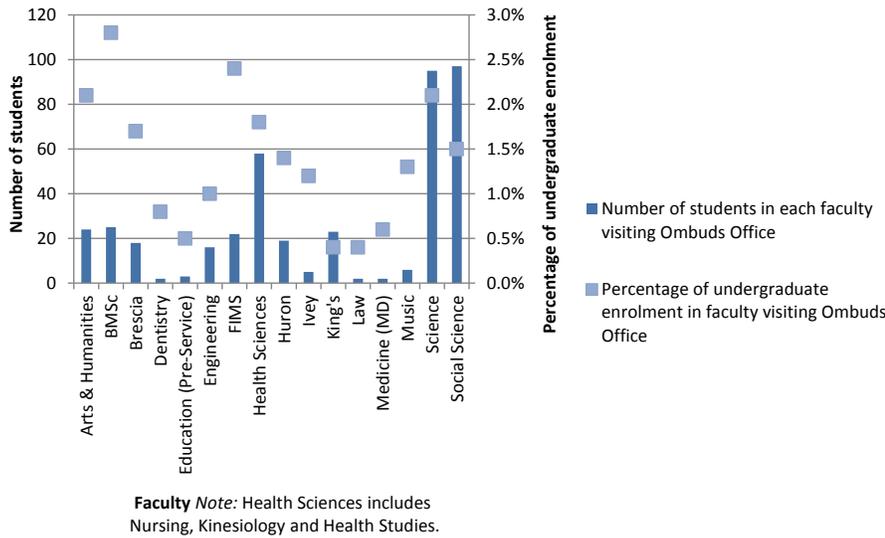
## Undergraduate Students

Below, we illustrate the number of undergraduate students visiting the Office of the Ombudsperson in two ways. The first graph is the number of students from each faculty that we provided service to in the 2014/15 year. For example, a student in Social Science may visit us about a concern in Residence. The second is the number of students who raised concerns about a specific faculty. For example, a Science student may raise a concern about a course they are taking in Arts and Humanities.

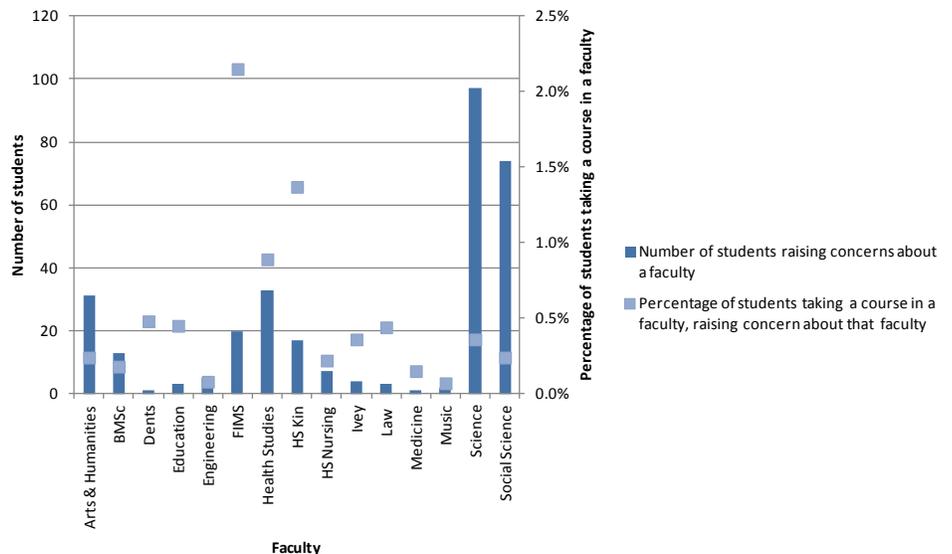
Note that Brescia (15 concerns), Huron (14 concerns), and King's (19 concerns) are not included on this graph because the number of students taking their courses is no commonly available. Also, there were four concerns raised regarding Continuing Studies courses and 39 concerns raised regarding undergraduate courses where the student did not identify the faculty.

For a comparison to past years, please look at previous annual reports on the Ombuds web site at: <http://www.uwo.ca/ombuds/reports/index.html>.

### Undergraduate Students Per Faculty of Enrollment



### Undergraduate Students Per Course Faculty



## Undergraduate Concerns - Academic and Financial

The following chart illustrates the academic concerns that were raised by the undergraduate students who visited the Office of the Ombudsperson. For the written report, we are providing a high-level view. For a breakdown within each category, please visit the Ombuds web site: <http://www.uwo.ca/ombuds/reports/index.html>.

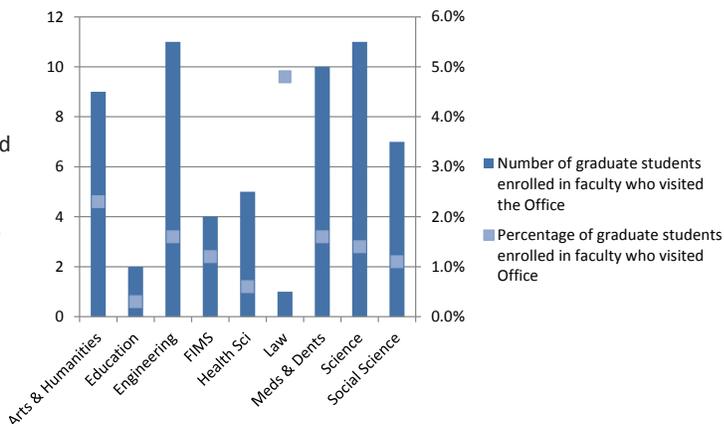
Category of Concern	Occurrences	As a % of total undergraduate occurrences
General academic related (other than appeals)	181	42%
Administrative procedures (other than ac appeals)	171	40%
Scholastic appeals	65	15%
Financial	11	3%

## Academic Data Graduate Students

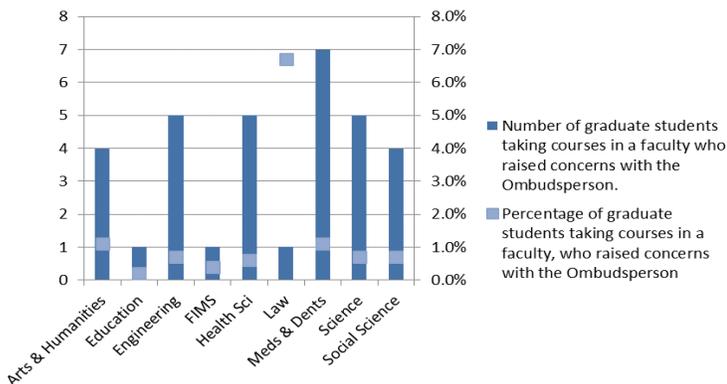
Seventy three graduate students (PhD and Master's) visited the Office of the Ombudsperson in 2014/15 regarding 81 concerns. The area of most concern was supervision at 17.8 percent of concerns raised by graduate students coming to the Office. Progression concerns -- which sometimes can be linked to supervision, were raised 12 percent of the time. It should be noted that no graduate students approached the Office with scholastic offense queries during the 2014/15 year. For a comparison to other years, please visit <http://www.uwo.ca/ombuds/reports/index.html>.

### Graduate Students per Faculty of Enrollment

Although graduate students are all enrolled in the School of Graduate and Post Doctoral Studies, we record their disciplinary faculty when they visit the Office of the Ombudsperson. The graph at the right shows the number and percentage of PhD and Master's students visiting the Office from various disciplinary faculties. *Notes:* i) Only faculties where students raised concerns are listed. ii) Health Sciences refers to all Health Science graduate programs.



### Graduate Concerns per Faculty



This graph represent the number and percentage of Master's and PhD students taking courses in a faculty, raising concerns about that faculty. *Notes:* i) Only faculties where students raised concerns are listed. ii) Health Sciences refers to all Health Science graduate programs. iii) One King's student raised a concern and seven students raised concerns but did not disclose what program they were discussing.

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## Graduate Concerns - Academic and Financial

The chart below illustrates the academic and financial concerns that were raised by graduate students. For a comparison to other years, please contact the Office of the Ombudsperson.

Concern	Occurrences	As a % of total graduate student occurrences
Academic	36	75.0%
Admissions	4	8.3%
Financial	8	16.6%

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## Undergraduate and graduate non-academic nature of concerns

The following chart shows the non-academic concerns expressed by undergraduate and graduate students. It is interesting to note that students come to the Office of the Ombudsperson voicing concerns about what could be a harrasment or equity issue. In these instances we refer the student to Western's Equity and Human Rights Services.

Issue	Occurrences	As a % of total occurrences
Conduct	22	22.0%
Interpersonal concerns (including referrals to Equity and Human Rights Services)	13	13.0%
Housing (including on and off campus)	12	12.0%
Non-University related concerns (including OSAP)	9	9.0%
Student Associations	9	9.0%
All other (includes concerns with libraries, parking, referrals to employee group)	34	34.0%

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## Outreach

Each year the Office of the Ombudsperson participates in events that promote our services to students, faculty, and administrators; assist the Western community in conflict management; and provide professional development opportunities. During the 2014/15 year we participated in the following events:

### Booth participation

New faculty orientation  
Residence life tradeshow  
School of Graduate and Postdoctoral Students (SGPS) orientation

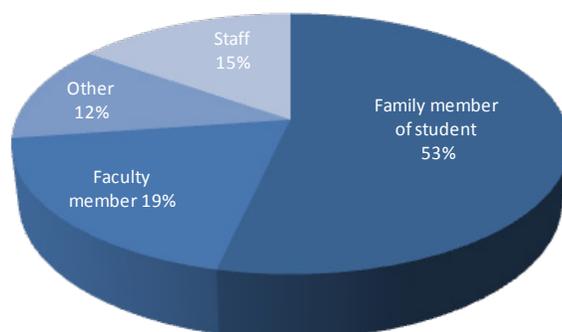
### Presentations

First year orientation - conflict management presentation (with Equity and Human Rights Services)  
Conflict resolution workshop at Huron University College  
Mature and Transfer Student Orientation

*outreach continued on next page*

# Non-Student Data

Seventy three non students contacted the Office during the 2014/15 year. These individuals were parents, faculty members and staff asking about university policy. The Office also fielded calls on occasion from concerned community members. Following is the break down of the categories of individuals who contacted the Office and the reasons they contacted us.



## Non-student concerns

Concern	Occurrences	As a % of total non-student occurrences
Academic (Graduate and Undergraduate)	25	34%
Conduct (scholastic and non-scholastic)	9	12%
Registration (inc. admission, readmission, requirement to withdraw, add/drop dates, etc)	8	10.9%
Financial	6	8.2%
Housing (on and off-campus)	5	6.8%
Student Associations	4	5.4%
Other UWO	16	21.9%

*outreach continued*

### Other activities

Regular update meetings with SGPS  
Western Scholars Kickoff

### Courses/conferences

Association of Canadian Colleges and University Ombudspople (ACCUO) mid-year meeting, London, ON  
Association of Canadian Colleges and University Ombudspople (ACCUO) annual meeting, Vancouver, B.C.  
Various webinars on student success and conflict resolution  
International Ombudsman Association (IOA) Conference, Atlanta, Georgia

### Other highlights

Also in the 2014/15 year, the Office co-hosted with Fanshawe College, a meeting of the Association of Canadian College and University Ombudspersons (ACCUO). Thirteen members of University and College Ombuds Offices from Ontario and Quebec met in January 2015 to discuss trends in higher education and concerns being raised at our institutions.

Office of the Ombudsperson  
Room 3135 Western Student Services Building  
Western University  
London, ON  
N6A 3K7  
Ph: 519-661-3573  
Email: [ombuds@uwo.ca](mailto:ombuds@uwo.ca)  
Web: [uwo.ca/ombuds](http://uwo.ca/ombuds)



A service jointly supported by Western University  
and the University Students' Council

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

<b>Contents</b>	<b>Consent Agenda</b>
<a href="#">Fundraising Activity Quarterly Report to January 31, 2016</a>	Yes

**FOR INFORMATION**

1. **Fundraising Activity Quarterly Report to January 31, 2016**

See [Annex 1](#).



Fund Raising Initiatives Quarterly Report  
as at January 31, 2016  
(with comparative figures from the fiscal year 2013/14 to 2014/15)

**PLEDGE DATA**

	May 1, 2015 to January 31, 2016 (000's)			Fiscal Year 2015 (000's)		Fiscal Year 2014 (000's)	
	Target	Actual	Actual as a % of Target	Year to Date May to January	Year End May to April	Year to Date May to January	Year End May to April
Pledges outstanding May 1,	161,936	161,936	N/A	111,191	111,191	101,618	101,618
New Gifts & Pledges (Gross)	65,000	29,421	45.26%	37,174	110,976	56,188	69,908
Pledges cancelled/amended on new/prior pledges	-3,066	-1,548	50.49%	-1,787	-3,905	-1,731	-3,154
<b>Net New Pledges/Gifts</b>	<b>61,934</b>	<b>27,873</b>	<b>45.00%</b>	<b>35,387</b>	<b>107,072</b>	<b>54,457</b>	<b>66,754</b>
Contributions received in payment of pledges/gifts: <sup>2</sup>							
Western University	115,594	35,014	30.29%	35,806	55,936	37,479	57,174
Richard Ivey School of Business (Asia) Limited	383	0	0.00%	14	391	2	7
Total contributions received	<b>115,978</b>	<b>35,014</b>	<b>30.19%</b>	<b>35,820</b>	<b>56,327</b>	<b>37,481</b>	<b>57,181</b>
<b>Net Pledges Outstanding</b>	<b>107,893</b>	<b>154,795</b>	<b>143.47%</b>	<b>110,758</b>	<b>161,936</b>	<b>118,594</b>	<b>111,191</b>

**COST PER DOLLAR RAISED**

	May 1, 2015 to January 31, 2016 (000's)			May 1, 2014 to April 30, 2015 (000's)			May 1, 2013 to April 30, 2014 (000's)		
	Net Pledges/Gifts	Expenses	Cost per Dollar Raised	Net Pledges/Gifts	Expenses	Cost per Dollar Raised	Net Pledges/Gifts	Expenses	Cost per Dollar Raised
Advancement Fund Raising Units									
Alumni Relations & Development <sup>3</sup>	22,431	7,619	NA	103,870	5,522	\$0.05	57,575	5,153	\$0.09
Richard Ivey School of Business	5,940	934	NA	7,011	1,202	\$0.17	12,035	1,556	\$0.13
<b>Total Expenses/Cost Per Dollar Raised</b>	<b>28,370</b>	<b>8,553</b>	<b>NA</b>	<b>110,881</b>	<b>6,724</b>	<b>\$0.06</b>	<b>69,610</b>	<b>6,709</b>	<b>\$0.10</b>
<b>3-Year Average Cost Per Dollar Raised <sup>4</sup></b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>250,102</b>	<b>20,142</b>	<b>\$0.08</b>	<b>259,552</b>	<b>20,248</b>	<b>\$0.08</b>

<sup>1</sup> Includes total activity of:

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

<sup>2</sup> 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.

<sup>3</sup> FY15, FY14 expenses do not include FDDP, CPA and Advancement Operations salary and benefits.

<sup>4</sup> 3 Year Rolling Average - reflects the major gift factor and the post campaign period.

**ITEMS REFERRED BY SENATE**

Contents	Consent Agenda
2016-17 University Operating and Capital Budgets	Yes
2016 Entrance Standards for Undergraduate First-Year Admissions	Yes
Five Year Enrolment Projections	Yes
Report on Year One Class and Entering Averages	Yes
Performance Indicators Report	No
Report from the Provost's Task Force on University Budget Models	Yes
Report of the Graduate Funding Subcommittee on the Provost's Task Force on Budget Models	Yes
Working Group on Information Security (WGIS) 2015 Annual Report	Yes
Report of the Academic Colleague	Yes
Teaching Award Recipients 2015	Yes
Report of the Honorary Degrees Committee	Yes
Board Report on Senate Agenda	Yes

**FOR INFORMATION**

1. **2016-17 University Operating and Capital Budgets**

The Senate, at its meeting of April 8, 2016 reviewed the 2016-17 Operating and Capital Budgets and offered its advice to the Board by recommending approval of those budgets (see the Report of the Property & Finance Committee and the budget documents issued).

2. **2016 Entrance Standards for Undergraduate First-Year Admissions**

Senate, at its meeting on February 12, approved the targets and processes for first-year, first-entry undergraduate enrolment for the Constituent University and Affiliated University Colleges as outlined in [Annex 1](#).

3. **Five-Year Enrolment Projections**

Senate, at its meeting on February 12, 2016, approved that the five-year enrolment projections/plans presented in [Annex 2](#) be used for University budget planning purposes.

4. **Report on Year One Class and Entering Averages**

See [Annex 3](#).

5. **Performance Indicators Report**

See [Annex 4](#).

6. **Report from the Provost's Task Force on Budget Models**  
See [Annex 5](#).
7. **Report of the Graduate Funding Subcommittee of the Provost's Task Force on Budget Models**  
See [Annex 6](#).
8. **Working Group on Information Security (WGIS) 2015 Annual Report**  
See [Annex 7](#).
9. **Report of the Academic Colleague**  
See [Annex 8](#).
10. **Teaching Award Recipients – 2015**  
See [Annex 9](#).
11. **Report of the Honorary Degrees Committee**  
See [Annex 10](#).
12. **Board Report on Senate Agenda**

In response to the Board Chair's request, Senate, at its meeting on March 11, approved the following motion:

That a Report from the Board of Governors be added as a standing item to Senate agendas.

The Board's Governance Review Task Force saw a need to improve information flow between Senate and the Board. The Board routinely receives a report from Senate as part of every agenda. The intent is that the Board Report on the Senate agenda will be similar to those provided by the COU Academic Colleague and will be on the Senate agenda for the meeting subsequent to each Board meeting.

*Western University*

SCUP's Subcommittee on Enrolment Planning and Policy (SUEPP)

**Fall 2016 Entrance Standards for First-Year Undergraduate Admissions**

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**A. Background/Context**

**History**

Over the past twenty years, Western's enrolment planning has placed the highest priority in increasing the quality of our incoming first-year class, which has moved the overall average grade of our first-year class from a position of "below the Ontario average" in 1993 to the top spot in Ontario in 2014. Our approach to first-year admissions, approved by Senate in November 2010, included the following high-level priorities:

1. Our objective should be to continue to increase the quality of our incoming class, and we should continue to maintain and increase entrance standards.
2. The approach of using the common minimum entrance requirement for the large direct-entry programs should be continued. For limited-enrolment programs, based on annual reviews by the Provost and the Deans, the entrance requirements could be higher. The result of this approach is that student demand/choice drives program-specific enrolments.
3. We should work to increase our first-year international enrolments.
4. We should continue to monitor the gap in entrance requirements between Western and the Ontario average, with the objective of maintaining/increasing the gap.
5. We should continue to monitor the size of our overall first-year class, in order to ensure that the undergraduate population does not reach a level that cannot be accommodated within our current physical infrastructure.

In 2010, in order to be aligned with the Constituent University's strategy on enrolment planning, the Affiliated University Colleges committed to narrowing the gap in entrance requirements between the Colleges and the Constituent University, by 2014-15.

**Current Strategic Plan Priorities**

Our current Strategic Plan – *Achieving Excellence on the World Stage* – includes the following enrolment-planning related objectives:

- a. Attract the brightest students as demonstrated through the highest entering grade average.
- b. Achieve the highest student retention and graduation rates among Canada's leading research-intensive universities.
- c. Increase international undergraduate enrolment to at least 15% and domestic out-of-province student enrolment to at least 10% of the undergraduate student body.
- d. Increase graduate student enrolment to at least 20% of the total student body.

## **B. Update on the Fall 2015 Entering Class and Entrance Standards**

### **Constituent University**

1. The Constituent University's full-time first-year enrolment was 5,153. Of this, 508 (or 9.9%) were international students.
2. The common minimum entrance requirement was a mid-year offer grade of 83.5% (for Arts & Humanities, Health Studies, and FIMS). For all other programs the mid-year offer grades were higher – ranging from 85.0% to 90.0%. For all programs, at offer time, the condition was that the final grade must be at least 83.5%, except for Nursing, which had a final grade requirement of 85%.
3. For information, full-time graduate enrolment was 5,364, which equates to almost 19% of total full-time enrolment.

### **Affiliated University Colleges**

4. Full-time first-year enrolment at the Colleges were as follows:
  - Brescia 350
  - Huron 290
  - King's 774
5. The final grade requirement at each of the Colleges was 78% (i.e. compared to the 83.5% at the Constituent University), and, at this level, the Colleges met the commitment made back in 2010. Western's Provost and the Principals of the Affiliated University Colleges are currently in the process of reviewing the gap in entrance standards, in the context of student performance and outcomes measures.

## **C. Fall 2016 Admissions Plans**

### **Constituent University**

1. The admissions strategy of the recent years will continue for the fall 2016 admissions cycle, and it is expected that our mid-year offer grade (for all programs) will be no less than 83.5%, with a final grade requirement of at least 83.5%.
2. Based on the current applications data, we expect the first-year class to be in the range of 5,100. For budget planning purposes, we have used a first-year class of 5,110, which includes 550 international students.

### **Affiliated University Colleges**

3. The final grade requirement at each of the Colleges will be no less than 78%.
4. As is the case at present, in situations where additional assessment is required (for students with exceptional/unusual circumstances), the Colleges may admit students with grades below the minimum final grade requirement. The proportion with final grades below the minimum requirement (i.e. 78%) shall not exceed 2% of the entering class.
5. Where applicable, the Colleges will be bound to the minimum entrance standards established by the Constituent University for limited-enrolment programs, including B.H.Sc. and Kinesiology.
6. The planned first-year class sizes are as follows:
  - Brescia 356
  - Huron 310
  - King's 795

## SUMMARY OF ENROLMENT FORECAST

<adjusted for new Full-Time definition beginning in 2016-17>

		Actual					Forecast				
		2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
1	<b>Constituent University</b>										
2	<b>Full-Time Undergraduates</b>										
3	Arts & Humanities	1,232	1,180	1,147	1,121	1,027	938	931	921	922	922
4	Business (HBA)	979	1,065	1,116	1,100	1,093	1,130	1,130	1,130	1,130	1,130
5	Dentistry	260	266	264	262	265	265	264	264	264	264
6	Education	700	677	597	657	286	668	668	668	668	668
7	Engineering	1,262	1,335	1,449	1,546	1,761	1,871	1,949	1,963	1,942	1,939
8	Health Sciences										
9	BHSc Program	1,185	1,160	1,170	1,163	1,179	1,166	1,163	1,138	1,130	1,129
10	Kinesiology	1,246	1,203	1,169	1,240	1,204	1,179	1,190	1,167	1,168	1,169
11	Nursing	808	820	825	835	868	909	939	961	959	959
13	Sub-Total	3,239	3,183	3,164	3,238	3,251	3,254	3,292	3,266	3,257	3,257
14	Law	465	476	480	486	474	468	468	468	468	468
15	Media, Information, & Tech	963	919	930	924	983	967	960	955	949	949
16	Medicine										
17	MD Program	646	667	680	683	684	684	684	684	684	684
18	BMedSci Program	688	778	862	892	881	892	892	892	892	892
19	Music	527	542	512	457	432	404	392	390	393	394
20	Science	4,222	4,334	4,482	4,606	4,679	4,605	4,599	4,516	4,443	4,434
21	Social Science	6,618	6,648	6,674	6,601	6,482	6,222	6,215	6,199	6,221	6,226
22	<b>Total Full-Time Undergraduates</b>	<b>21,801</b>	<b>22,070</b>	<b>22,357</b>	<b>22,573</b>	<b>22,298</b>	<b>22,368</b>	<b>22,444</b>	<b>22,316</b>	<b>22,233</b>	<b>22,227</b>
23	Concurrent Programs	144	155	173	201	255	255	255	255	255	255
24	Medical Residents	810	829	853	913	947	943	940	940	940	940
25	<b>Full-Time Graduates</b>										
26	Masters	2,823	2,756	2,977	3,146	3,276	3,608	3,839	3,917	3,960	4,000
27	Ph.D.	1,947	2,021	2,026	2,075	2,088	2,196	2,274	2,345	2,370	2,400
28	<b>Total Full-Time Graduates</b>	<b>4,770</b>	<b>4,777</b>	<b>5,003</b>	<b>5,221</b>	<b>5,364</b>	<b>5,804</b>	<b>6,113</b>	<b>6,262</b>	<b>6,330</b>	<b>6,400</b>
29	<b>Total Full-Time Enrolment</b>	<b>27,525</b>	<b>27,831</b>	<b>28,386</b>	<b>28,908</b>	<b>28,864</b>	<b>29,370</b>	<b>29,752</b>	<b>29,773</b>	<b>29,758</b>	<b>29,822</b>
30	<b>Part-Time FTEs</b>										
31	Undergraduate <1>	2,243	2,317	2,251	2,123	2,215	2,445	2,445	2,445	2,445	2,445
32	Education (AQs) <1>	745	673	635	607	575	465	525	525	525	525
33	Masters	140	175	149	99	79	80	80	80	80	80
34	Ph.D.	26	22	27	29	32	30	30	30	30	30
35	<b>Total Part-Time FTEs</b>	<b>3,154</b>	<b>3,187</b>	<b>3,062</b>	<b>2,858</b>	<b>2,901</b>	<b>3,020</b>	<b>3,080</b>	<b>3,080</b>	<b>3,080</b>	<b>3,080</b>
36	<b>Total Constituent FTEs</b>	<b>30,679</b>	<b>31,018</b>	<b>31,448</b>	<b>31,766</b>	<b>31,765</b>	<b>32,390</b>	<b>32,832</b>	<b>32,853</b>	<b>32,838</b>	<b>32,902</b>
37	<b>Affiliated University Colleges</b>										
38	<b>Full-Time Undergraduates</b>										
39	Brescia	1,067	1,121	1,150	1,269	1,327	1,389	1,410	1,477	1,520	1,570
40	Huron	1,272	1,230	1,250	1,144	1,062	1,065	1,025	1,050	1,120	1,200
41	King's	3,286	3,244	3,169	3,063	3,004	2,892	2,940	3,007	3,106	3,216
42	<b>Total Full-Time Undergraduates</b>	<b>5,625</b>	<b>5,595</b>	<b>5,569</b>	<b>5,476</b>	<b>5,393</b>	<b>5,346</b>	<b>5,375</b>	<b>5,534</b>	<b>5,746</b>	<b>5,986</b>
43	<b>Part-Time Undergraduate FTEs &lt;1&gt;</b>										
44	Brescia	94	94	83	86	90	105	105	105	105	105
45	Huron	70	63	65	65	55	50	50	50	50	50
46	King's	252	239	252	277	270	340	340	340	340	340
47	<b>Total Part-Time FTEs</b>	<b>416</b>	<b>396</b>	<b>400</b>	<b>428</b>	<b>415</b>	<b>495</b>	<b>495</b>	<b>495</b>	<b>495</b>	<b>495</b>
48	<b>Graduate FTEs</b>										
49	Brescia	29	32	32	28	33	38	38	38	38	38
50	Huron	14	10	8	11	9	11	13	15	17	18
51	King's	31	33	31	33	29	45	45	45	45	45
52	<b>Total Graduate FTEs</b>	<b>74</b>	<b>75</b>	<b>71</b>	<b>72</b>	<b>71</b>	<b>94</b>	<b>96</b>	<b>98</b>	<b>100</b>	<b>101</b>
53	<b>Total Affiliate FTEs</b>	<b>6,115</b>	<b>6,066</b>	<b>6,040</b>	<b>5,976</b>	<b>5,879</b>	<b>5,935</b>	<b>5,966</b>	<b>6,127</b>	<b>6,341</b>	<b>6,582</b>
54	<b>Total UWO FTEs</b>	<b>36,794</b>	<b>37,084</b>	<b>37,488</b>	<b>37,742</b>	<b>37,644</b>	<b>38,325</b>	<b>38,798</b>	<b>38,980</b>	<b>39,179</b>	<b>39,484</b>

### SUMMARY OF ENROLMENT FORECAST

<adjusted for new Full-Time definition beginning in 2016-17>

	Actual					Forecast				
	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
<b>Rows 55 to 86 Included above</b>										
<b>55 International Students</b>										
56 Constituent Full-Time										
57 Undergraduates	923	1,257	1,611	1,895	1,990	2,160	2,215	2,330	2,350	2,350
58 Medical Residents	127	108	112	134	136	135	135	135	135	135
59 Masters (excluding Ivey)	452	463	439	495	576	618	657	671	680	690
60 MBA (Regular), Ivey MSc	30	22	43	39	56	79	96	97	98	100
61 Executive MBA	44	22	40	35	24	0	0	0	0	0
62 Ph.D.	510	499	516	547	562	570	558	556	560	565
63 Affiliates										
64 Undergraduates	497	476	497	577	661	669	698	724	747	773
65 Masters	2	4	3	0	0	3	3	3	3	3
<b>66 Year 1 Only</b>										
67 <b>Constituent</b>										
68 Arts & Humanities	272	236	213	267	217	230	230	230	230	230
69 Engineering	416	412	430	511	637	580	580	580	580	580
70 Health Sciences										
71 BHSce Program	314	292	338	347	336	325	325	325	325	325
72 Kinesiology	366	331	315	386	335	335	335	335	335	335
73 Nursing	128	128	132	131	143	140	140	140	140	140
74 Media, Information, & Tech	334	314	332	336	350	335	335	335	335	335
75 MOS Program	846	816	741	857	794	800	800	800	800	800
76 Music	142	144	121	99	100	105	105	105	105	105
77 Science	1,388	1,313	1,347	1,474	1,445	1,450	1,450	1,450	1,450	1,450
78 Social Science	850	837	878	803	796	810	810	810	810	810
79 <b>Total Year 1 - Constituent</b>	<b>5,056</b>	<b>4,823</b>	<b>4,847</b>	<b>5,211</b>	<b>5,153</b>	<b>5,110</b>	<b>5,110</b>	<b>5,110</b>	<b>5,110</b>	<b>5,110</b>
80 <b>Affiliated University Colleges</b>										
81 Brescia	292	284	309	315	350	356	365	377	389	403
82 Huron	381	367	388	274	290	310	320	330	340	355
83 King's	878	821	848	740	774	795	805	815	825	835
84 <b>Total Year 1 - Affiliates</b>	<b>1,551</b>	<b>1,472</b>	<b>1,545</b>	<b>1,329</b>	<b>1,414</b>	<b>1,461</b>	<b>1,490</b>	<b>1,522</b>	<b>1,554</b>	<b>1,593</b>
85 <b>Total UWO Year 1</b>	<b>6,607</b>	<b>6,295</b>	<b>6,392</b>	<b>6,540</b>	<b>6,567</b>	<b>6,571</b>	<b>6,600</b>	<b>6,632</b>	<b>6,664</b>	<b>6,703</b>
<b>86 Masters</b>										
87 All Programs (excluding MBAs)	2,380	2,420	2,583	2,781	2,877	3,129	3,328	3,391	3,434	3,474
88 Ivey (excl EMBA)	183	144	181	161	208	314	346	361	361	361
89 Executive MBA	260	192	213	204	191	165	165	165	165	165

For Information

90	Year 1 Constituent International Students	347	476	532	527	508	550	600	600	600	600
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<1> 2015-16 part-time undergraduate FTEs are estimated

## Year 1 Class and Entering Averages

SCUP  
February 1, 2016

## Context

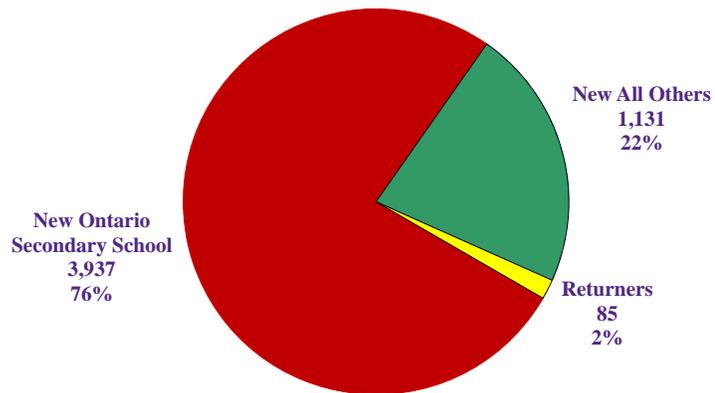
- Western continues Approach using “Standard Minimum Entrance Requirement”
  - **Fall 2015 83.5% (final = 83.5%)**
  - Fall 2014 84.0% (final = 83.0%)
  - Fall 2013 84.0% (final = 83.0%)
  - Fall 2012 83.0% (final = 82.5%)
  - Fall 2011 83.0% (final = 82.0%)
  - Fall 2010 83.0% (final = 81.0%)
  - Fall 2009 83.0% (final = 80.0%)
  - Fall 2008 82.5% (final = 79.0%)
  - Fall 2007 82.0% (final = 78.0%)
  - Fall 2006 81.0% (final = 78.0%)
  - Fall 2005 80.5% (final = 77.0%)
  - Fall 2004 80.5% (final = 78.0%)
  - Fall 2003 83.0% (final = 78.0%)
  - Fall 2002 79.5% (final = 74.0%)
  - Fall 2001 77.0% (final = 73.0%)

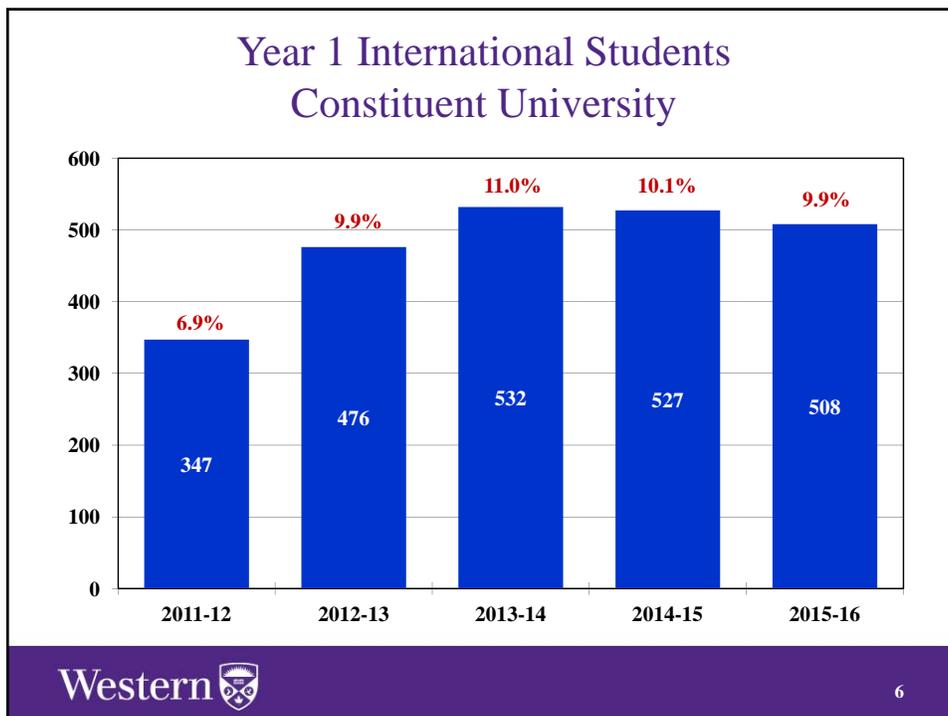
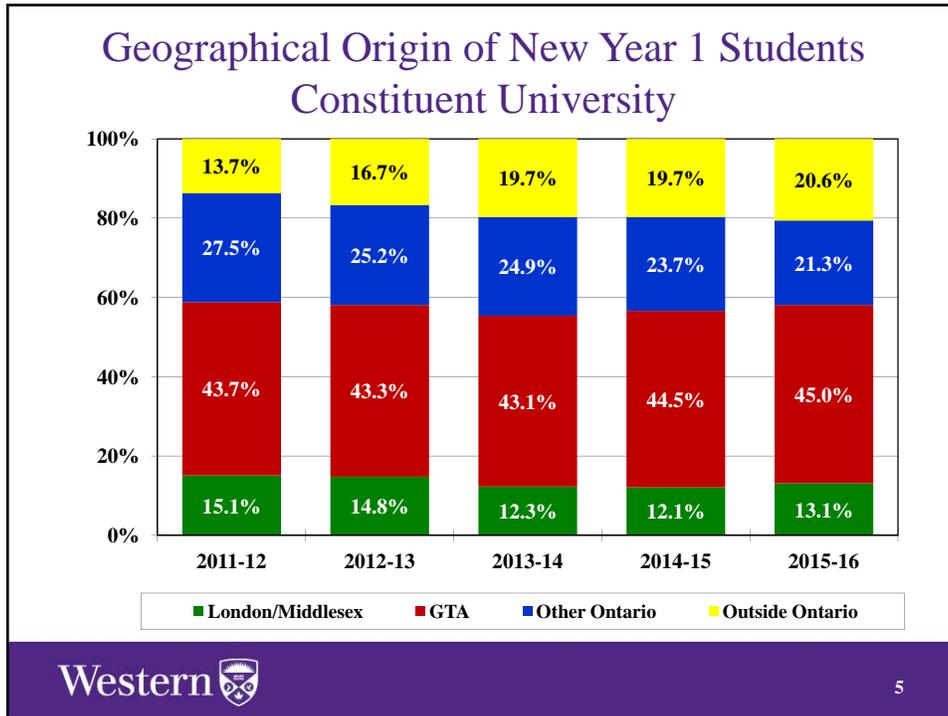
## Student Profile: Applicant Type & Geographical Origin

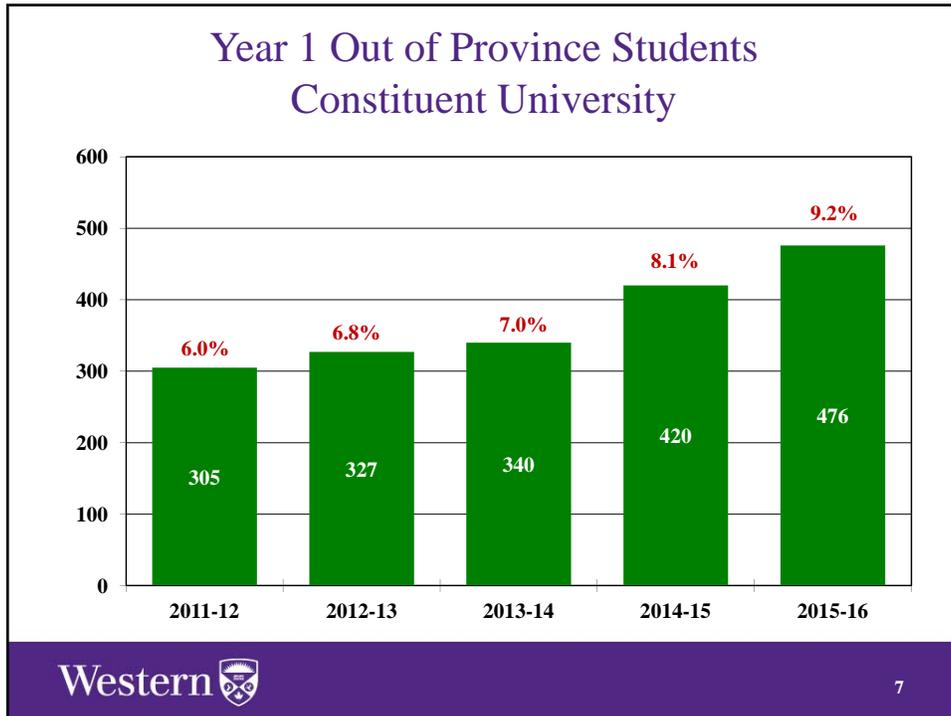
### Constituent University

## 2015-16 Year 1 Students by Applicant Type Constituent University

**Total Year 1 = 5,153**

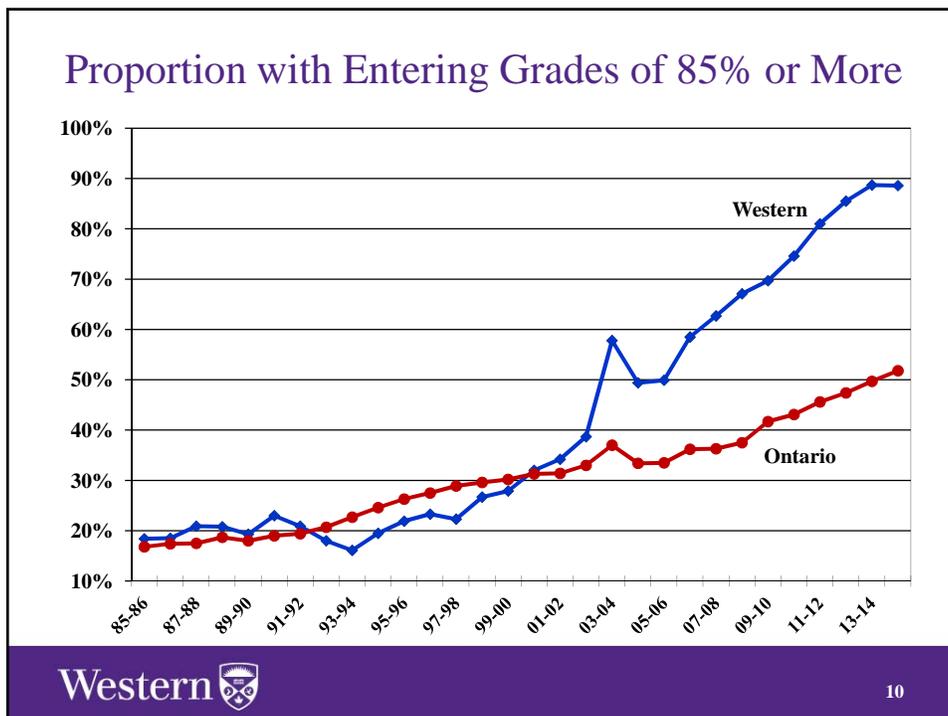
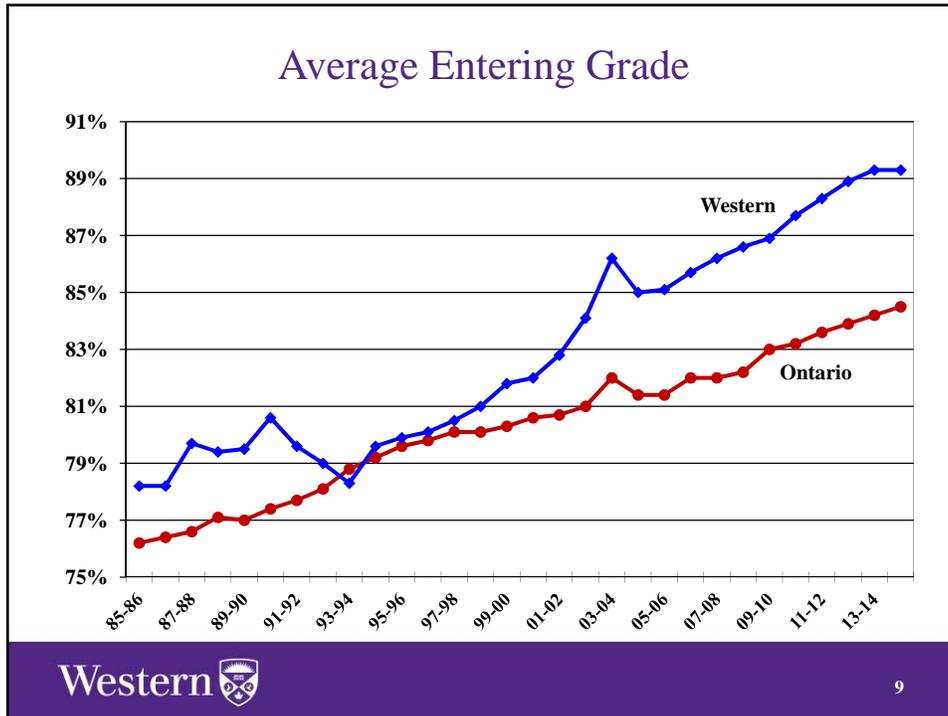


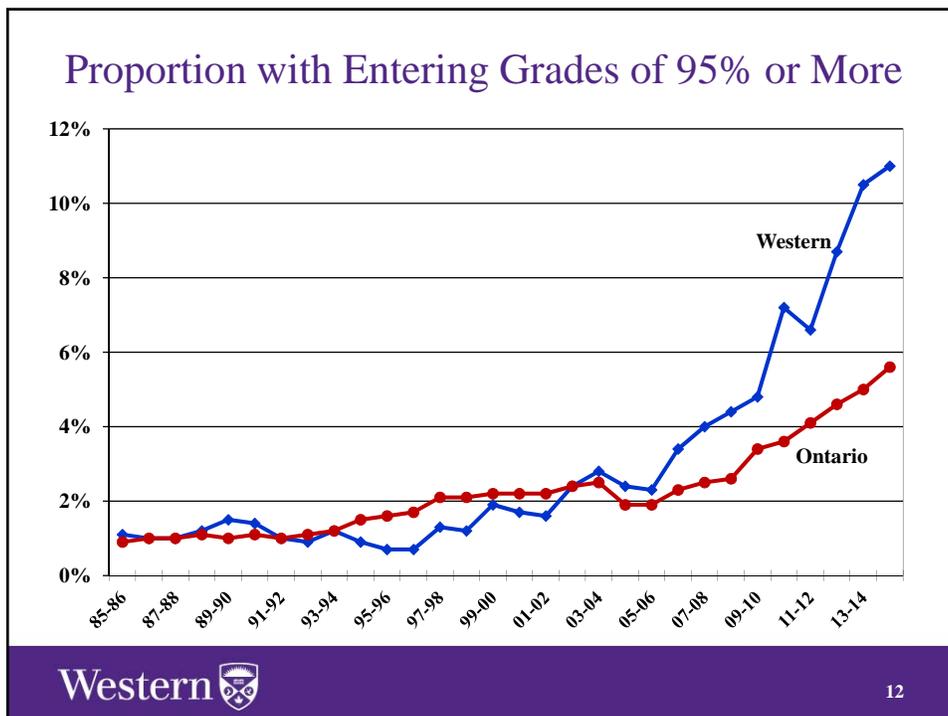
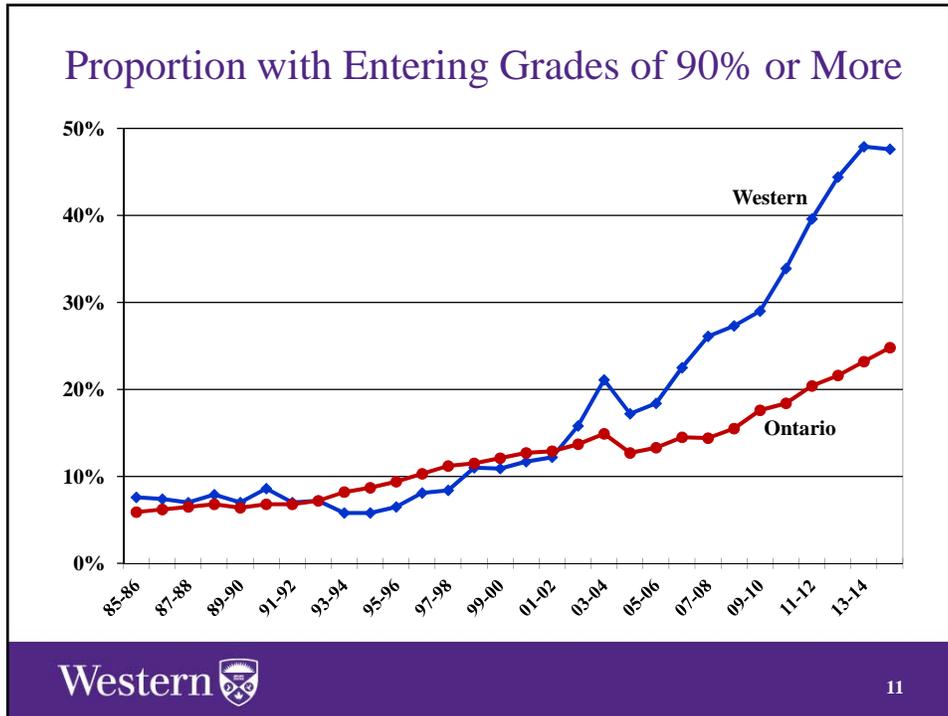


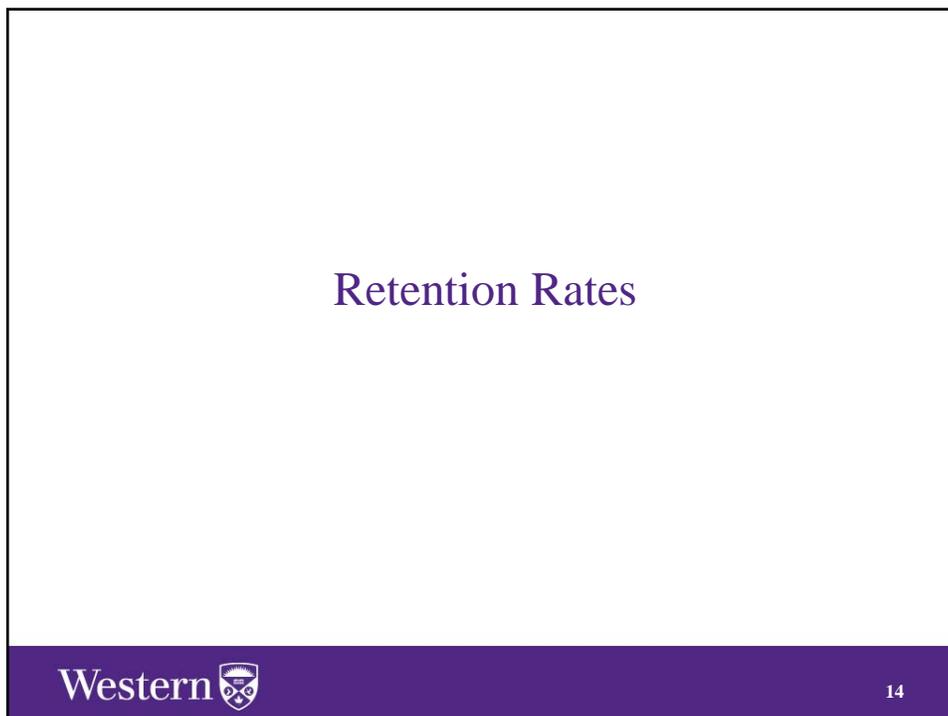
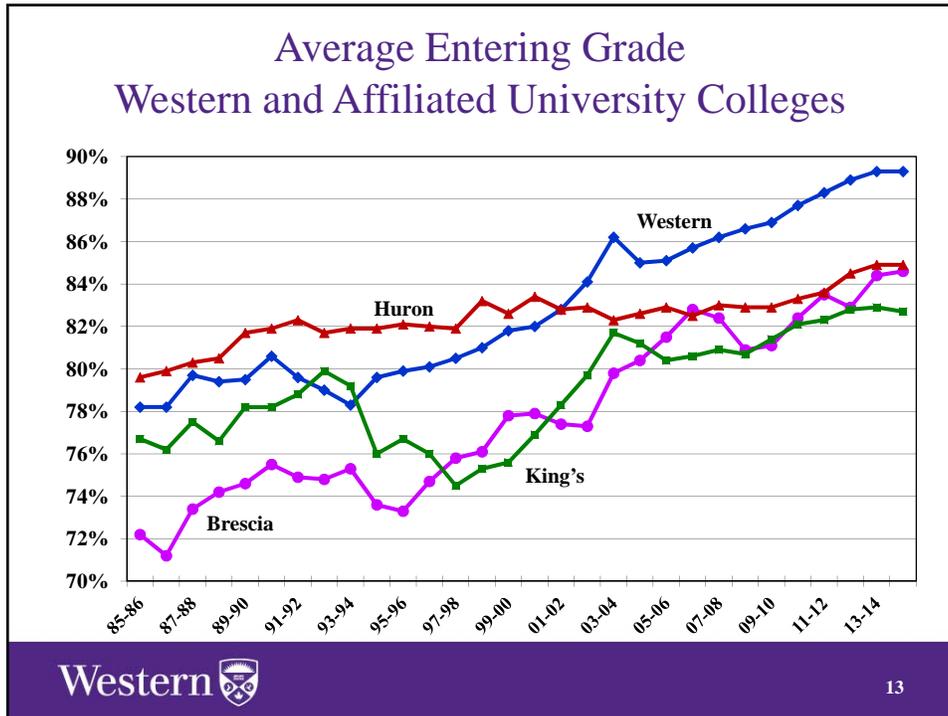


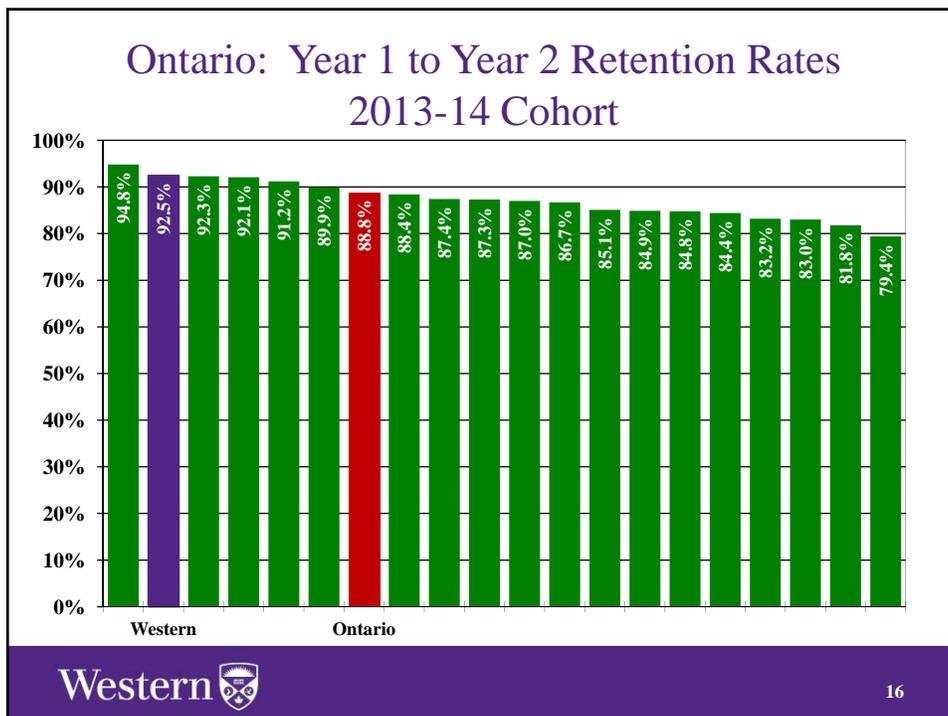
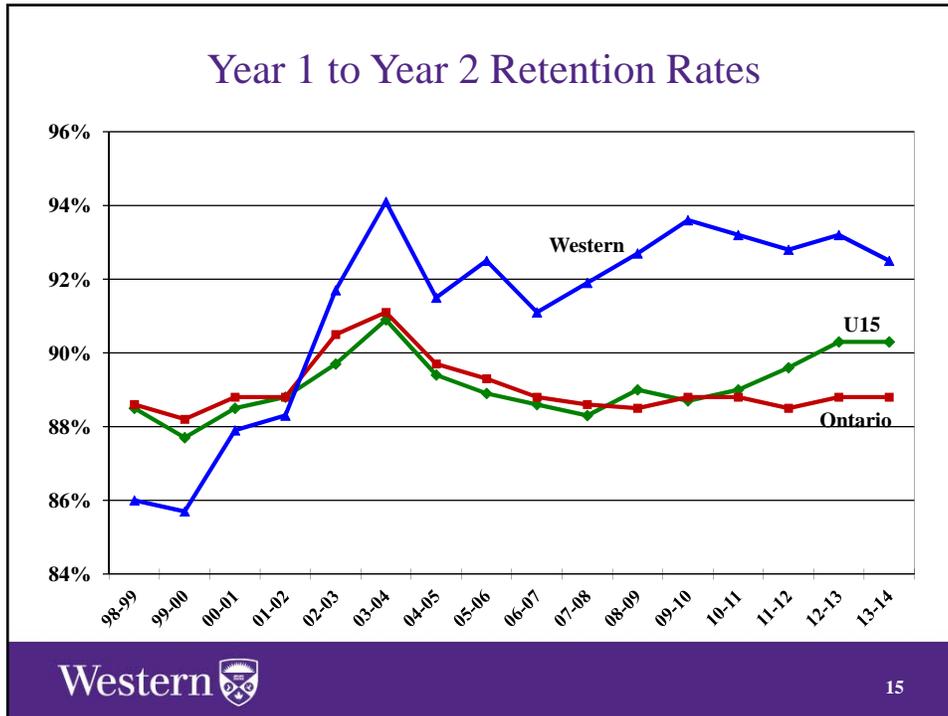
### Entering Grades of New Ontario Secondary School Students

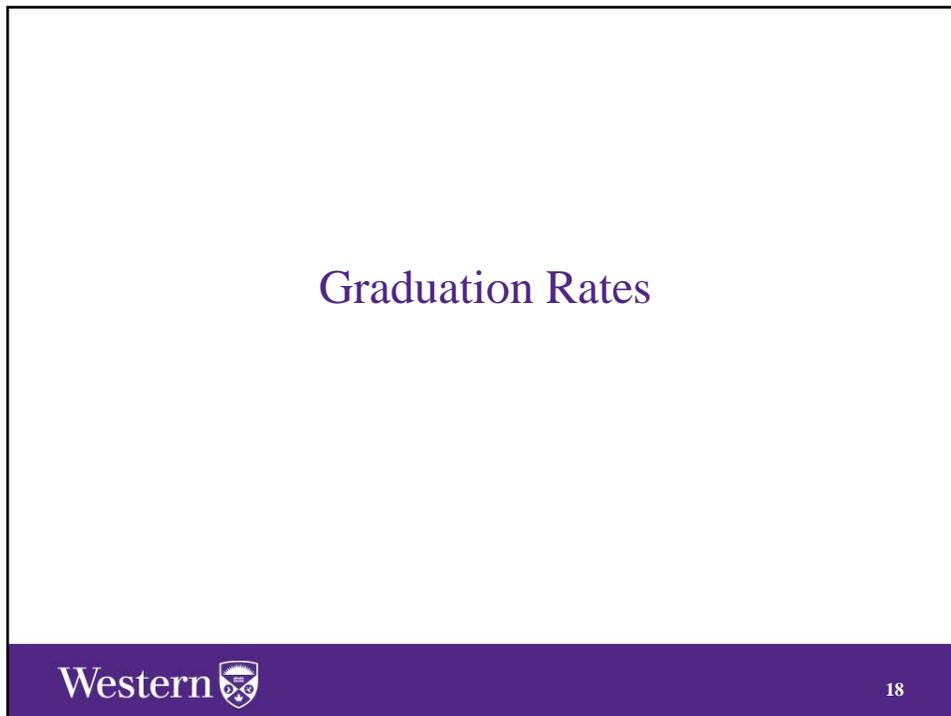
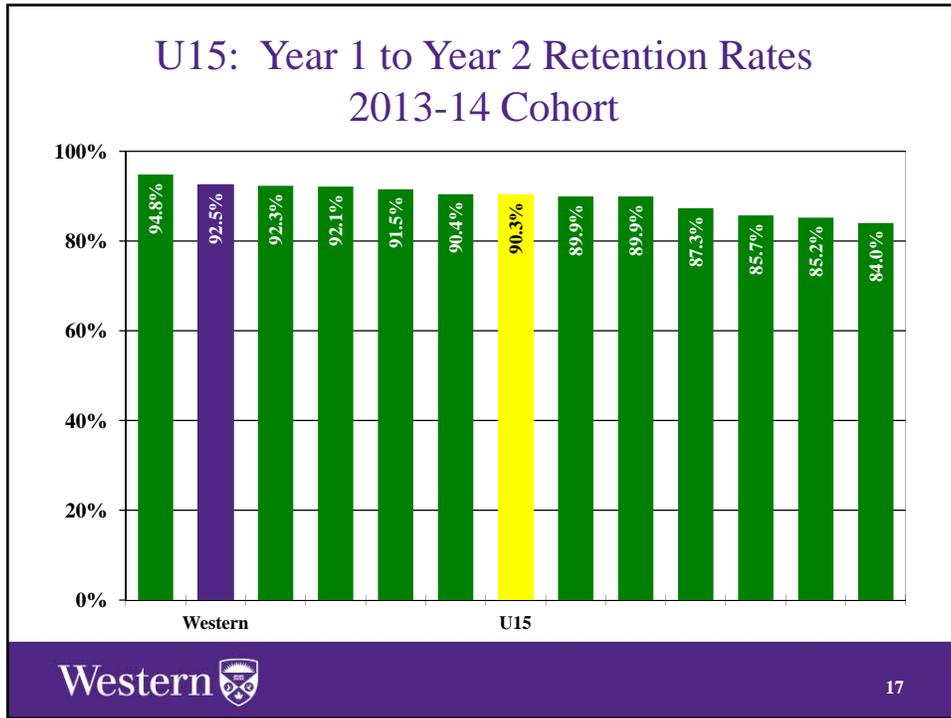
Western  8

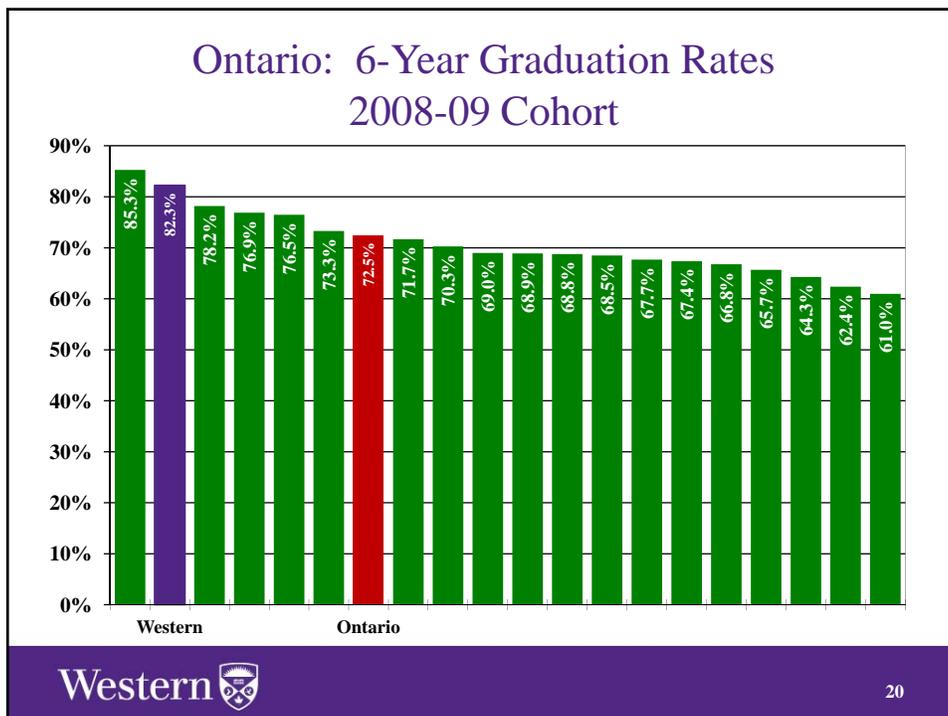
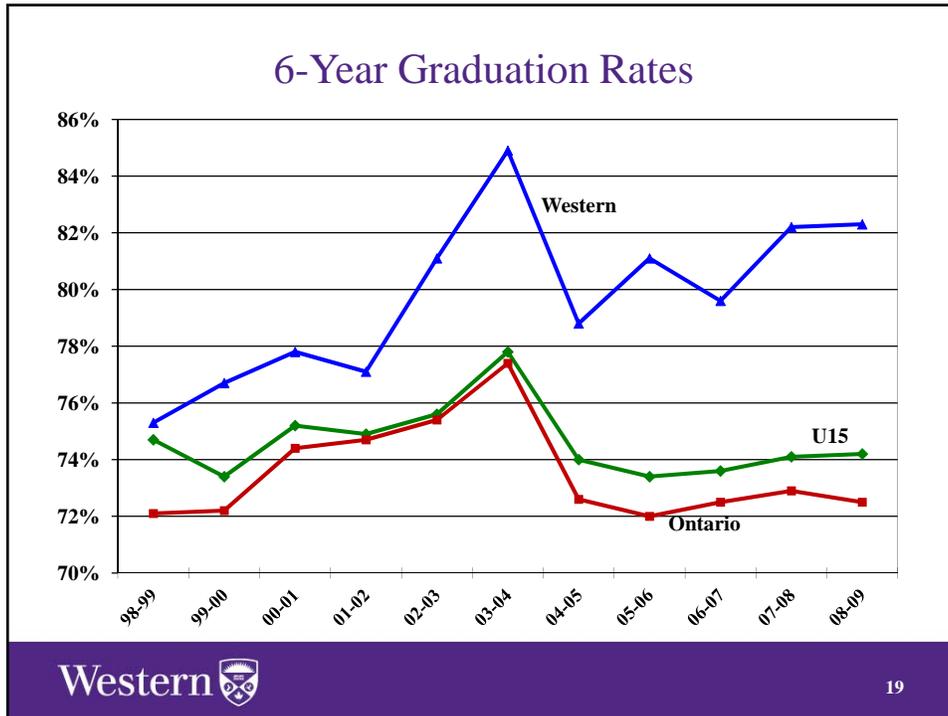


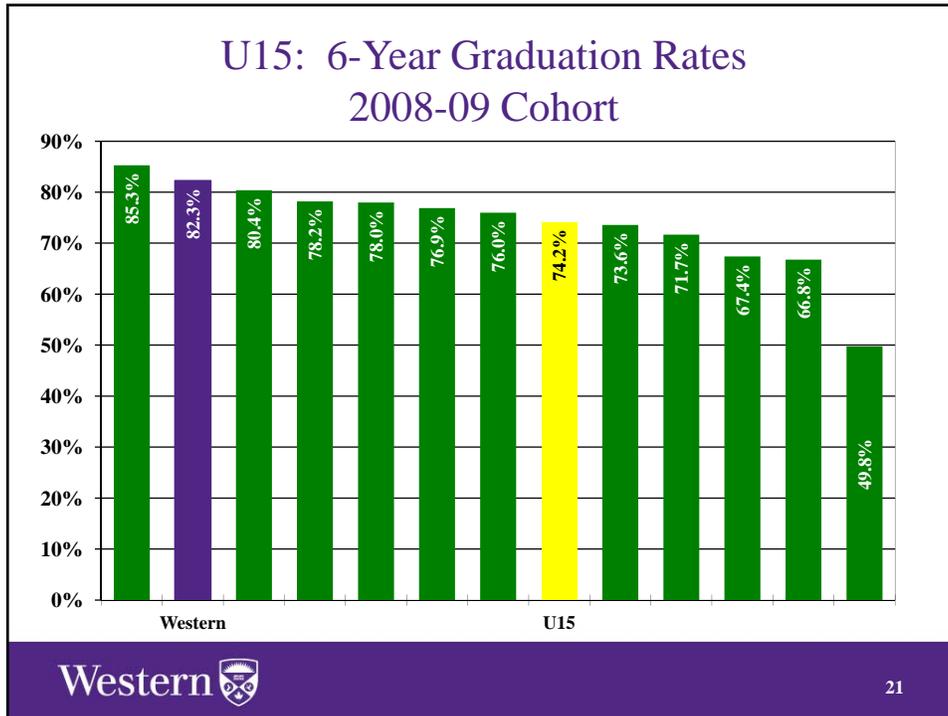






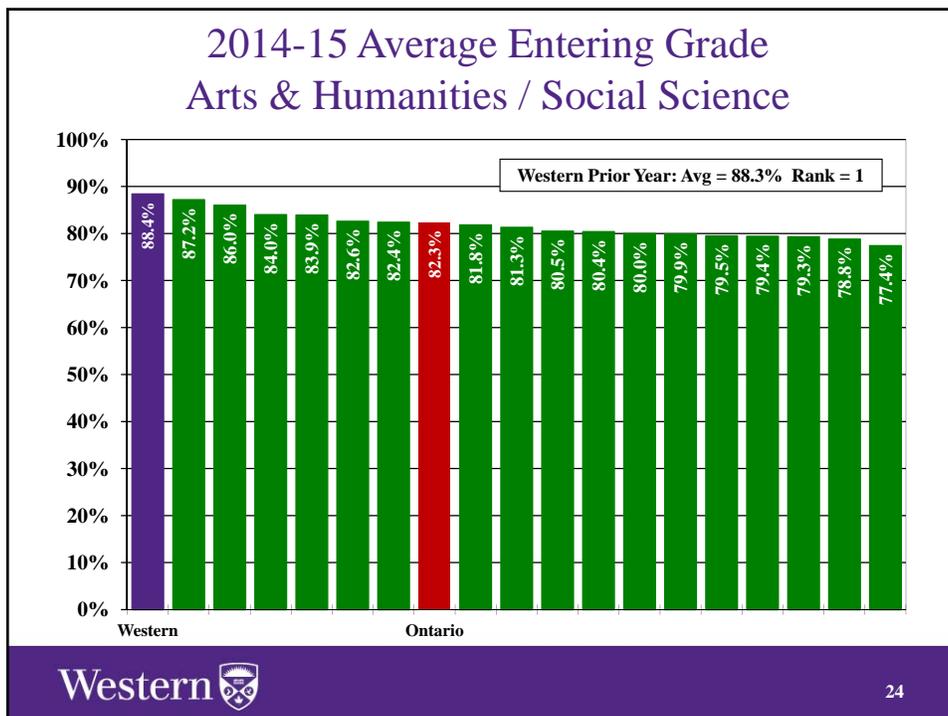
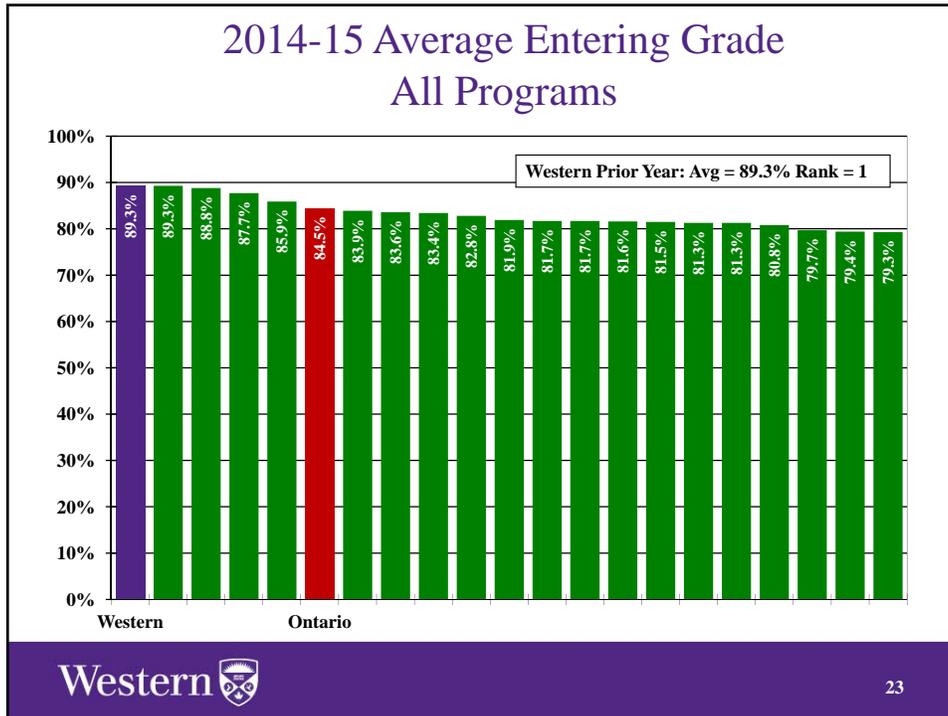


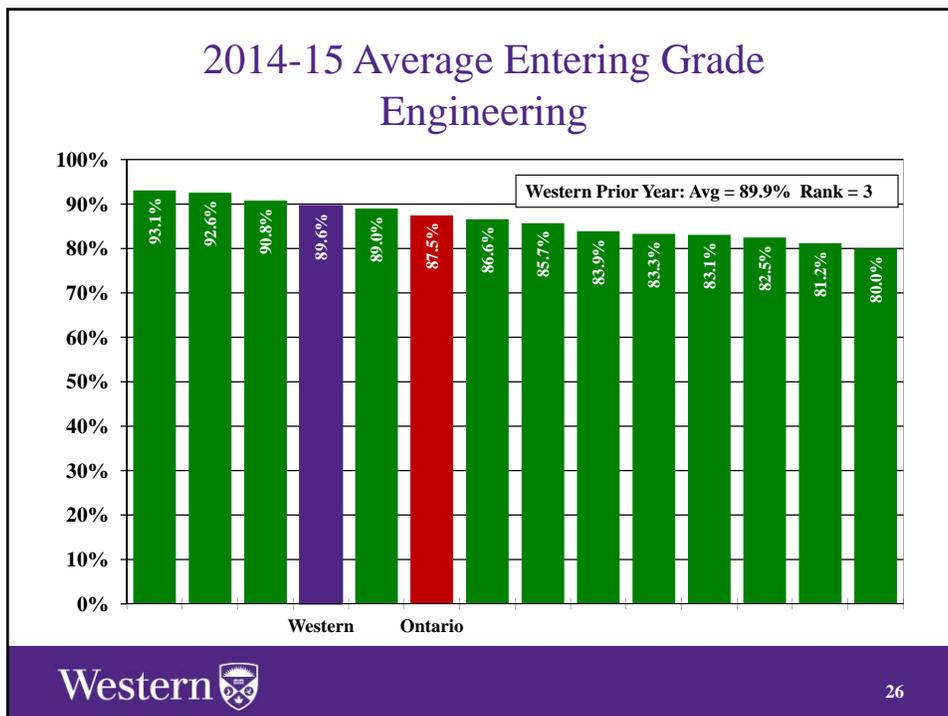
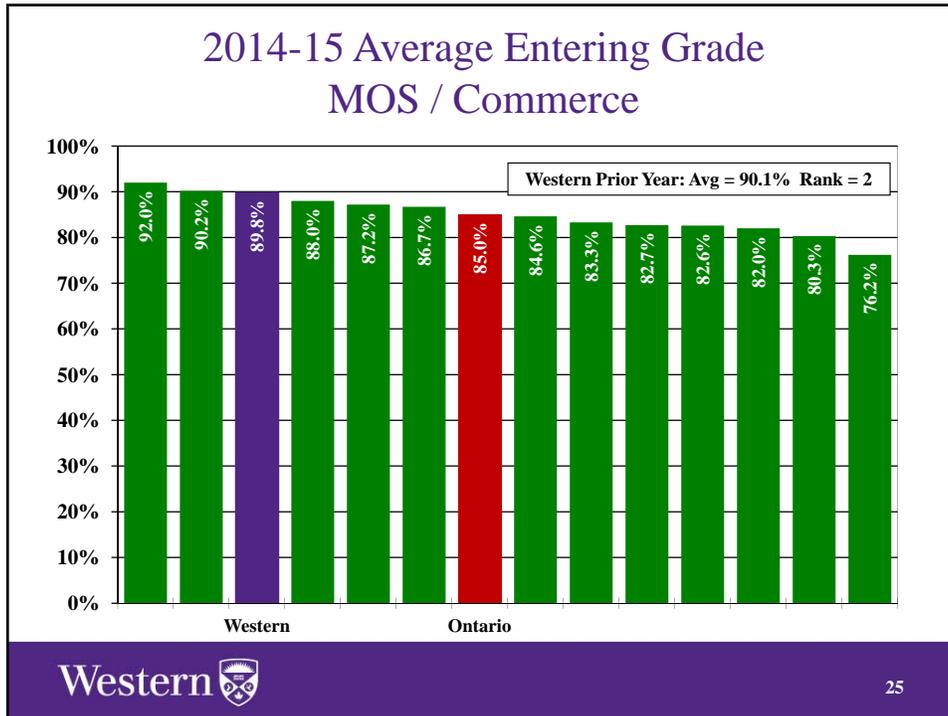


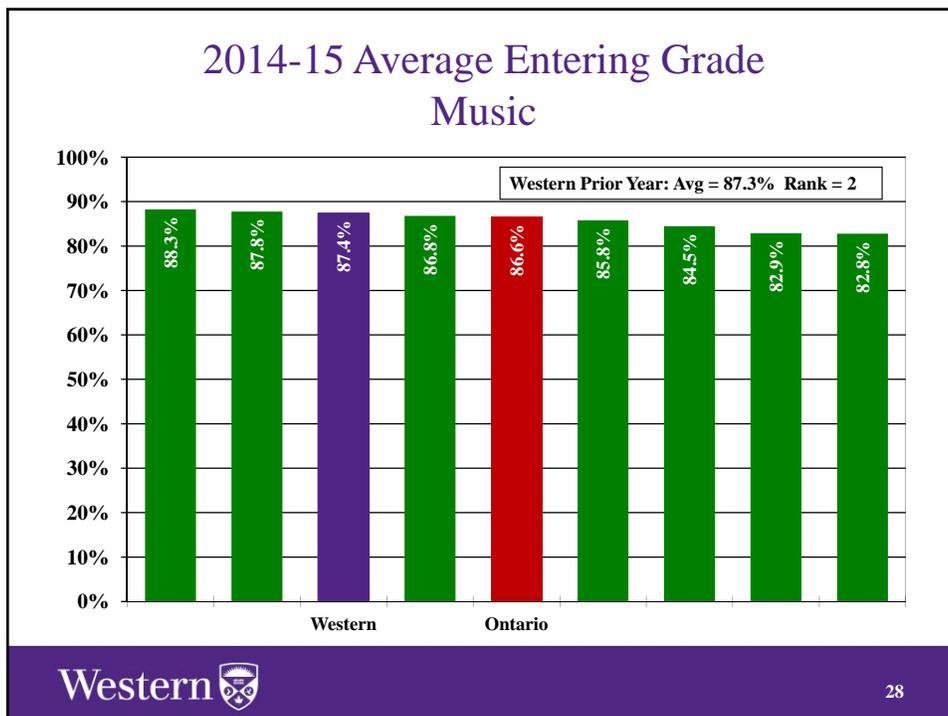
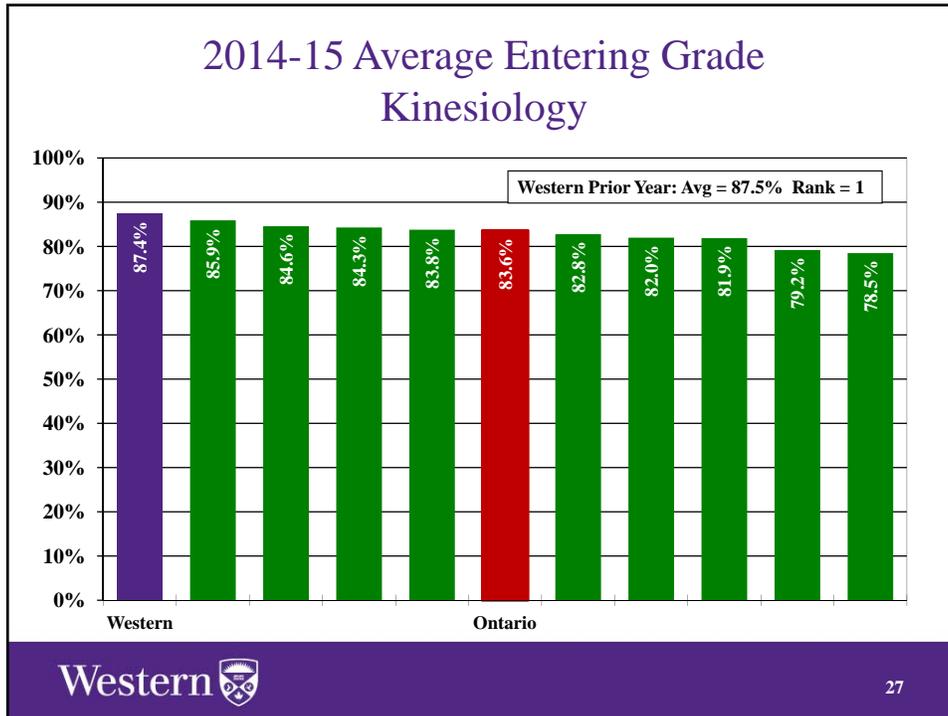


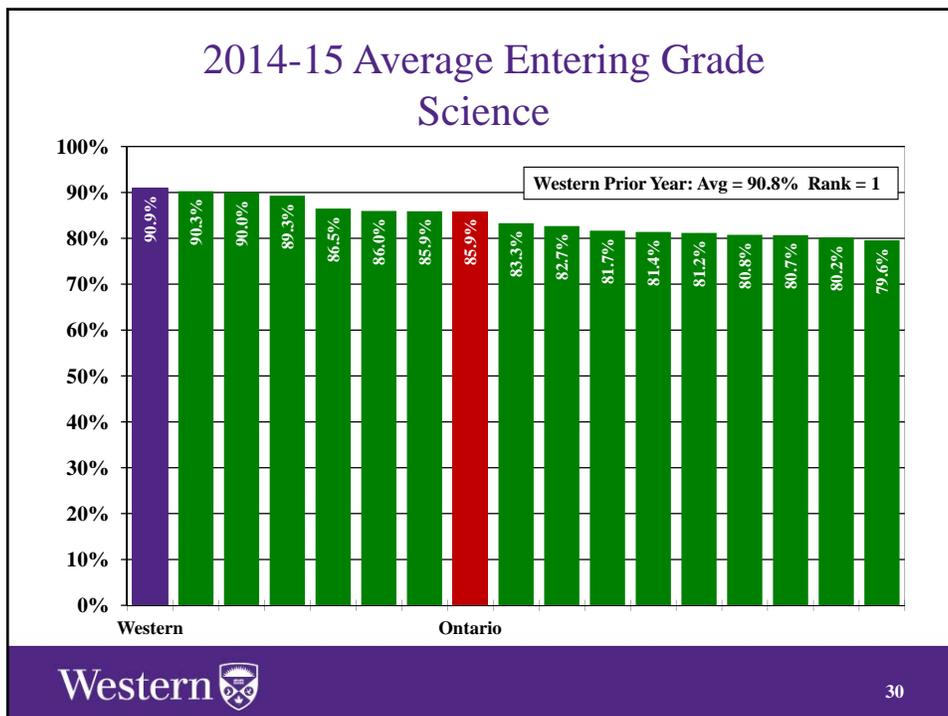
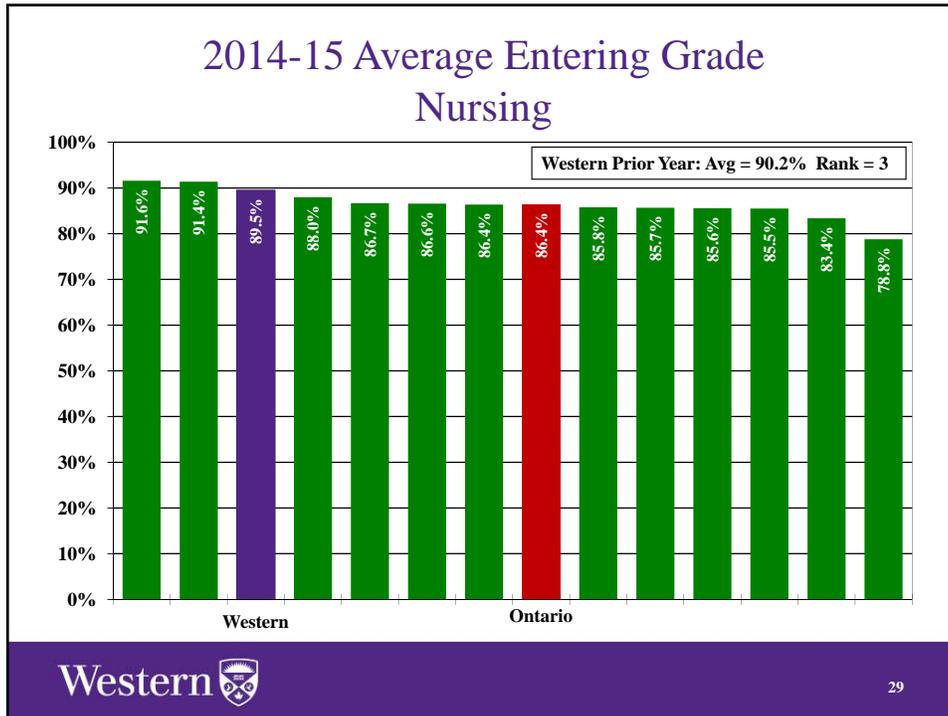
### Entering Grades of New Ontario Secondary School Students by University & Program 2014-15

Western  22











# **Performance and Activity Indicators**

## **Annual Report to the Board of Governors**

**January 2016**

## President's Message

Since 1995, the administration has presented the Board of Governors with an annual report describing Western's progress towards our strategic goals and giving members of our community a sense of our relative standing within the Province and the country on a variety of statistical measures. Between 2005 and 2013, the annual reports were given a more formal structure and the reports reproduced the same array of core performance and activity indicators on a consistent basis, so that we will have a set of benchmarks which can be measured over time.

Starting with this 2016 report, the format has been modified to align the indicators with the University's most recent Strategic Plan – *Achieving Excellence on the World Stage* – which was approved by the Board in January 2014. The indicators in this document have – with the best available data – been aligned with the fourteen metrics (A through N) outlined on page 18 of the Strategic Plan. In the coming years, if other new data become available, we will incorporate them in the report as additions/improvements.

These annual reports are an important element of the administration's accountability to the Board. Increasingly the provincial government has been calling upon Ontario's universities for greater levels of accountability and transparency – and at Western we are already well-positioned to respond to these calls, in the sense that our strategic plan, budget plans, financial statements, and Board and Senate proceedings are already publicly available through a readily-accessible public accountability website.

In selecting the set of indicators, we have attempted to produce a concise and focussed report. It is important to note that this is not intended as a promotional document. It contains not only indicators which suggest significant achievement by Western, but also ones that identify areas where improvements are necessary in order to achieve our strategic plan priorities and aspirations.

Dr. Amit Chakma  
President and Vice-Chancellor

## **The Primary Data Sources**

The Council of Ontario Universities has for many years collected a wide variety of information from its member institutions: applications and marks data, space inventory, faculty and staff counts, and an annual financial report. By agreement, the member institutions do not publish comparisons which might impact the reputation of another member institution. Therefore, Western's performance indicators compare us to the aggregate of the other member institutions or present institutional comparisons without identifying other institutions.

In 1999 the executive heads of the G10, Canada's ten most research-intensive universities (Laval, Montreal, McGill, Queen's, Toronto, McMaster, Waterloo, Western, Alberta, and British Columbia) formed a data exchange consortium to facilitate comparative analysis and benchmarking. The G10 data exchange (G10DE) was modelled after a similar data exchange consortium of leading American research universities, and with the passage of time, the G10DE has produced a valuable set of comparative data. The G10 group was expanded in 2006 and again in 2010 to include Dalhousie University, the University of Ottawa, the University of Calgary, the University of Manitoba, and the University of Saskatchewan. Since that time the comparative indicators have been expanded gradually to include the larger U15 group as the five new members begin to provide data. Similar to the COU agreement, Western's performance indicators compare us to the aggregate of the other member U15 institutions or present institutional comparisons without identifying other institutions.

Western also participates in the American-based Consortium for Student Retention Data Exchange (CSRDE) which provides comparative information on student retention and graduation rates and the National Survey of Student Engagement (NSSE). When considering comparisons to American universities, Western selects the group of publicly-funded institutions classified by the Carnegie Foundation as being in the highest category of research-intensity.

## **The Format for the Indicators**

The indicators in this report will be presented in one of three formats, and the selection of a particular format is in large measure a function of data availability. Over time, with increased data availability, the format of a particular indicator may be modified and enhanced. Data will be presented as one of:

1. Western compared to peer institutions over time,
2. Western compared to peer institutions at a point in time (the most recently available year), or
3. Western's performance over a period of time with no peer comparator data.

## **Acknowledgements**

The analyses in this report have been prepared by James MacLean and Anna Bitel of the Office of Institutional Planning and Budgeting. They have been assisted by staff in many central support unit offices in the data collection effort. Ruban Chelladurai was responsible for the integrity of the analyses presented here, as well as for the organization of the report.

## Secondary School Grades of Incoming Students

### Figures 1, 2, and 3

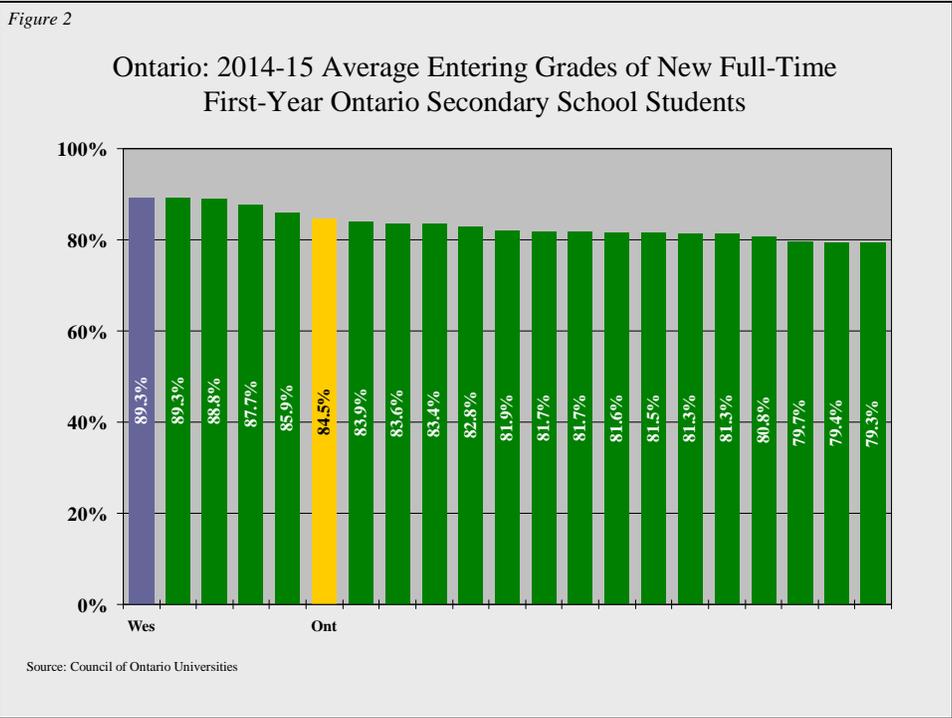
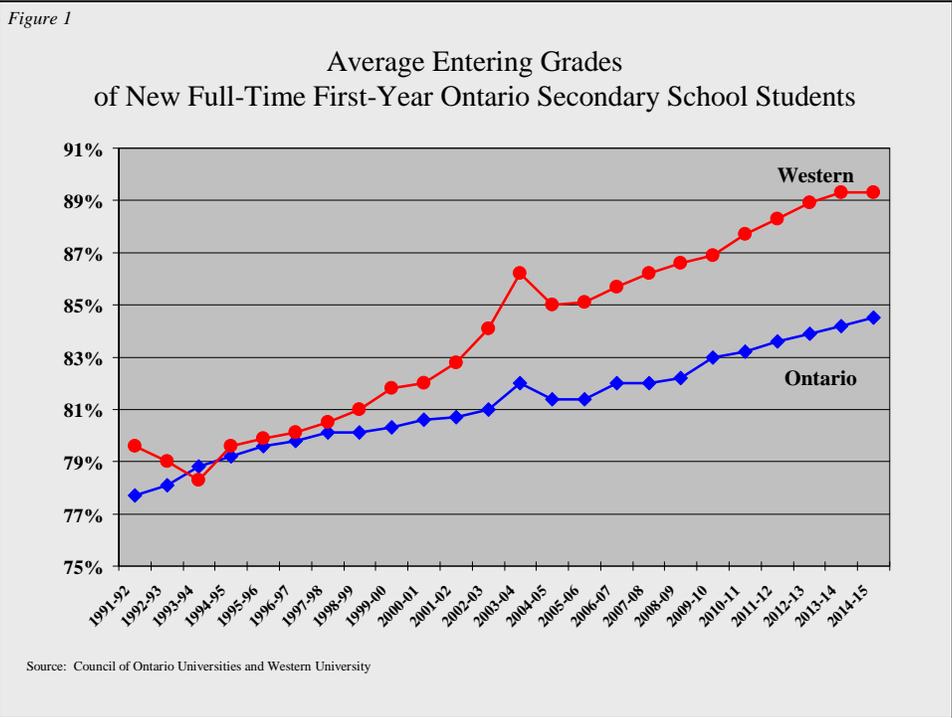
**Data Source:** Ontario Universities' Applications Centre (OUAC).

**Calculation of Indicator:** The analysis displays the final Ontario secondary school average grades for all first-time applicants who registered in the first year of study as full-time students at an Ontario university.

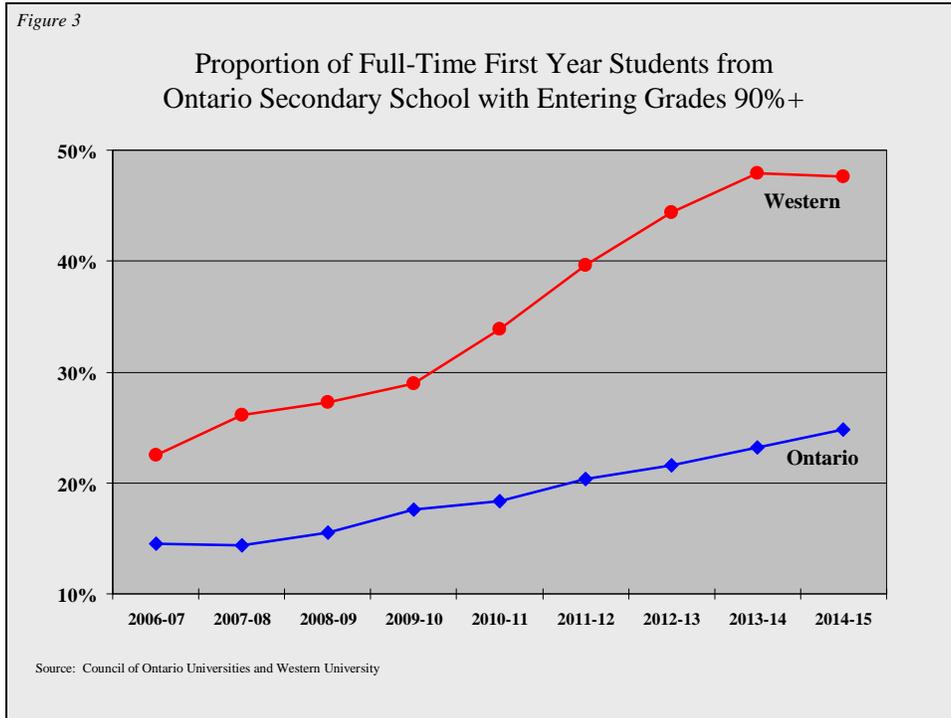
**Relation to Strategic Plan:** ***Metric A: Attract the brightest students as demonstrated through the highest entering grade average and the highest number of students with external awards among Canada's leading research-intensive universities.***

**Commentary:** In the mid-1990s the average entering grade for Western students fell below the Ontario average. This trend has been reversed, and the average entering grade of Western's first-year students is now at the top in Ontario and considerably higher than the provincial average. In 2004-05 there was a decline in the entering average for Western and for all Ontario universities, reflecting the passage of the sharp increase in applicants in 2003-04 occasioned by the double cohort. In 2014-15, the average grade for Western was nearly 5 percentage points higher than the aggregate of other Ontario universities.

Western's success in attracting the best students is particularly pronounced at the highest end of the grade scale. In 2014-15, about 48% of Western's first-year class has a minimum secondary school average of 90% compared to 25% for the aggregate of other Ontario universities.



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## Undergraduate Student Retention Rates

### Figures 4 and 5

**Data Source:** Consortium for Student Retention Data Exchange (CSRDE).

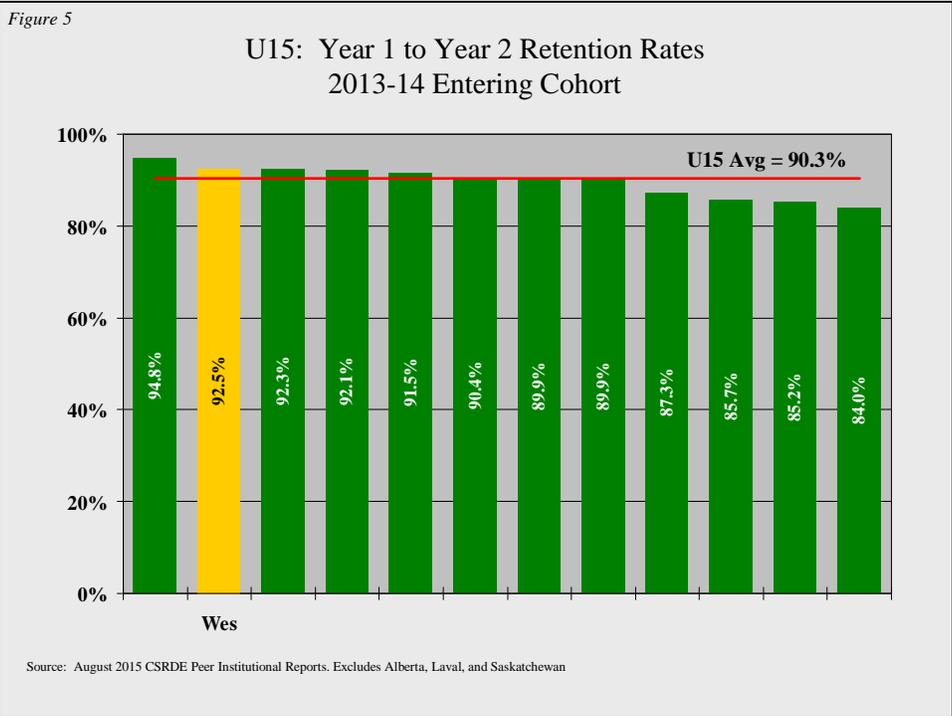
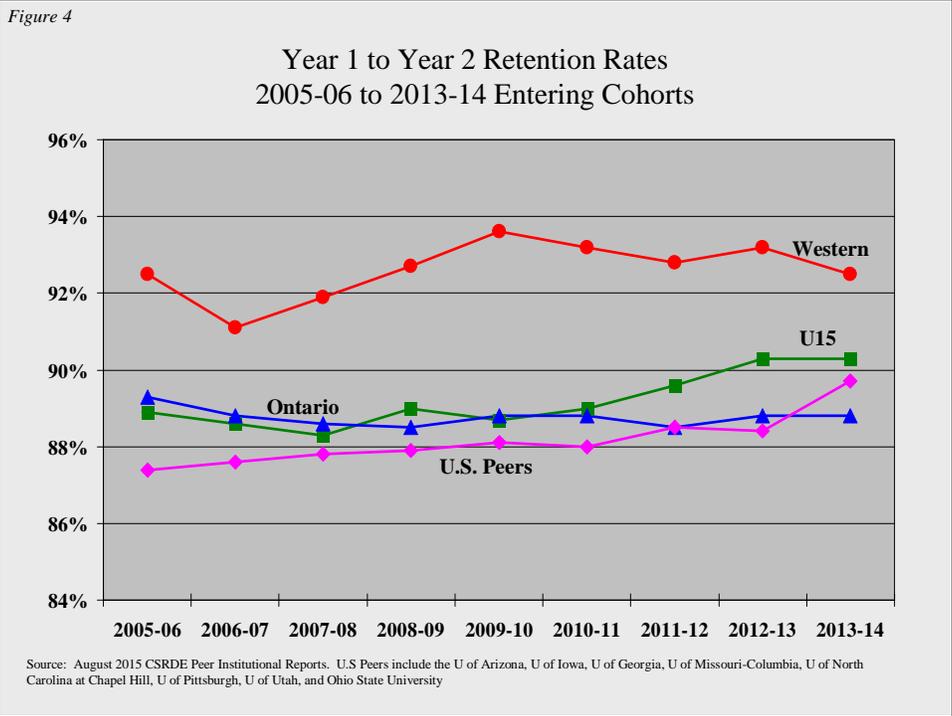
**Calculation of Indicator:** Each year the participants in the CSRDE submit data for the number of students who have successfully proceeded from year 1 to year 2 of study in direct-entry undergraduate programs.

**Relation to Strategic Plan:** *Metric B: Achieve the highest student retention and graduation rates among Canada's leading research-intensive universities.*

**Commentary:** In the 2013-14 reporting cycle, all Ontario universities and twelve of the U15 universities participated in the CSRDE – permitting meaningful comparison of retention rates across institutions.

The data suggest that, as the quality of Western's incoming class (as measured by entering grades) has steadily improved, so too have the retention rates of our students.

Western compares favourably in year 1 to year 2 retention rates with other Canadian institutions as well as our American peer group. Within the U15 group, Western ranks second in year 1 to year 2 retention rates.



## Undergraduate Student Graduation Rates

### Figures 6 and 7

**Data Source:** Consortium for Student Retention Data Exchange (CSRDE).

**Calculation of Indicator:** Each year the participants in the CSRDE submit data for the number of students who have successfully graduated from direct-entry undergraduate programs within six years of their entry into the program.

**Relation to Strategic Plan:** ***Metric B:** Achieve the highest student retention and graduation rates among Canada's leading research-intensive universities.*

**Commentary:** In the 2013-14 reporting cycle, all Ontario universities and twelve of the U15 universities participated in the CSRDE – permitting meaningful comparison of graduation rates across institutions.

Western's six-year graduation rate is substantially higher than the U15 average, the Ontario average, and the average for U.S. peer institutions. Within the U15 group, Western's graduation rate ranks second overall.

Figure 6

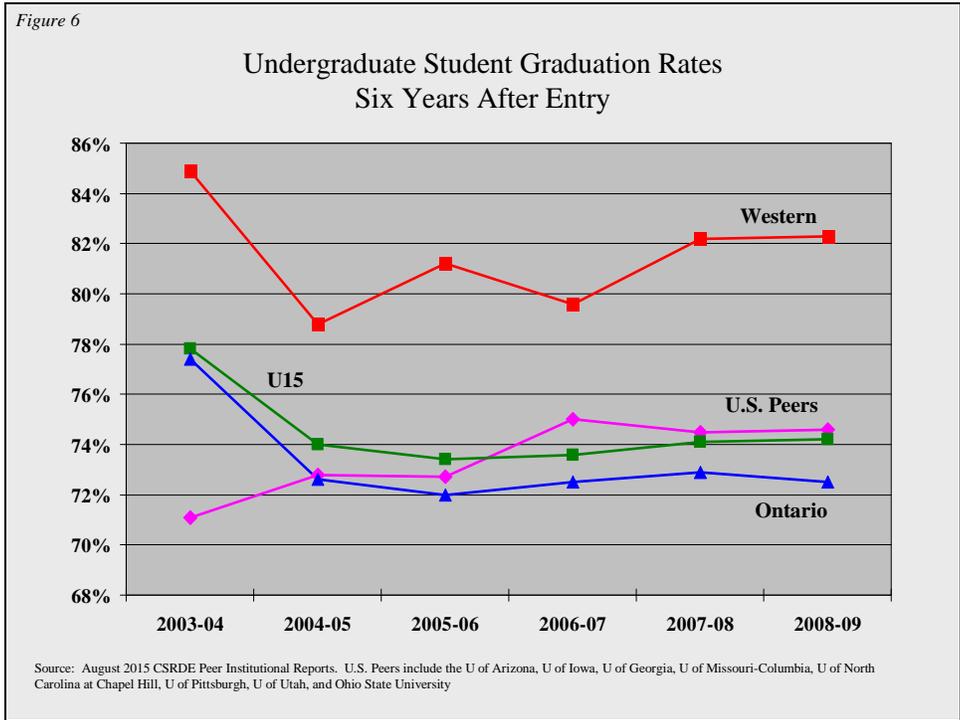
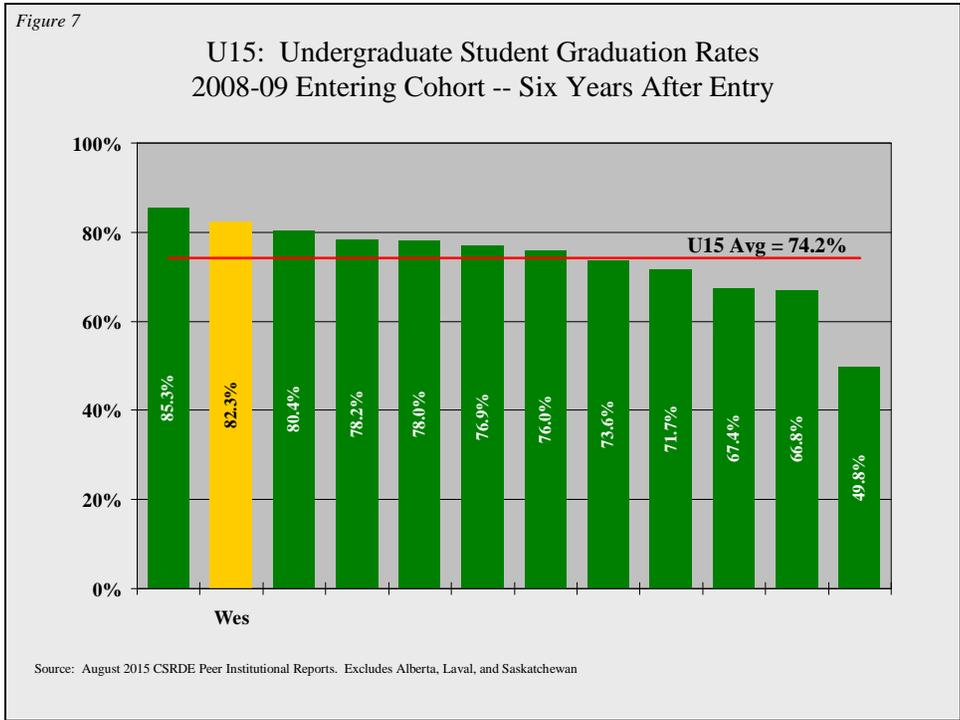


Figure 7



## Doctoral Students: Completion Rates and Time-to-Completion

### Figures 8 and 9

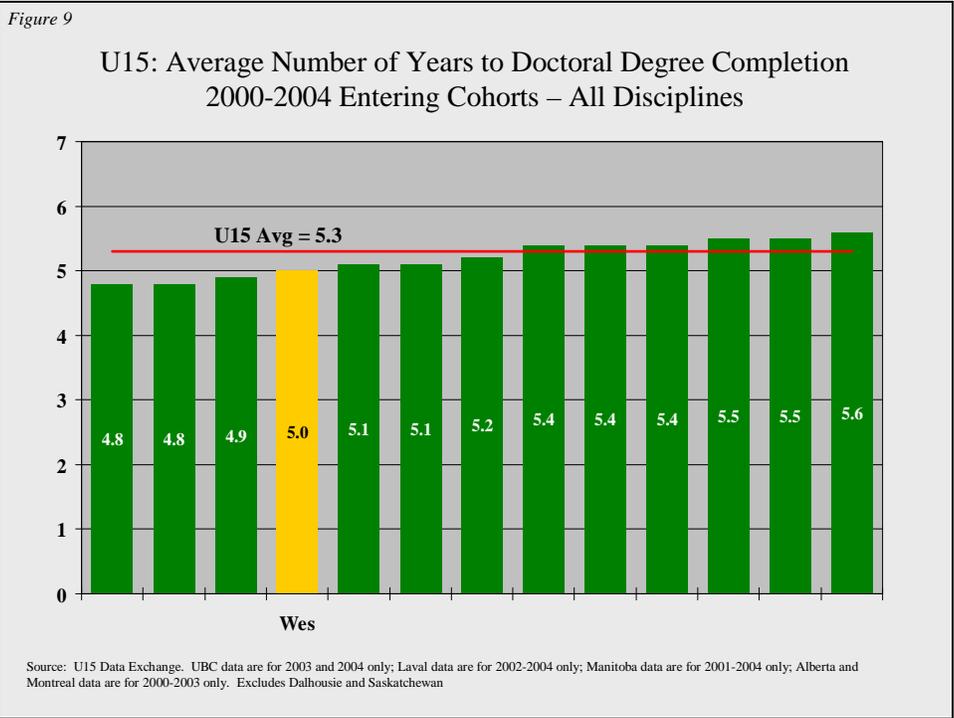
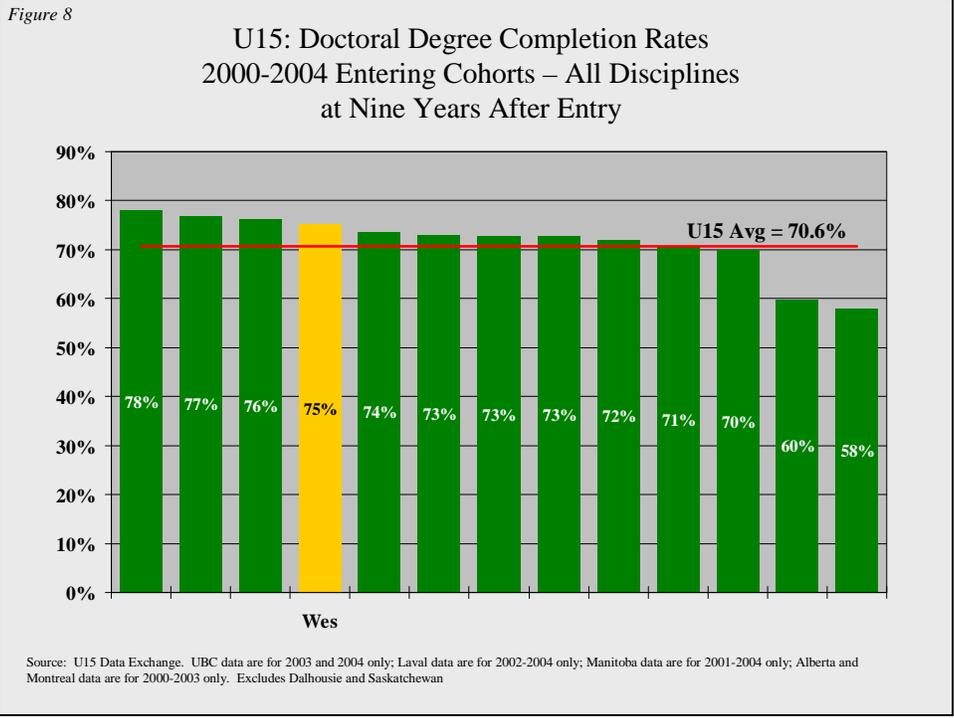
**Data Source:** U15 Data Exchange.

**Calculation of Indicator:** In order to accurately measure the completion rates and time-to-completion for students in doctoral programs, the U15 data exchange developed a detailed methodology which tracks each entering student on a term-by-term basis for nine years after first registration. This gives a precise reading on the percentage of each entering cohort who graduate, as well as the length of time involved to complete the program. The exchange has gathered information on the 2000 through 2004 entering cohorts.

**Relation to Strategic Plan:** ***Metric B: Achieve the highest student retention and graduation rates among Canada's leading research-intensive universities.***

**Commentary:** 75 percent of Western's doctoral students successfully complete their PhD, taking an average of five years to do so. Both indicators for Western are better than the U15 average, and both have remained stable in recent years. Given the expansion of doctoral enrolment at Western in recent years, it will be important to monitor these two indicators.

A cautionary note about these two indicators: both the completion rate and the time-to-completion will vary significantly by disciplinary group, with lower completion rates and longer completion times, for example, in the humanities disciplines across all universities.



## **Student Satisfaction: Evaluation of Instructor Effectiveness and Overall Satisfaction with Education Received**

### **Figures 10 and 11**

**Data Source for Figure 10:** Instructor/Course Evaluation Survey at Western.

**Calculation of Indicator:** Each year, all Western students are invited to submit course evaluations for their undergraduate courses. Students grade their course experience on a variety of measures, on a scale of 1 (poor) to 7 (outstanding). The indicator summarizes the history of these student evaluations of their course instructor's effectiveness.

*Relation to Strategic Plan: **Metric C:** Enhance the learning experience by providing a community-based experiential learning opportunity, an international learning opportunity, or a research learning opportunity for all undergraduates who wish to pursue one as part of their degree.*

**Commentary:** The survey results indicate a stable and very high level of satisfaction on the part of students at both the direct-entry and second-entry level.

**Data Source for Figure 11:** Exit survey of all Western undergraduate students at time of graduation.

**Calculation of Indicator:** Graduating students are invited to grade their overall undergraduate educational experience at Western on a scale of 1 (not at all satisfied) to 5 (very satisfied). The indicator presents the history of students' satisfaction with the overall educational experience.

**Commentary:** The results indicate that, at the time of graduation, about 95 percent of Western's undergraduates were satisfied with the overall educational experience. This level of satisfaction has been consistent in recent years.

Figure 10

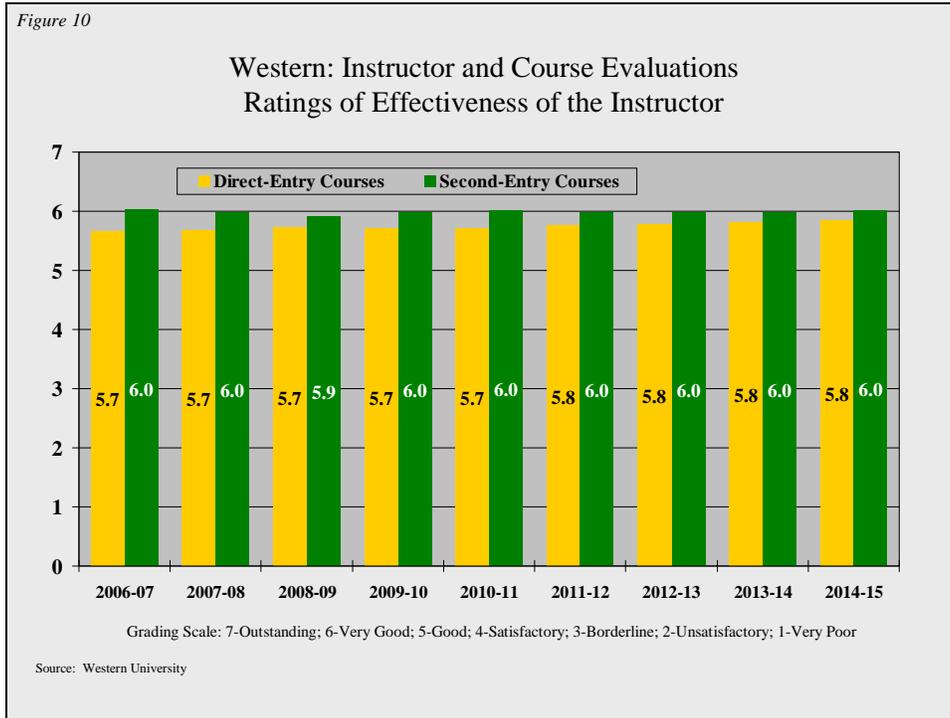
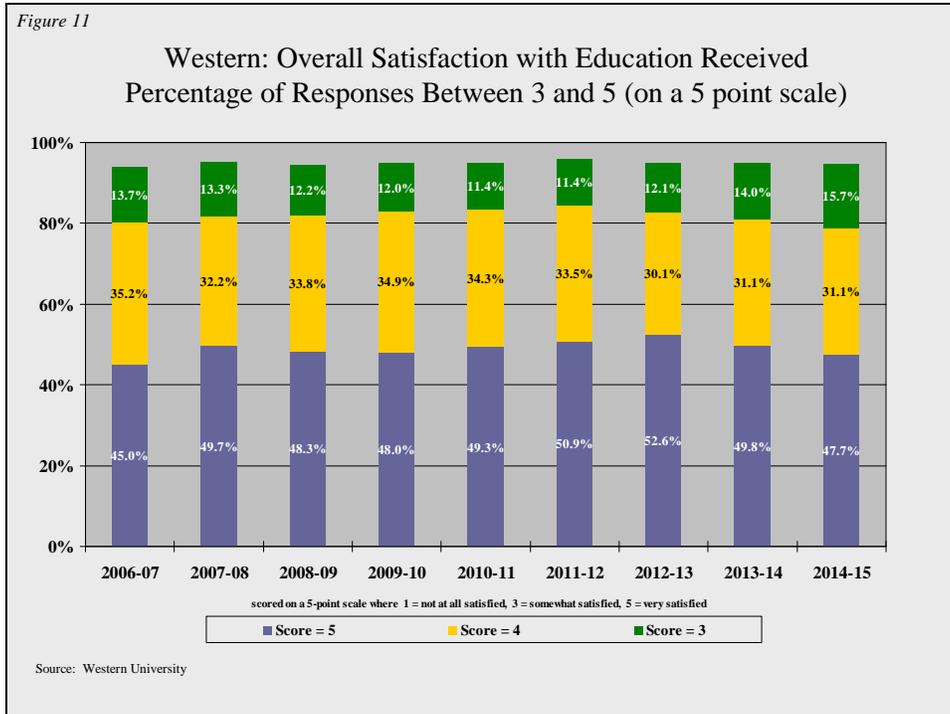


Figure 11



## **Student Satisfaction: The National Survey of Student Engagement (NSSE)**

### **Figures 12 and 13**

**Data Source:** National Survey of Student Engagement (NSSE).

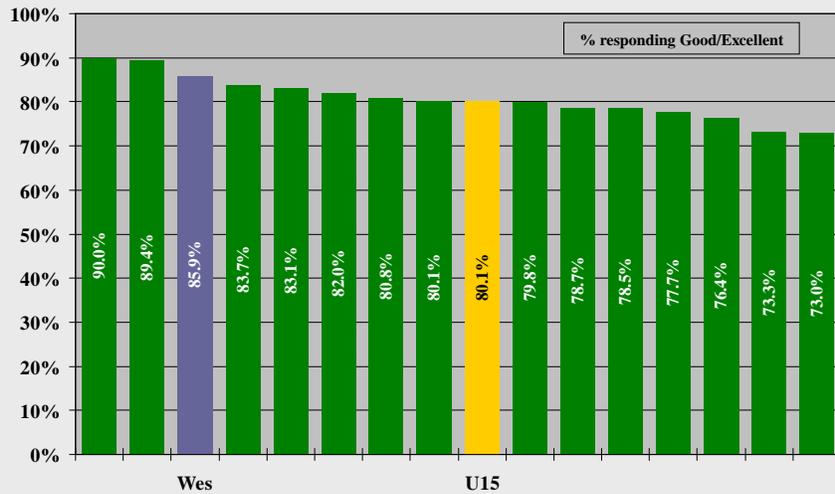
**Calculation of Indicator:** The 2014 NSSE survey – with modified content/questions – was administered to all first-year and fourth-year undergraduate students. The survey asked the question: “How would you evaluate your entire educational experience at the institution”? Responses to this question are summarized in Figures 12 and 13.

**Relation to Strategic Plan: Metric C:** *Enhance the learning experience by providing a community-based experiential learning opportunity, an international learning opportunity, or a research learning opportunity for all undergraduates who wish to pursue one as part of their degree.*

**Commentary:** About 86% of first-year and 88% of fourth-year students at Western ranked their Western experience as good or excellent. Western far exceeds the U15 average – and ranks third among first-year students and second among fourth-year students.

Figure 12

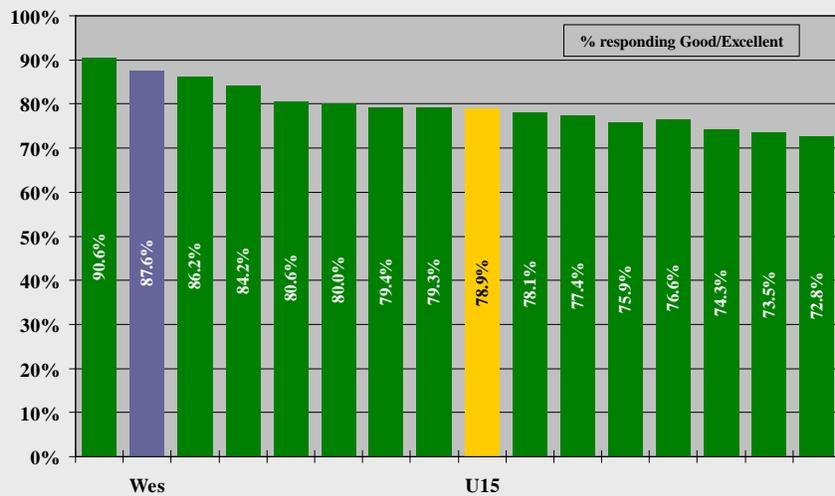
U15: How Would You Evaluate Your Entire Educational Experience at this Institution? -- First Year Students



Source: NSSE 2014 -- U15 Data Exchange

Figure 13

U15: How Would You Evaluate Your Entire Educational Experience at this Institution? -- Senior Year Students



Source: NSSE 2014 -- U15 Data Exchange

## International Experience Opportunities for Our Students

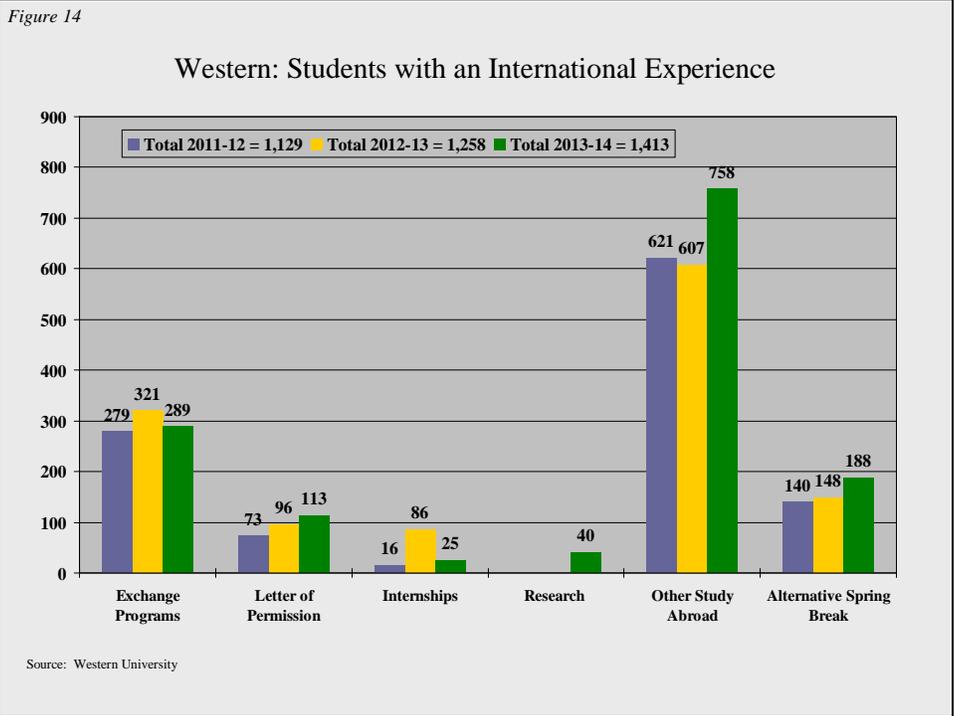
### Figure 14

**Data Source for Figure 14:** Western University.

**Calculation of Indicator:** The data underlying figure 12 come from a recent initiative carried out by Western International – and are gathered from a variety of sources, including our student records system and from our Faculties themselves. The indicator summarizes the number of Western students with various types of international experiences.

**Relation to Strategic Plan: Metric C: *Enhance the learning experience by providing a community-based experiential learning opportunity, an international learning opportunity, or a research learning opportunity for all undergraduates who wish to pursue one as part of their degree.***

**Commentary:** Internationalization is a more recent priority for the University – and Western International is placing high priority in the expansion of existing and the development of new international experience programs and opportunities for our students. The results show a steady increase in the total number of students with an international experience – which includes registration in a foreign university through a letter of permission or participation in exchange programs, internships, research opportunities, the alternative spring break, or other study abroad programs.



## Out-of-Province and International Undergraduate Students

### Figures 15 and 16

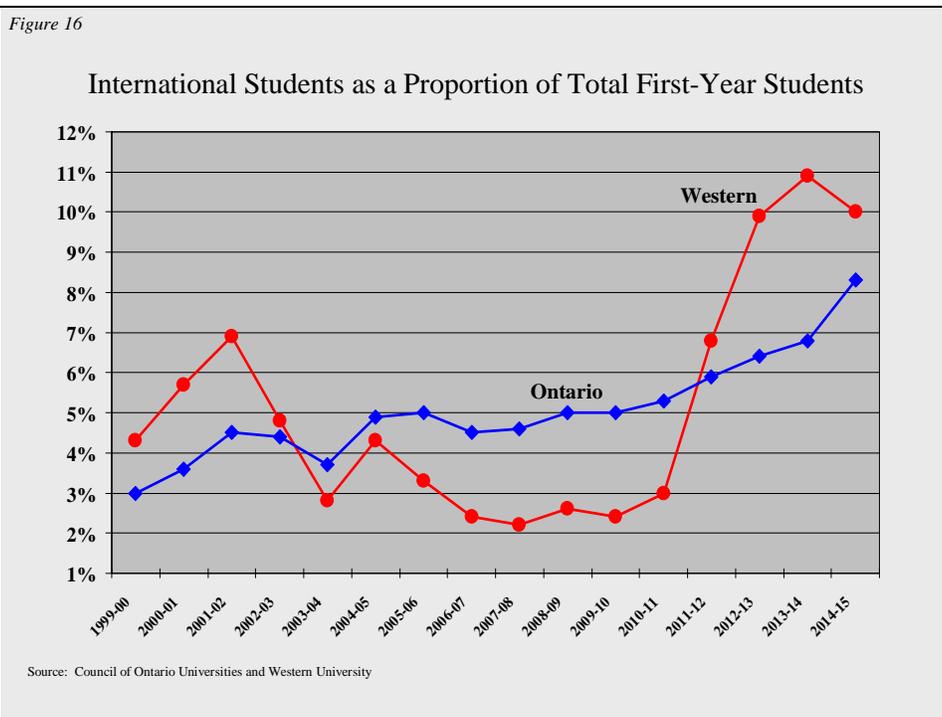
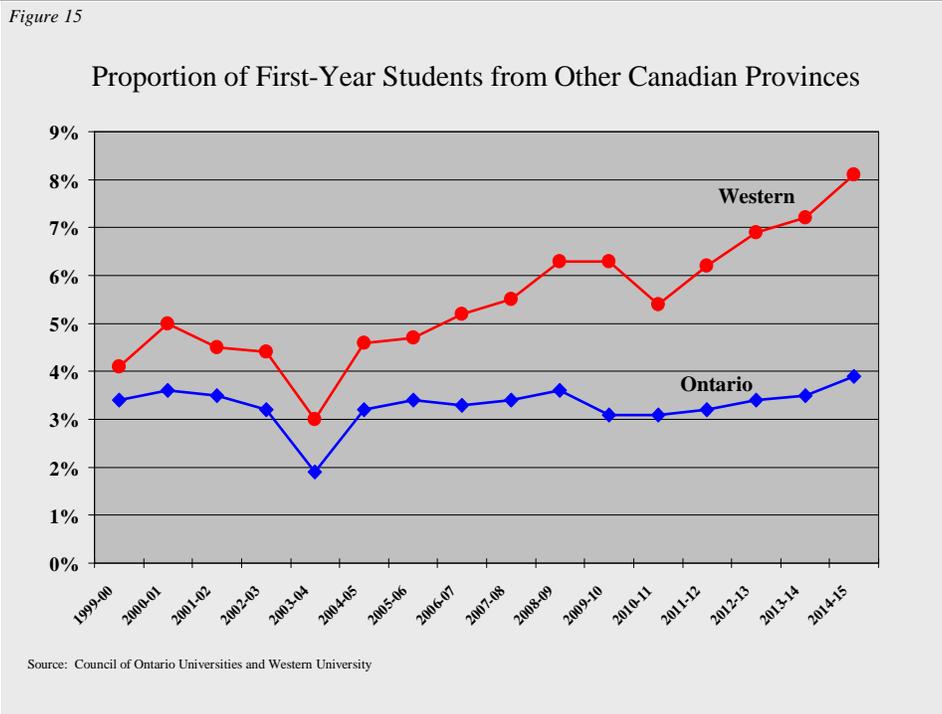
**Data Source:** Ontario Universities' Applications Centre (OUAC).

**Calculation of Indicator:** First-year out-of-Province and international students as a proportion of total full-time first-year direct-entry enrolments – compared to the aggregate of Ontario universities.

**Relation to Strategic Plan: Metric D: Increase international undergraduate student enrolment to at least 15% and domestic out-of-province student enrolment to at least 10% of the undergraduate student body.**

**Commentary:** In cooperation with the Ministry of Training, Colleges, and Universities, all of Ontario's universities, including Western, deliberately reduced the intake of out-of-Province and international students in 2002-03 and 2003-04 in order to create more first-year places for Ontario secondary school students who were graduating as part of the double cohort. This trend has been reversed, and Western's intake of out-of-Province students in 2014-15 was more than double the provincial average.

Expansion of undergraduate international enrolment is a strategic priority for the University, and various recruitment strategies have been implemented to achieve enrolment growth. In the most recent year, about 10% of our first-year intake was international students.



## **Graduate Student Enrolment as a Proportion of Total Enrolment**

### **Figures 17 and 18**

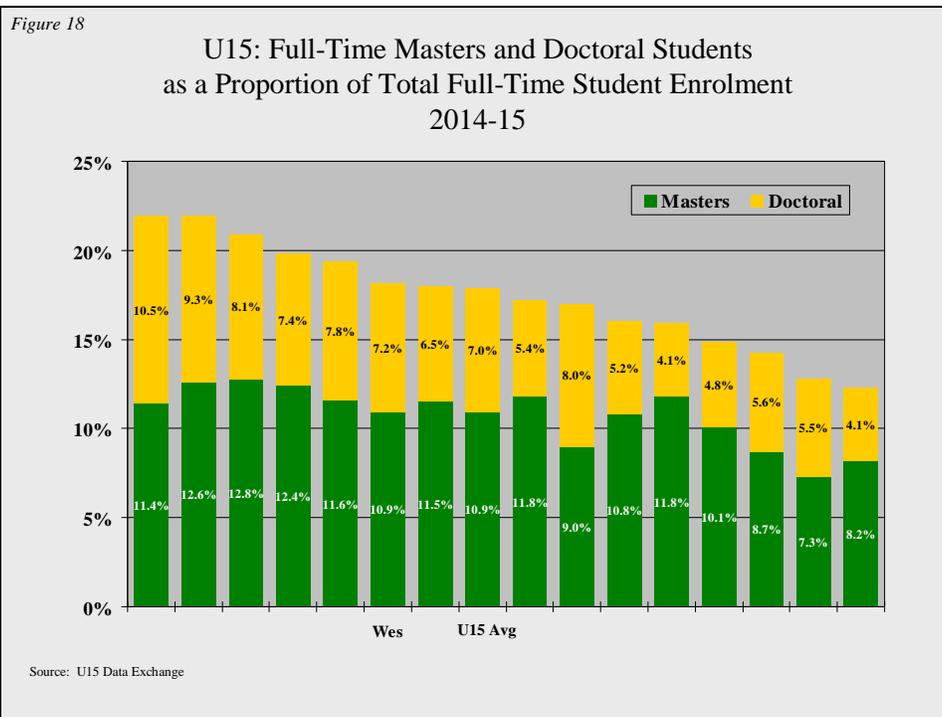
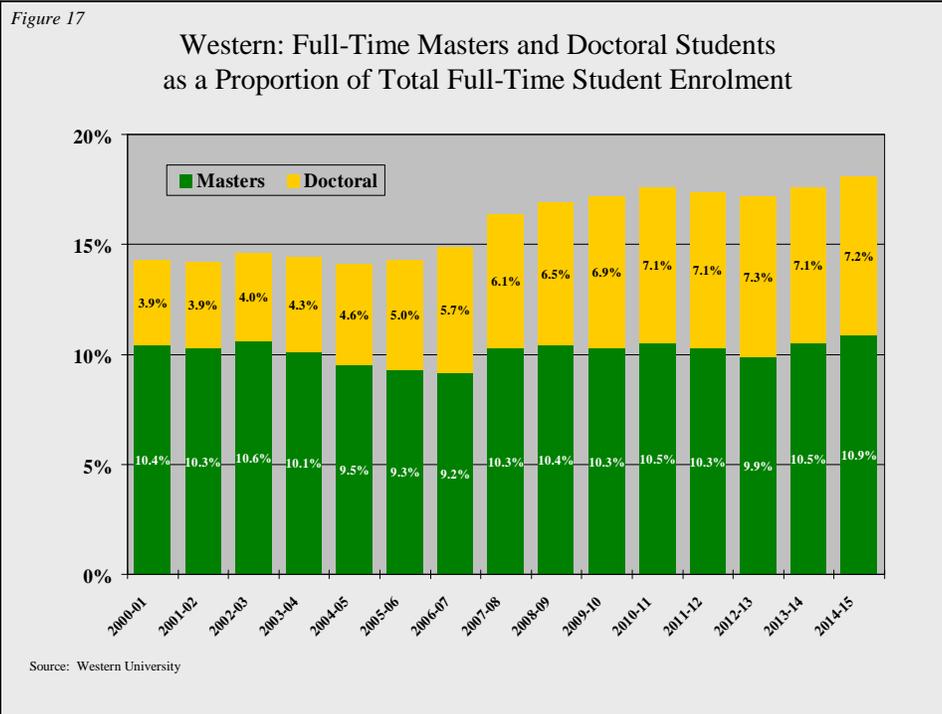
**Data Source:** U15 Data Exchange and Western University.

**Calculation of Indicator:** Fall term full-time graduate headcount enrolments (at the masters and doctoral levels) are expressed as a percentage of total fall term full-time headcounts. Two indicators are presented – one for Western over a number of years and one comparing Western to the U15 universities.

**Relation to Strategic Plan:** ***Metric E: Increase graduate student enrolment to at least 20% of the total student body.***

**Commentary:** Western's full-time graduate enrolment as a proportion of total full-time enrolment has shown steady improvement since 2000-01, increasing from 14.3% to 18.1%. In particular, full-time PhD enrolment now represents just over 7% of the full-time population, up from 4% in 2000-01.

Based on 2014-15 data, Western is in the mid-tier compared to other U15 institutions. Western's proportion in the 18% range is well below the levels of the top 4 institutions whose proportion is in the 20% to 22% range.



## Gender Balance of Faculty and Staff

### Figures 19 through 22

**Data Source:** U15 Data Exchange and Western University.

**Calculation of Indicator:** A history of gender breakdown (numbers and percentages) for full-time faculty, tenured and probationary faculty, and full-time staff at Western are shown. Similarly, for the most recent year, the gender breakdown of tenured and probationary faculty at the U15 universities is summarized.

**Relation to Strategic Plan:** *Metric F: Increase diversity among our faculty and staff, including the recruitment and retention of designated employee groups (including women, visible minorities, aboriginal persons, and persons with disabilities) to lead or exceed the U15 averages for representation.*

**Commentary:** In 2014-15, 34% of tenure-track faculty at the U15 institutions were women. Western is very near the U15 average.

Over the past decade, between 2004-05 and 2014-15, Western's proportion of women tenure-track faculty has increased from 26% to 34%.

The proportion of women in the full-time staff category at Western has remained stable at about 64%.

Figure 19

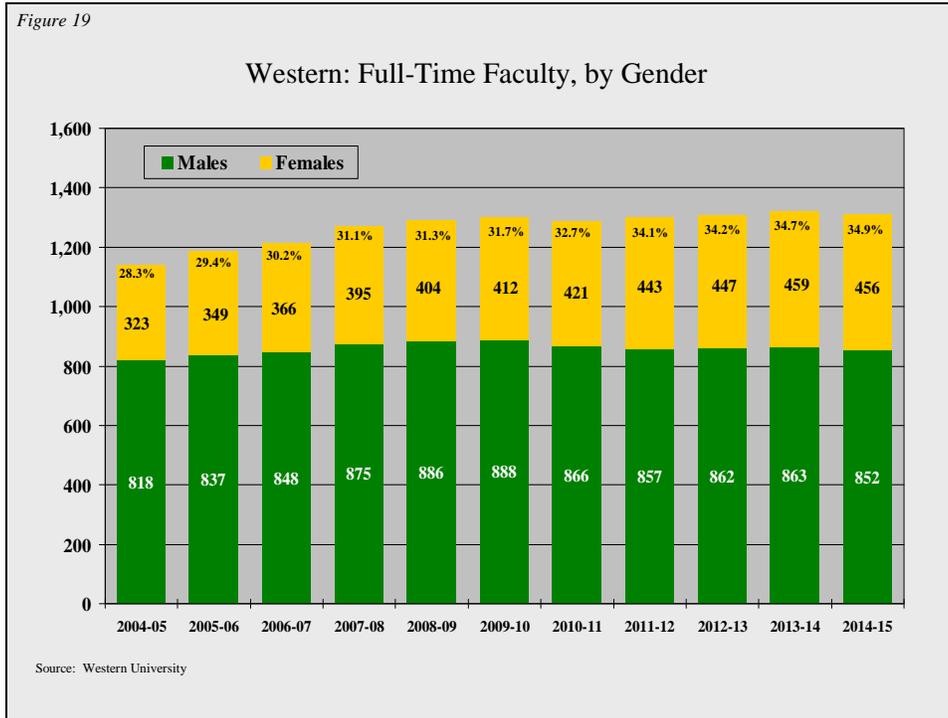
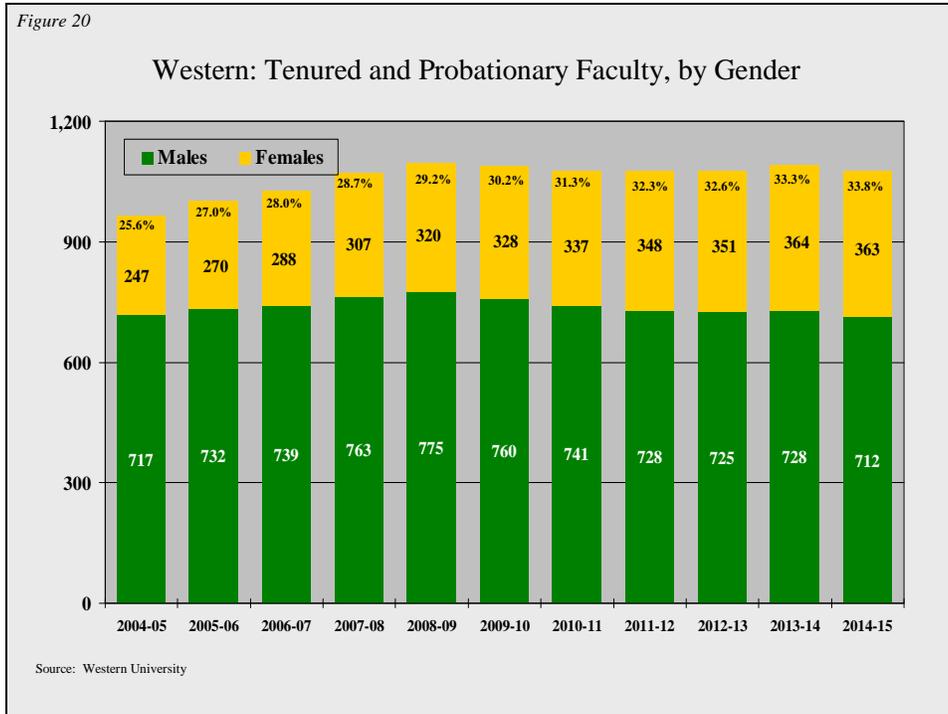


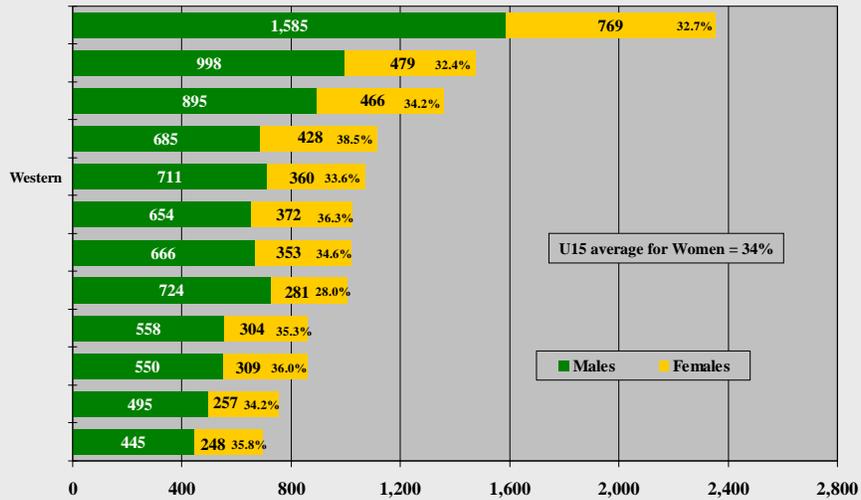
Figure 20



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Figure 21

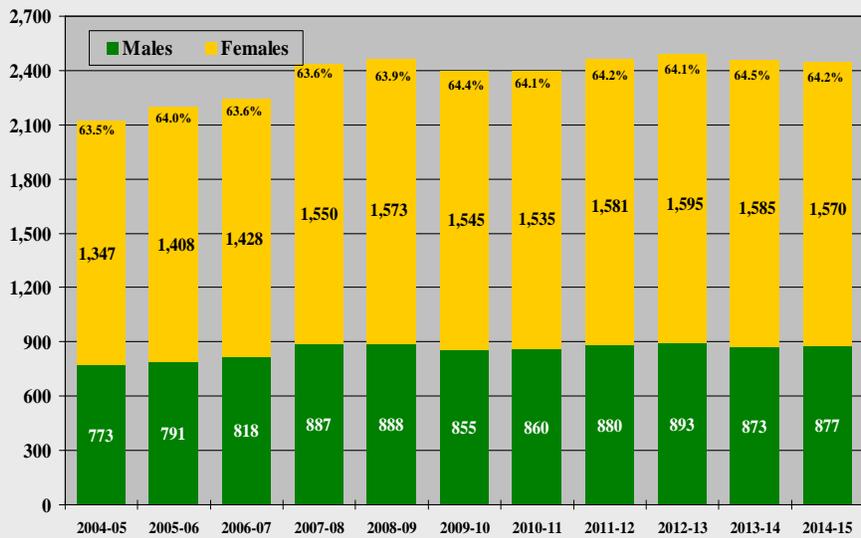
U15: Tenured and Probationary Faculty, by Gender  
2014-15



Source: U15 Data Exchange. Excludes Laval, Montreal and Toronto

Figure 22

Western: Total Full-Time Staff by Gender at Western



Source: Western University

## Research Chairs

### Figures 23 through 25

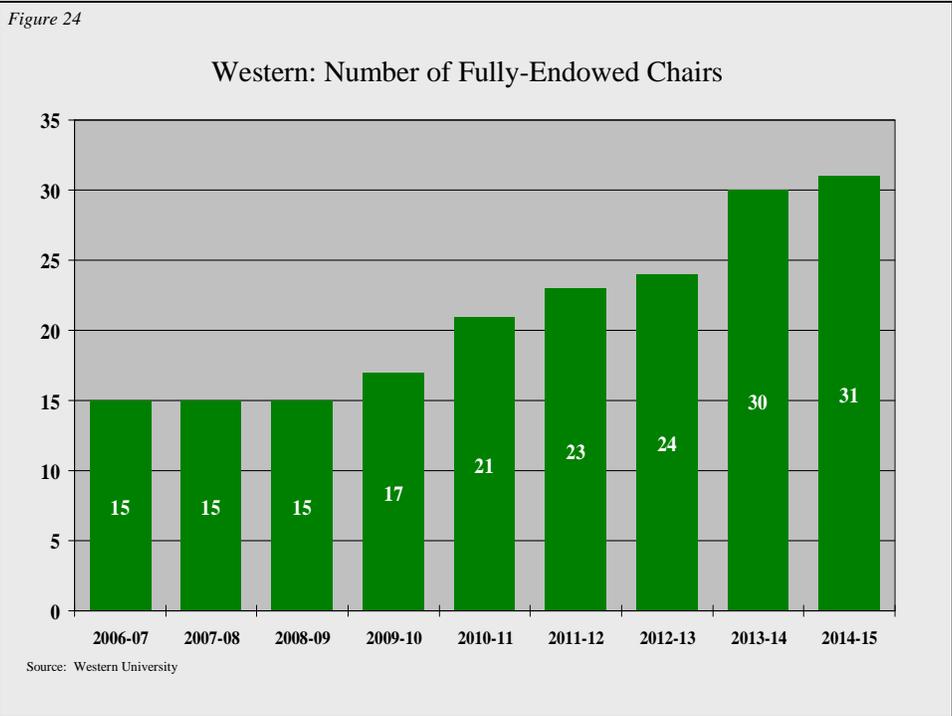
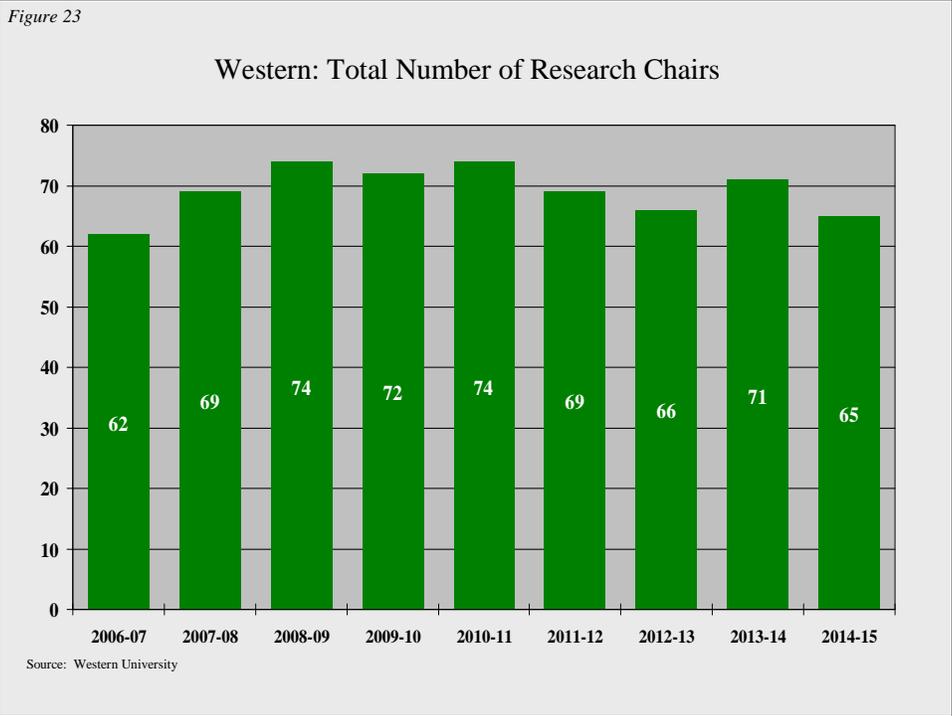
**Data Source:** Western University.

**Calculation of Indicator:** Counts of externally-funded research chairs and endowed chairs at Western – between 2006-07 and 2014-15.

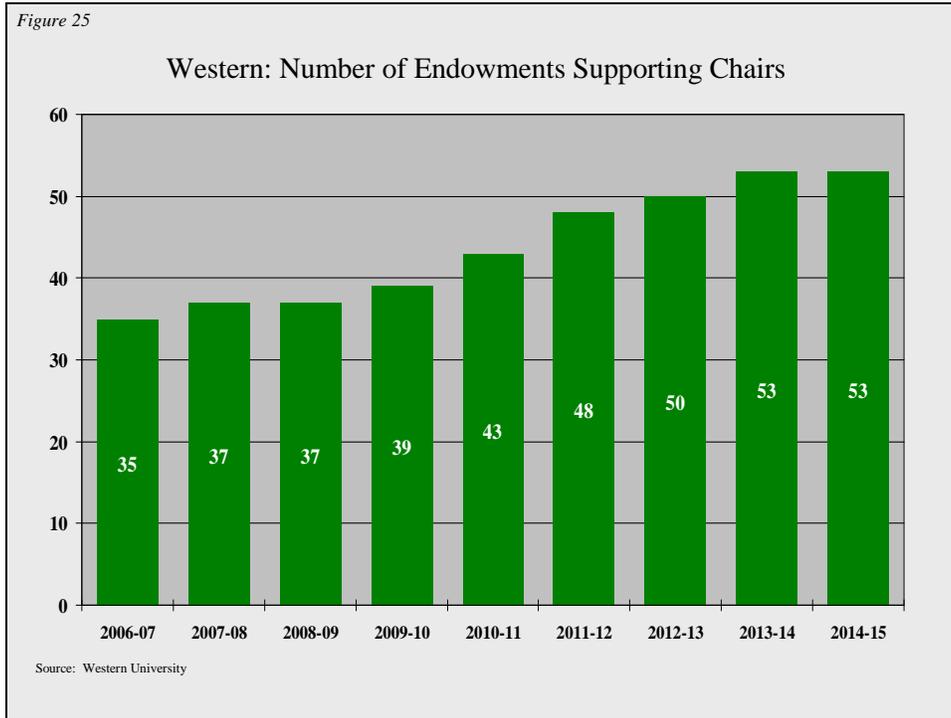
**Relation to Strategic Plan:** Metric G: *Add 100 research chairs, including 50 endowed chairs, in areas of strengths.*

**Commentary:** Externally-funded research chairs include the Canada Research Chairs, the NSERC Industrial Research Chairs, and chairs supported by funding from other external organizations – and the counts shown include only those chairs occupied by a faculty member. The number of research chairs has fluctuated slightly in recent years – reflecting both the external funding environment and Western’s relative performance in the research grant success.

The number of endowed chairs continues to grow – reflecting the emphasis placed on this priority in our fundraising campaign and the commitment of University matching funds in recent years.



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## Research Funding

### Figures 26 through 28

**Data Source for Figures 26 and 27:** Western University and Federal Granting Councils.

**Calculation of Indicator:** Western's total value and share of grant funding (excluding student awards and career awards) from each of the Federal Granting Councils.

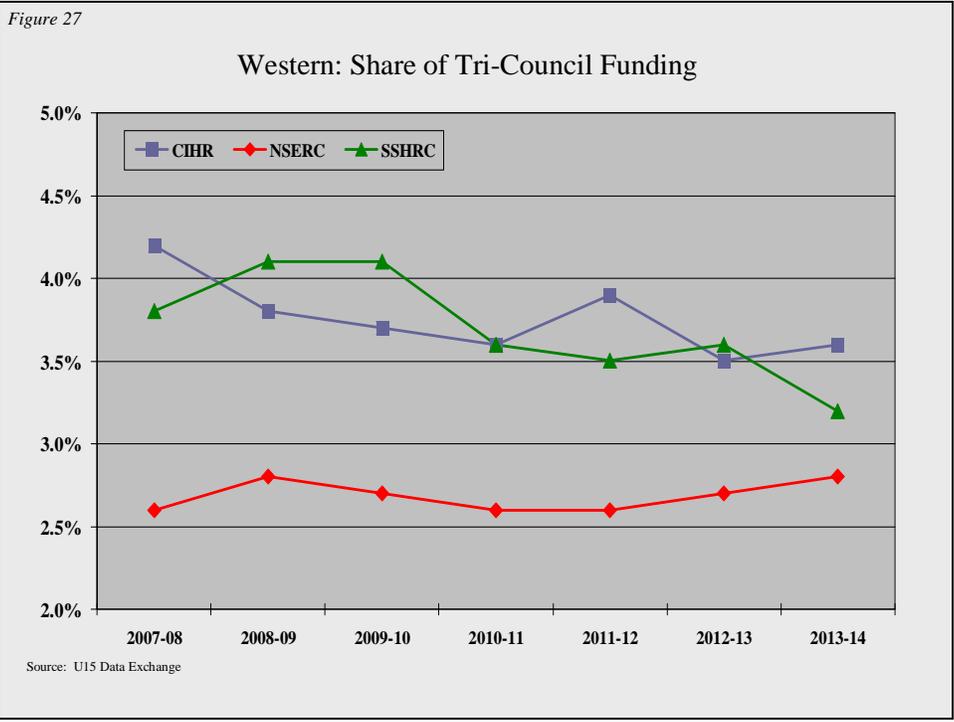
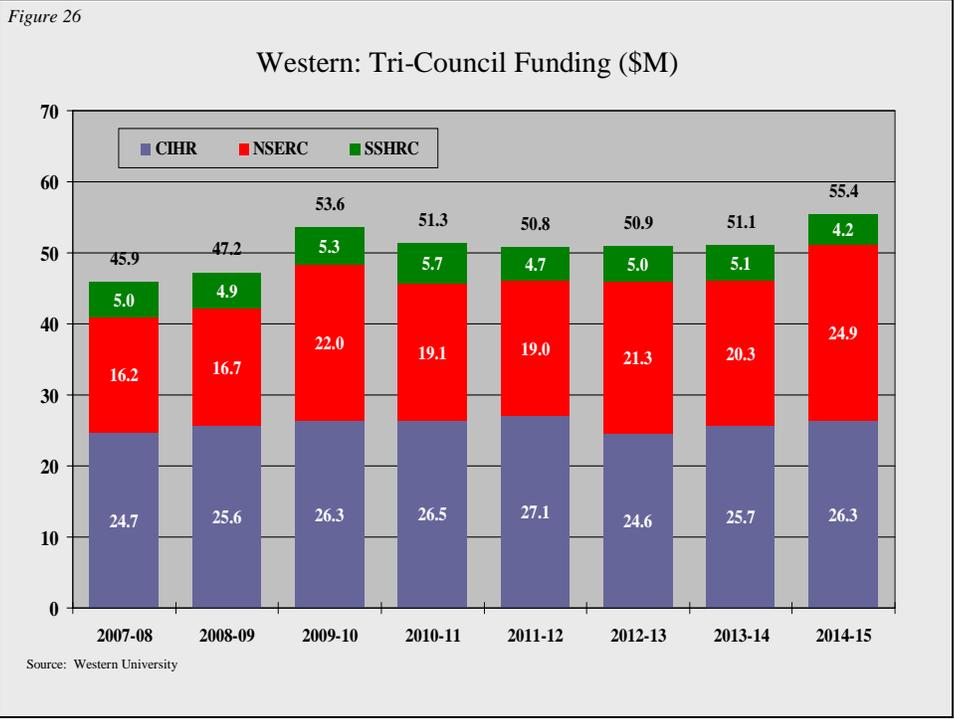
**Relation to Strategic Plan: Metric H:** *Increase our national share of funding awarded from each of the Federal Tri-Councils.*

**Commentary:** In recent years, the total value of funding from the granting councils has remained fairly stable – with a modest increase in the most recent year, largely due to an increase in the NSERC component. However, our shares from CIHR and SSHRC have declined and our share from NSERC has increased slightly.

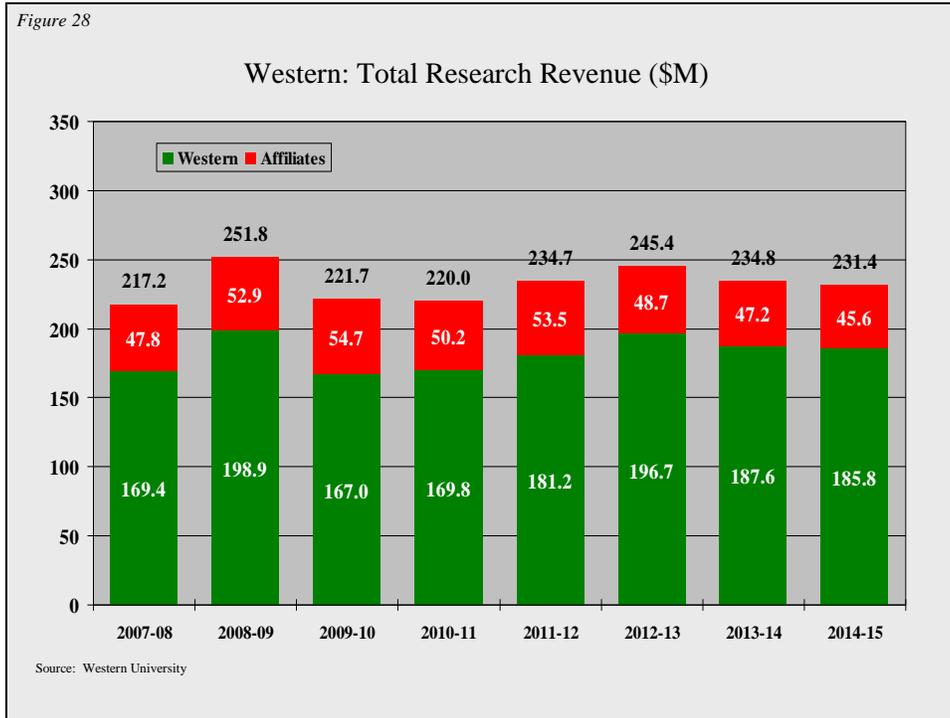
**Data Source for Figure 28:** Western University

**Calculation of Indicator:** Western's total research funding from all sources.

**Commentary:** Total research funding has remained stable – with minor fluctuations over the 8-year period. The sources of funding include the federal granting councils, other federal government programs, provincial government programs, corporations, foundations, and associations.



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## Teaching and Research Awards

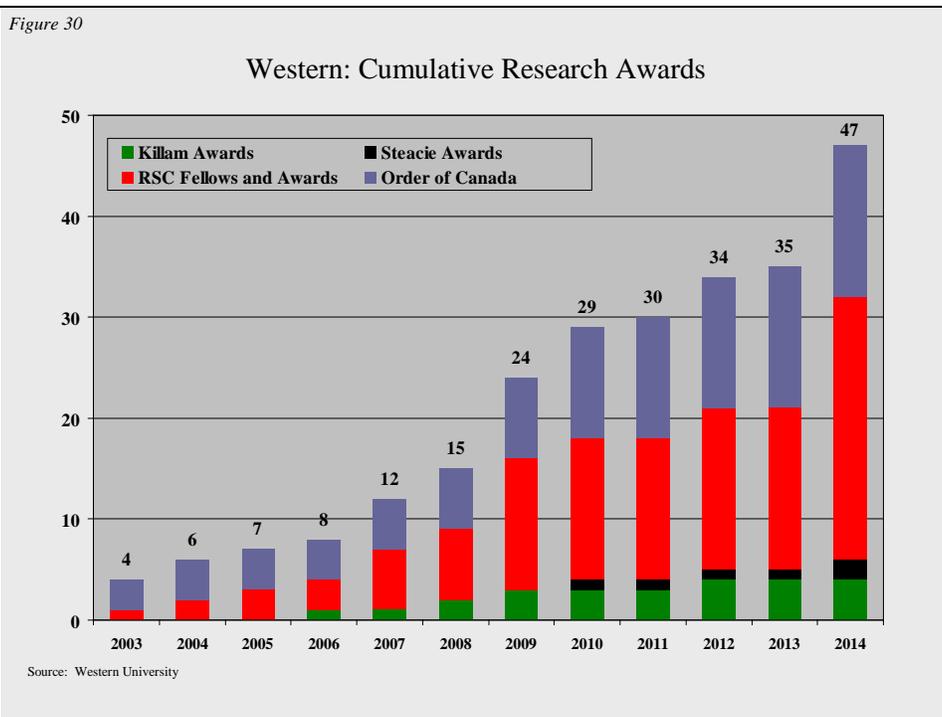
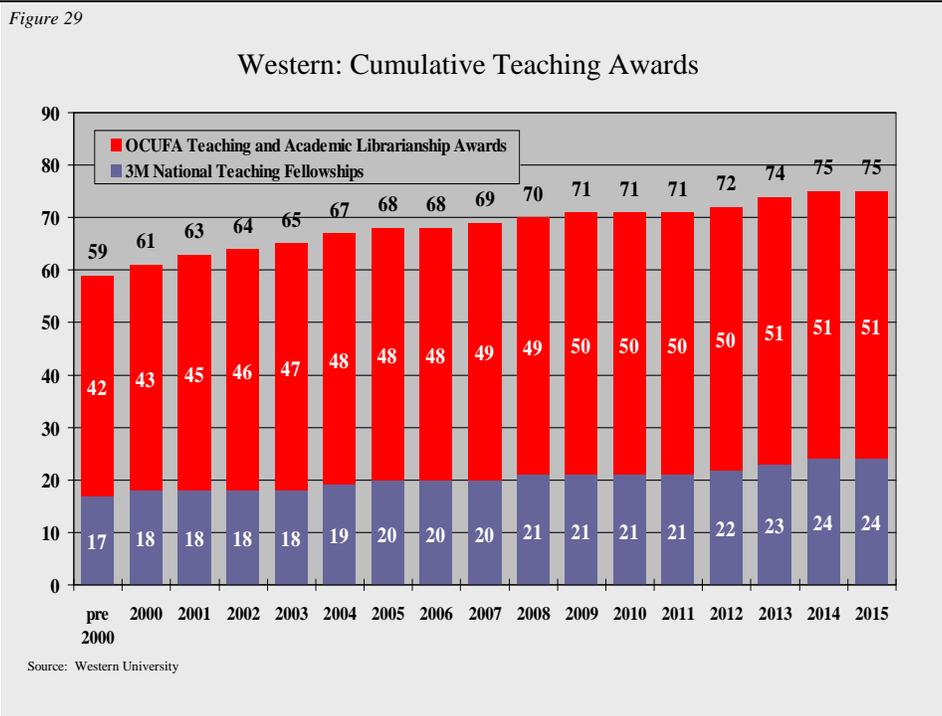
### Figures 29 and 30

**Data Source:** Western University.

**Calculation of Indicator:** The cumulative number of Western faculty who have won external teaching and research awards. Teaching awards include the OCUFA Teaching and Academic Librarianship Awards, and the 3M National Teaching Fellowships. Research Awards include Killam Awards, Steacie Awards, Royal Society of Canada (RSC) Fellows and Awards, and the Order of Canada Awards.

**Relation to Strategic Plan:** Metric I: *Increase the number of faculty members who have won national and international teaching/research awards and similar distinctions.*

**Commentary:** The cumulative number of teaching awards – both the OCUFA and 3M Awards – shows a steady pattern of increase. On the research awards side, there is a similar pattern of increase. It should be noted that, starting in 2014, the RSC Fellows and Awards include a new category for new scholars, artists, and scientists – and Western’s faculty members received 4 of these awards in 2014.



## Internationally Ranked Faculties, Schools, and Departments

### Figure 31 and 32

**Data Source:** Western University and Ranking Agencies

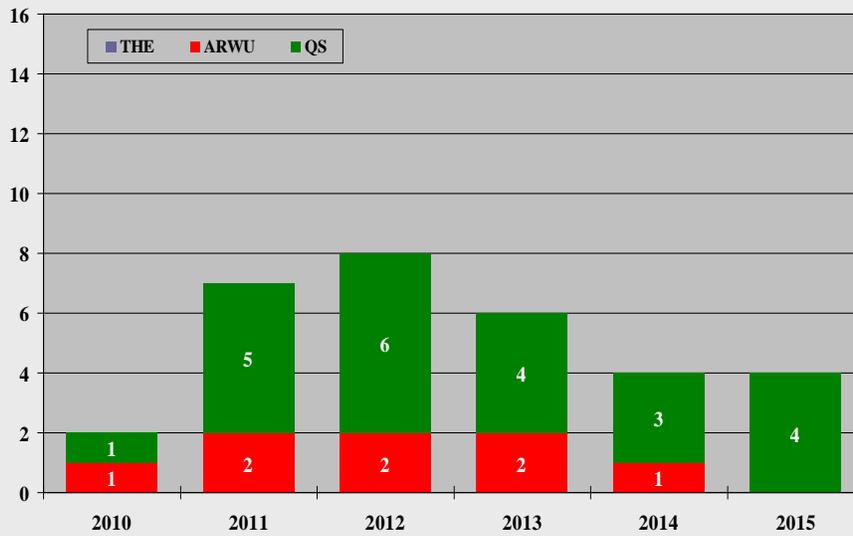
**Calculation of Indicator:** The number of Departments at Western that rank among the top 100 in the following major international ranking exercises: the Quacquarelli Symonds (QS) World University Rankings, the Times Higher Education (THE) World University Rankings, and the Academic Ranking of World Universities (ARWU).

**Relation to Strategic Plan: Metric J:** *Double the number of academic Departments, Schools, and Faculties that rank among the world's top 100 universities in major international surveys.*

**Commentary:** International rankings of programs and fields are based entirely on third party bibliometric information and reputational survey data. Bibliometric information is generally constructed through the categorization of journals into broad subject areas – which do not directly aligned to our Faculties/departments/programs. In addition, the bibliometric data are based on counts over a period of time (usually 5 years) – and therefore, immediate changes in rankings are difficult to achieve.

Figure 31

### Western: Programs in “Top 100” – QS, THE, ARWU



Source: Western University and Ranking Agencies

Figure 32

### Western: Programs/Fields Ranked in “Top 100”

	ARWU	QS
<b>2010</b>	Economics/Business (p)	Social Science/Management (f)
<b>2011</b>	Economics/Business (p), Social Science (f)	Accounting/Finance (p), Economics (p), Philosophy (p), Psychology (p), Statistics (p)
<b>2012</b>	Economics/Business (p), Social Science (f)	Accounting/Finance (p), Economics (p), History (p), Pharmacology (p), Philosophy (p), Psychology (p)
<b>2013</b>	Economics/Business (p), Social Science (f)	Accounting/Finance (p), Economics (p), Philosophy (p), Psychology (p)
<b>2014</b>	Economics/Business (p)	English (p), Philosophy (p), Psychology (p)
<b>2015</b>		Business & Management (p), History (p), Philosophy (p), Psychology (p)

Source: Western University and Ranking Agencies

## Western: Share of Operating Revenue from Non-Provincial Sources

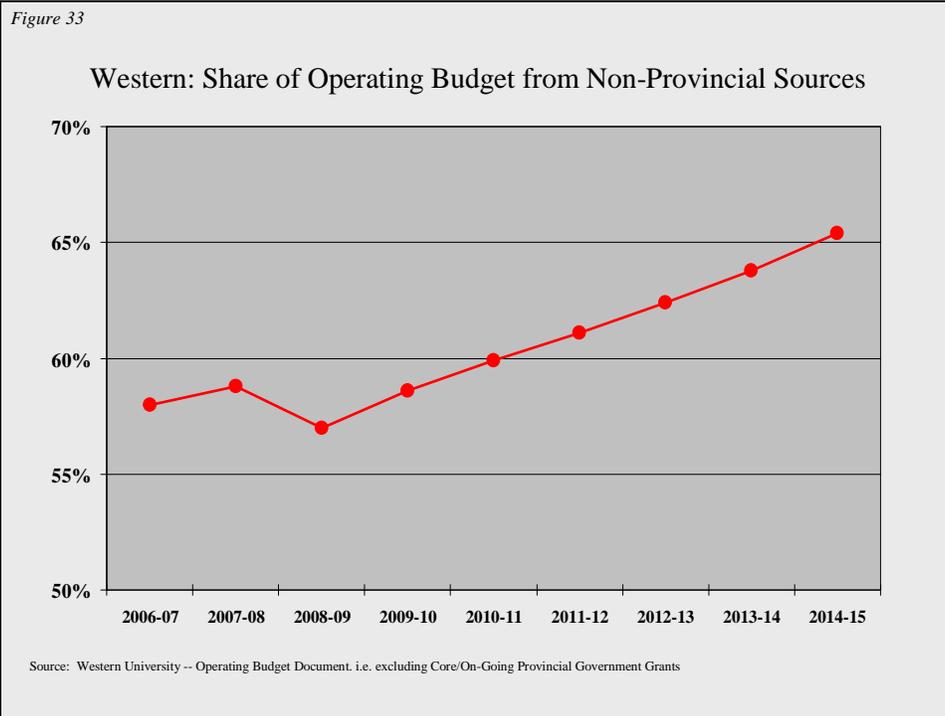
### Figure 33

**Data Source:** Western University.

**Calculation of Indicator:** The proportion of the University's operating revenue derived from sources other than the Provincial Governments' recurring core/on-going grant funding.

**Relation to Strategic Plan:** Metric K: *Increase share of operating budget from non-Provincial sources by 1% per year.*

**Commentary:** The proportion of our operating revenue coming from non-Provincial sources continues to increase at a steady rate. In recent years, the 1% per year target has been achieved – and is largely due to increases in tuition revenue, in particular undergraduate international student tuition revenue.



## Western's Total Endowment Value

### Figure 34

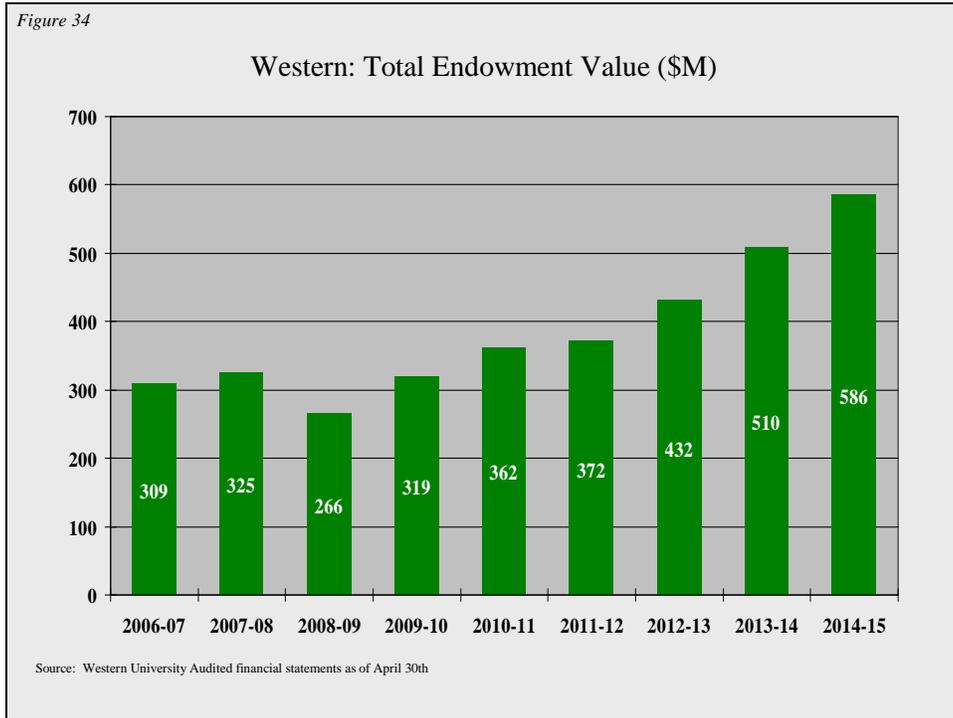
**Data Source:** Western University

**Calculation of Indicator:** This indicator is a summary of the total value of Western's endowments at the end of the fiscal year.

**Relation to Strategic Plan:** *Metric L: Surpass our \$750 million "Be Extraordinary" fundraising campaign goal and grow the university's endowment to at least \$500 million by 2018.*

**Commentary:** The market downturn of 2008-09 had a significant downward impact on Western's endowments. The recovery in 2009-10 has continued through 2014-15. The total value of our endowments has increased substantially in recent years – due to a number of factors including the provincial governments Ontario Trust for Student Support Program (a matching program to encourage endowed gifts for student aid) and the increased emphasis in our fundraising campaign to create endowed chairs, with matching support from the University operating budget.

The endowment target of \$500 million has been exceeded in 2014-15 – and a revised higher target is currently under consideration.



## Comparative Endowment Levels

### Figures 35 and 36

**Data Source:** The U15 Data Exchange.

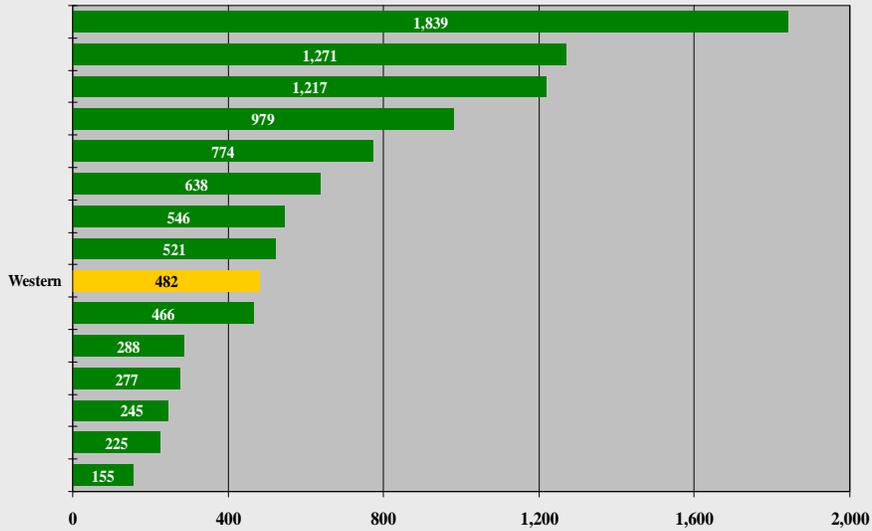
**Calculation of Indicator:** Data on the total market value of endowments as at December 31, 2013 for the U15 universities is displayed in terms of the absolute value. In addition, the endowment asset per full-time student is also shown for the 2013-14 year.

**Relation to Strategic Plan:** *Metric L: Surpass our \$750 million “Be Extraordinary” fundraising campaign goal and grow the university’s endowment to at least \$500 million by 2018.*

**Commentary:** The analysis shows that Western’s endowment fund, as compared to other U15 institutions, is quite modest in absolute terms. Western’s relative position within the U15 is higher by one position compared to the last report. Endowment levels at all of the U15 institutions have increased as a result of the continued recovery of the equity markets.

Figure 35

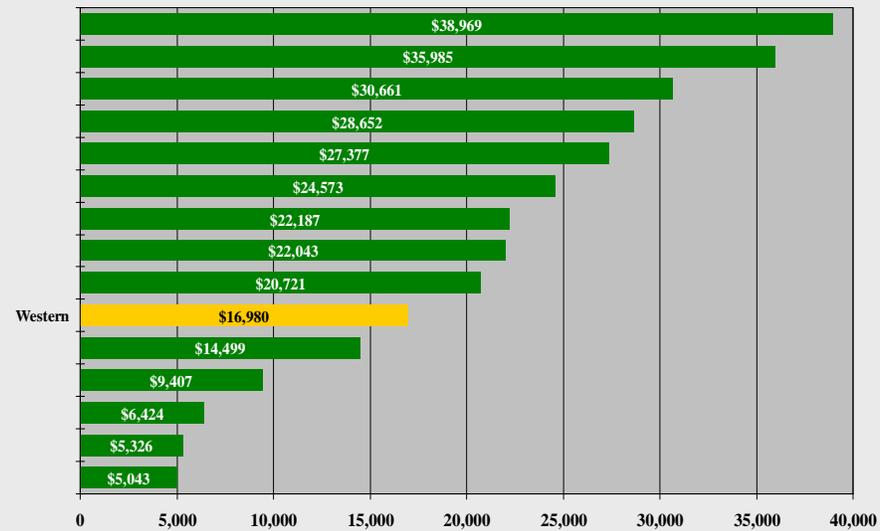
U15: Total Market Value of Endowments in 2013 (\$M)



Source: U15 Data Exchange

Figure 36

U15: Endowment Assets per Full-Time Student in 2013



Source: U15 Data Exchange

## Fundraising Campaign

### Figures 37 and 38

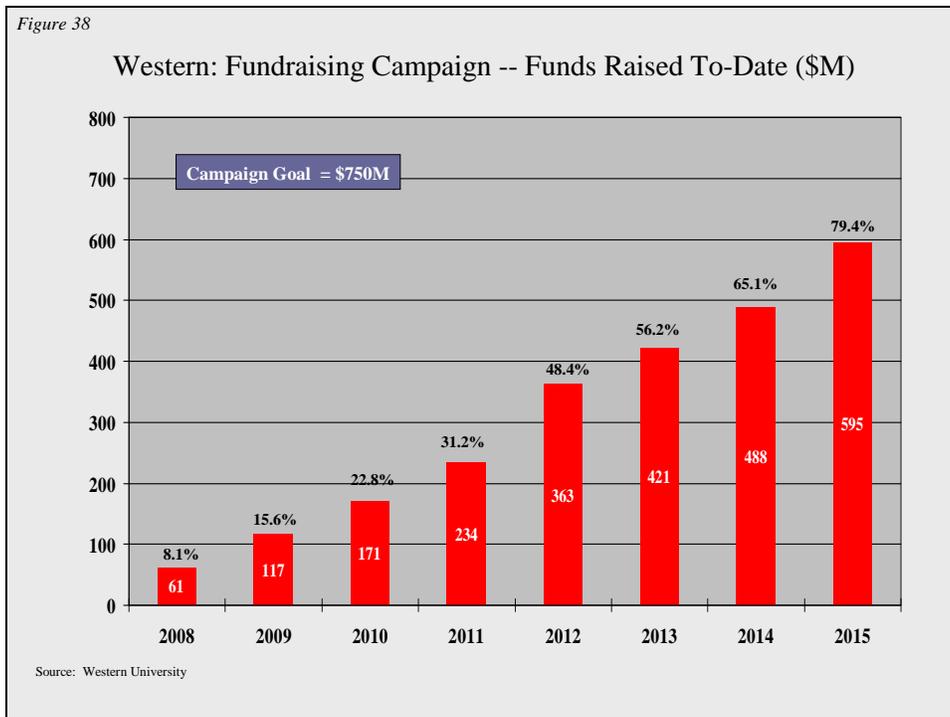
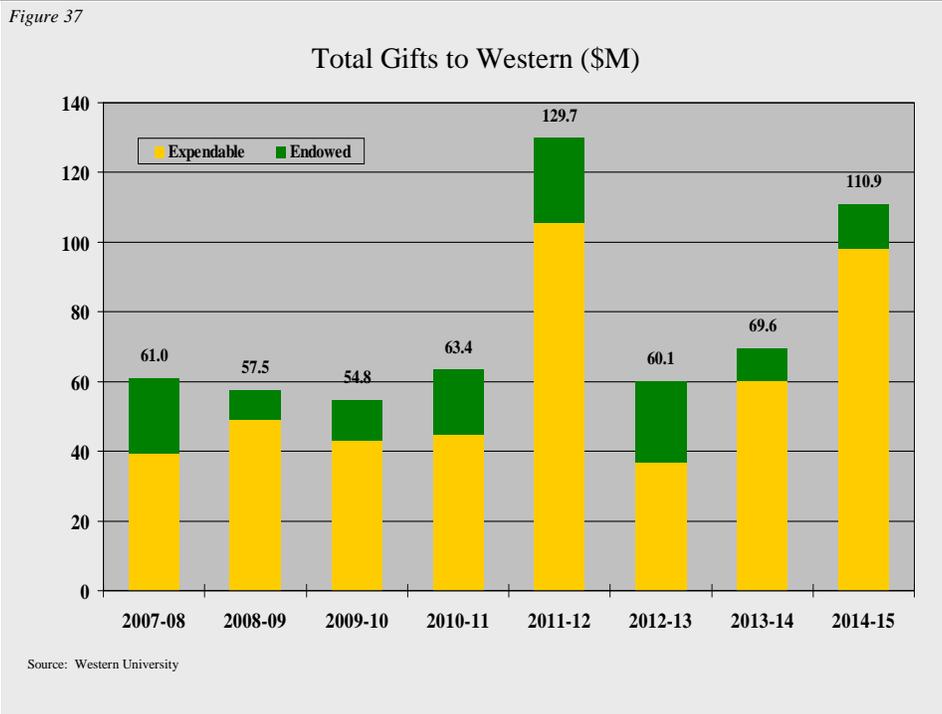
**Data Source:** Western University.

**Calculation of Indicator:** The value of annual gifts to Western and the cumulative status of funds raised to-date, as part of our current Fundraising Campaign.

**Relation to Strategic Plan:** Metric M: *Build institutional capacity to sustain fundraising beyond the current campaign, with an eventual goal of increasing annual fundraising achievements to \$100 million.*

**Commentary:** In 2011-12 and 2014-15, as a result of two extraordinary gifts from IBM (\$65.1 million in 2011-12 and \$60.0 in 2014-15), the value of total gifts exceeded the \$100 million mark. Going forward, the annual target of \$100 million continues to be our objective.

Our current fundraising campaign ends with 2017-18, with a goal of raising \$750 million. As of April 30, 2015, we were at 79.4% of this goal – or \$595 million.



## Alumni Engagement

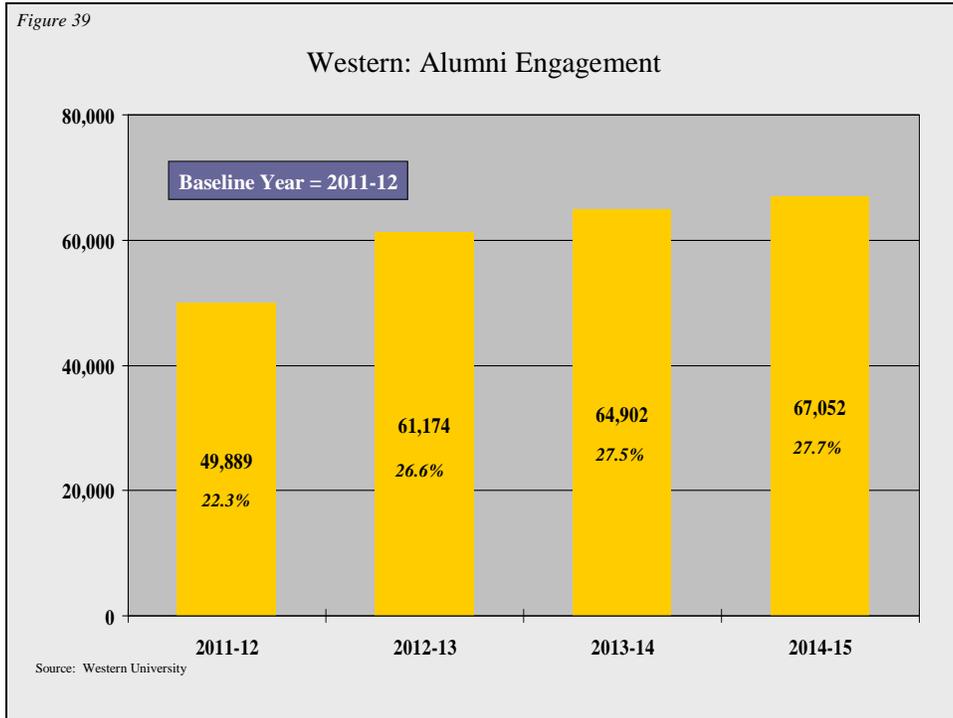
### Figure 39

**Data Source:** Western University.

**Calculation of Indicator:** The total number of unique alumni engaged through the year – including activities such as event registrations, volunteerism, alumni card requests, alumni giving, address updates, email for life activity, and discovery and stewardship calls with Alumni.

**Relation to Strategic Plan:** Metric N: *Double alumni engagement, as measured through a range of activities that will include alumni card requests, participation in programs and events, address updates, giving to the institution, and volunteerism, etc.*

**Commentary:** The University continues to build on its efforts to engage its Alumni on many fronts – and the results of this effort are shown in the gradual modest increase in the annual number of alumni engaged through various activities. The target of “doubling alumni engagement” will require increased efforts.





## **Report of the Provost's Task Force on University Budget Models**

**January 25, 2016**

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## **EXECUTIVE SUMMARY**

**The Budget Model Task Force's** overarching conclusion is that while the current model will necessarily continue to evolve in response to emerging government policy, shifting student demand, mission-critical academic and administrative needs, and the imperative of institutional priorities outlined in the strategic plan, there is evidence to show that the model in its present form has enabled Western to achieve three fundamental objectives: maintain high student quality, retention and graduation rates within the context of a research-intensive university.

In response to its solicitation for input on the budget model from the campus community, the Task Force received 12 written submissions, and approximately 75 people, in total, attended the two town halls held in October. From the documented inputs and discussions heard at the town halls (in addition to discussions heard at the November 26 Leaders Forum and December 4 Senate) the Task Force observed that there appears to be a generally low level of knowledge within the campus community about what the budget model is, how it works, the underlying principles on which it is based, objectives it aims to achieve, and how it has evolved during the past two decades to adapt to changing circumstances. The Task Force report, therefore, devotes considerable attention to a detailed description of the existing model, complemented by an explanation of Western's investment and debt management strategies.

Through its consultations and review of historical data, the Task Force also recognized that the complexity of the budget model presents many inherent and significant communication challenges that need to be addressed in order to better respond to concerns related to the perceived and/or real deficiencies in transparency, community engagement, understanding and trust in the University's financial processes. The findings of the Task Force offer suggestions for how these communication challenges might be overcome. Further, the Task Force recognizes that tackling these challenges will not be quick or easy fixes. Increasing understanding and creating trust in the budget model will take time, thought and involvement by academic and administrative leaders across campus to improve and more actively participate in budget communications. This holds particularly true for Deans, Chairs and other budget unit heads who play essential roles in Western's annual budgeting processes and related communications. It will also require the interest and engagement of all members of the broader campus community.

**The Sub-Committee on Graduate Funding** made similar overarching conclusions with respect to the need for improved communication in order to respond to a wide range of concerns expressed about student support.

The Sub-Committee observed that the delivery of graduate student support involves a complex array of internal and external funding sources, with allocation strategies designed at the Faculty and program level. While the common goal behind these strategies is always aimed at creating competitive funding packages that will attract and retain top students, the Sub-Committee's work highlighted that the ways packages are assembled vary from Faculty to Faculty, from program to

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program, and from student to student – even within the same program – reflecting student-specific eligibility for access to different funding sources.

The complex and decentralized nature of providing graduate student support is not unique to Western; distributed models are typical at other research-intensive universities. It is important to note that the decentralized approach has generally been successful at Western insofar as a total of \$90.9 million in financial support was provided to graduate students during the 2014-15 academic year alone.

Western's decentralized approach to graduate student support has evolved over time to include many different Faculty-based models. These models are in most cases poorly understood, poorly documented and poorly communicated, contributing to many of the concerns expressed by students, program leaders, faculty and staff alike. Therefore, many of the conclusions outlined in the Sub-Committee's separate report focus on suggestions to improve documentation and communication.

Finally, members of the Budget Model Task Force and its Sub-Committee on Graduate Funding wish to thank all students, faculty and staff who shared their thoughts, suggestions and questions in writing and/or took the time to participate in the various consultations related to the work of these two committees.

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## **INTRODUCTION**

### ***Background & Impetus***

Following the Senate meetings of April 2015, the President & Vice-Chancellor attended a series of town hall meetings across campus to hear and learn about issues important to Western faculty, staff and students. At these meetings, concerns about the University's budget and funding support for graduate students were the most frequently mentioned and resonant issues discussed by community members. Among the comments heard, Western's budget model was described as "broken" and in need of redesign due to the fact that some Faculties are contending with a more highly constrained fiscal reality than others, particularly in some of the non-STEM (i.e., science, technology, engineering, math) disciplines. Other comments included the assertion that Western's administration is prioritizing the accumulation of assets ahead of funding core activities. Suggestions were made that there is little justification or legitimacy for the fiscal austerity measures currently being implemented across campus.

In addition to this commentary shared during the town hall meetings, critiques of Western's budget model have also been evident in other public forums. Some documented examples date back to April 2014 when UWOFA released its report [\*"Every Budget is a Choice."\*](#) More recent examples are found in the UWOFA report released in May 2015 titled [\*"Building a Better Western,"\*](#) which includes a sample of faculty opinions and suggestions for improving Western's budget model. Several other examples are found in statements posted on the website [\*"100 Days @ Western: The Alternative Listening Tour"\*](#).

In response to the assertions and concerns expressed through this critical narrative on Western's budget model, the Provost & Vice President (Academic) struck a Task Force in summer 2015 with a mandate to study the issue in depth and report its findings back to the campus community. At the Task Force's first meeting September 3, a Sub-Committee was struck with a mandate to focus on matters specifically related to funding for graduate students. Following a separate review and consultation process undertaken by both the Task Force and its Sub-Committee September through January 2016, this report is being presented to SCUP and Senate.

See *Appendices* for the Task Force's and Sub-Committee's Terms of Reference and Membership lists.

### ***Consultation & Information Gathering***

The Task Force met seven times (September through January) to collect and review historical information, data and opinions on Western's current budget model. As part of its review, the Task Force also studied the University's investment and debt management strategies in addition to reviewing information on alternative budget models (e.g., "Responsibility Center Management" or RCM) employed at comparator universities and the Ivey Business School. The

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Task Force also shared information with and solicited input from members of the campus community through several means, including:

- Deans' Retreat, August 31 - September 1, at which the Education Advisory Board presented a summary of the firm's research on university budget models
- Website [http://provost.uwo.ca/planning\\_reports/taskforce.html](http://provost.uwo.ca/planning_reports/taskforce.html)
- Broadcast emails inviting confidential written submissions and participation in Town Halls
- Advertisements in Western News promoting same as above
- Two Town Hall Meetings held at the McKellar Room, October 20 and 26
- Leaders Forum, November 26
- Senate, December 4

The Task Force's Sub-Committee on Graduate Funding met seven times (September through December) to collect and review historical information, data and opinions on matters specifically pertaining to how Masters and Doctoral level students receive financial support at Western. Due to the complexity and substance of the Sub-Committee's consultations, data review and findings, a stand-alone report was prepared on Graduate Funding; however, key findings of the Sub-Committee are highlighted in the Executive Summary of this report – the balance of which focuses on matters pertaining to the University's budget model and investment and debt management strategies.

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## **AN OVERVIEW OF THE EVOLUTION OF WESTERN'S BUDGET MODEL**

### ***Pre-1995: Precursor to an evolving approach to budgeting***

Western's current approach to budgeting has evolved during the past two decades and can be described as a "hybrid" version of three more fundamental models employed in various permutations by institutions across the postsecondary sector. In its 2014 study titled "[\*Optimizing Institutional Budget Models\*](#)," the Education Advisory Board (EAB)<sup>1</sup> generally describes these basic model types as follows:

1. **Incremental** – Deploys any incremental resources equally to meet existing commitments, regardless of enrolment fluctuations, student demand for programs, or strategic aspirations in each of teaching and research. In times of decreasing resources, all areas cut equally.
2. **Responsibility Center Management (RCM)** – Deploys resources to academic units in ratio to the revenues they generate. For example, areas where student demand (and hence enrolment) are increasing receive a share of the revenues thereby generated in order to respond to the demand. Similarly, units that create revenue generating teaching or research endeavors receive a share of the revenue to fund the activity.
3. **Performance Based** – Deploys resources selectively to fund institutional priorities and/or new growth.

Details on how aspects of each of these models have been integrated into Western's current hybrid model are explained throughout this report.

Prior to the mid-1990s, Western operated primarily within an "incremental" budget model. In this model, Faculty and Support Unit base budgets had evolved over time to meet historical costs. Any changes to institutional funding coming from government operating grants or tuition increases were applied "across the board" to all academic and support units, with no direct linkage between enrolment fluctuations and adjustments to Faculty budgets, and irrespective of the Faculties' alignment with the strategic priorities of the institution.

By 1993-94 several institutional issues and funding challenges began to undermine the University's reputation. For the first time in Western's history, the average entering grade of its first-year students dropped below the provincial average. Undergraduate enrolment, year-over-year student retention rates, and graduation rates were all in decline. And a troubling public narrative was branding Western with a "party school" image. Making matters worse, Western was grappling to contain an accumulated deficit when a new provincial government was elected

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<sup>1</sup> Established in 2007, the **Education Advisory Board** partners with 1,000+ colleges and universities across North America and Europe to help address a wide range of postsecondary planning, budgeting and operational challenges. As an EAB member institution, Western has access to the firm's best practice research, data analytics, technology and consulting services. Members of the Western community can gain access to the full study titled "[Optimizing Institutional Budget Models](https://www.eab.com/research-and-insights/business-affairs-forum/studies/2014/optimizing-institutional-budget-models)" online at <https://www.eab.com/research-and-insights/business-affairs-forum/studies/2014/optimizing-institutional-budget-models>. Please note that a valid uwo.ca email address is needed to access this site.

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to Queen's Park in spring 1995. Overnight, under the banner of the new Premier's "Common Sense Revolution," a province-wide cut to university funding resulted in a 15% reduction to Western's operating grant. Further constrained by a legislated cap on tuition increases and limited means to increase revenue through alternative funding sources, Western found itself in a precarious financial situation that demanded a change in thinking about its approach to planning and budgeting.

### ***1995-2000: Focus on student quality and educational experience***

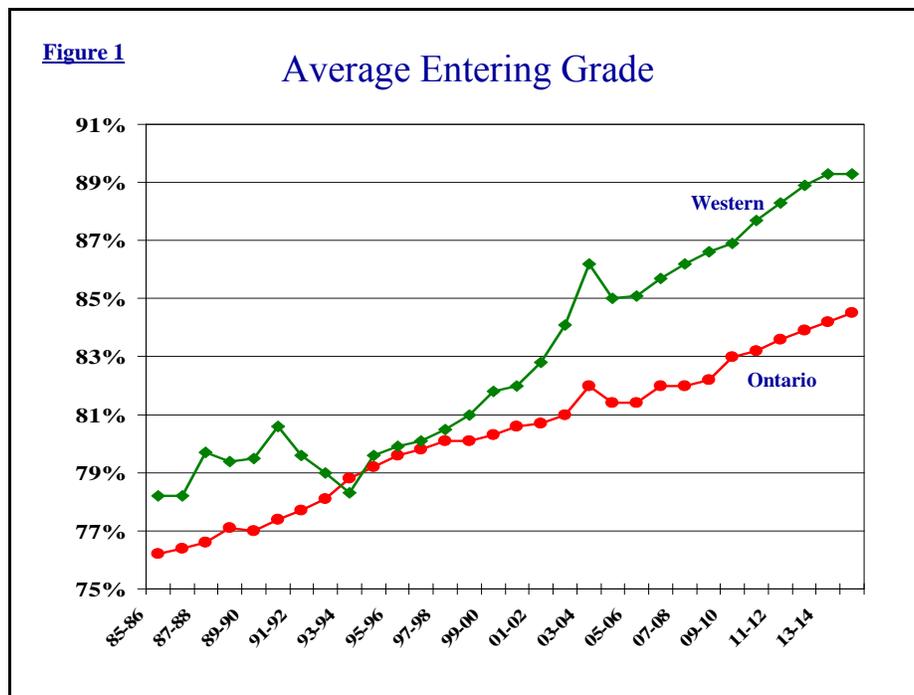
In response to these reputational and fiscal challenges, Western's annual planning and budgeting activities began to focus close attention on enrolment planning, with the goals of improving student quality along with the quality of the educational experience students receive. Accordingly, the budget model began to evolve in support of the institutional priorities outlined in Western's 1995 strategic plan, "[\*Leadership in Learning.\*](#)" Over the next several years, components of RCM and Performance-based budgeting were introduced into Western's budget model. It should be noted here that beginning in 2003-04, the Ivey Business School became unique among Western's Faculties insofar as it began operating within a pure RCM framework in which the School is responsible for generating all revenue to cover all of its operating costs (i.e., salaries & benefits of faculty and staff, operating expenses, and indirect costs including University services, such as IT, space, libraries, etc.). There were several compelling reasons for moving Ivey to an RCM budget model, including the opportunity to significantly grow HBA enrolments (driven by student demand) at significantly higher tuition rates when compared to student fees charged in other disciplines. Further, the business school is also able to generate additional revenue through ancillary activities (e.g., case publishing, executive education) not necessarily available in other Faculties.

Beginning in 1995-96, first-year undergraduate intake was capped at 4,000 and a single common minimum entrance standard was set for all first-entry programs across campus. Student recruitment efforts were consolidated, and all students receiving an offer of admission were guaranteed room in residence, first-year courses of their choosing and, for those with 80% averages or higher, an entrance scholarship. While such guarantees are now common place at many universities, it was an innovation at the time that set Western apart as a leader in Ontario. Western also began developing modular degree programming to offer students expanded academic choices. At the same time, "Enrolment Contingent Funding" (ECF) was introduced to Western's budget model, which allocated incremental funding to each Faculty to reflect expansions in their respective enrolments. The goal behind ECF was to direct more resources to Faculties where student demand resulted in increased teaching demand and other program costs.

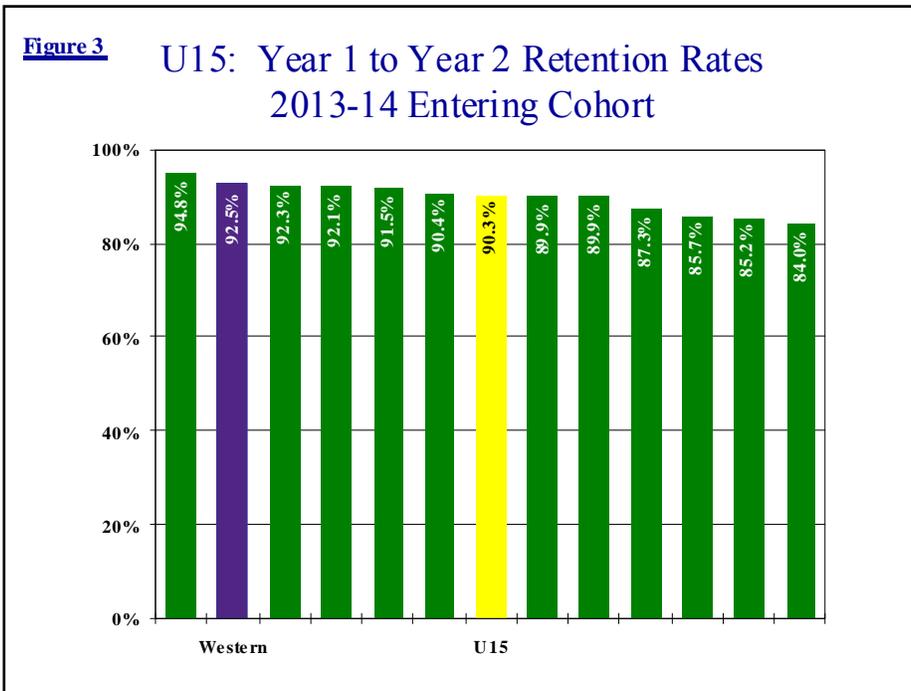
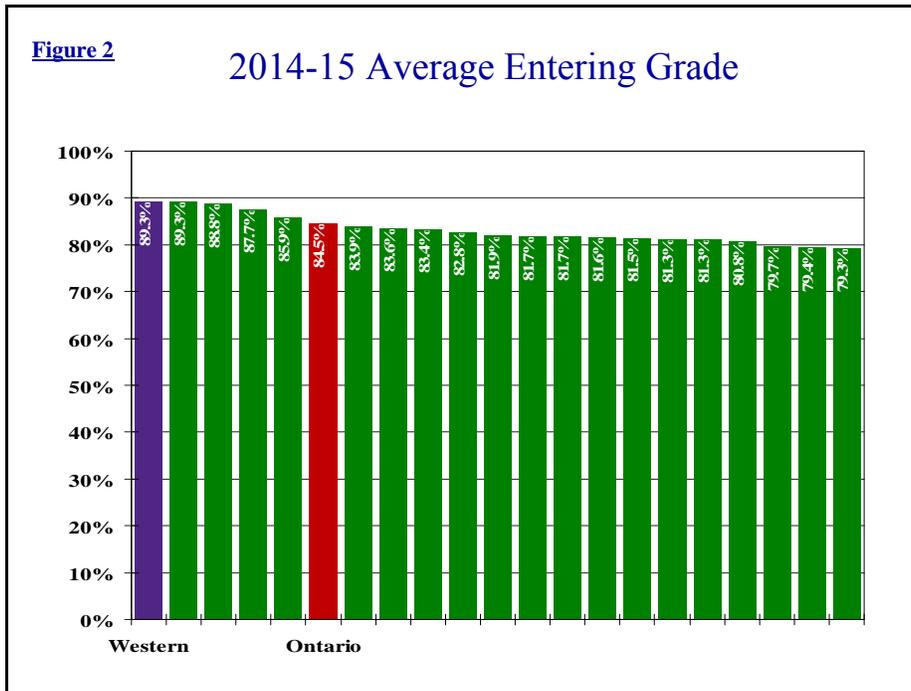
In 1997, Western introduced another component to its budget model: the "Initial Budget Adjustment." The IBA withholds up to 3.0 % (4.5% in 2009-10 and 2010-11 following the global financial crisis) from unit operating budgets each year to provide a centralized pool of funds intended to serve two purposes. First, the IBA is intended to help off-set the inflationary costs of running the University – costs which historically have not been covered by government grants. Such costs include annual salary and benefits increases for faculty and staff (as negotiated through collective bargaining agreements), which continue to be covered centrally – not by

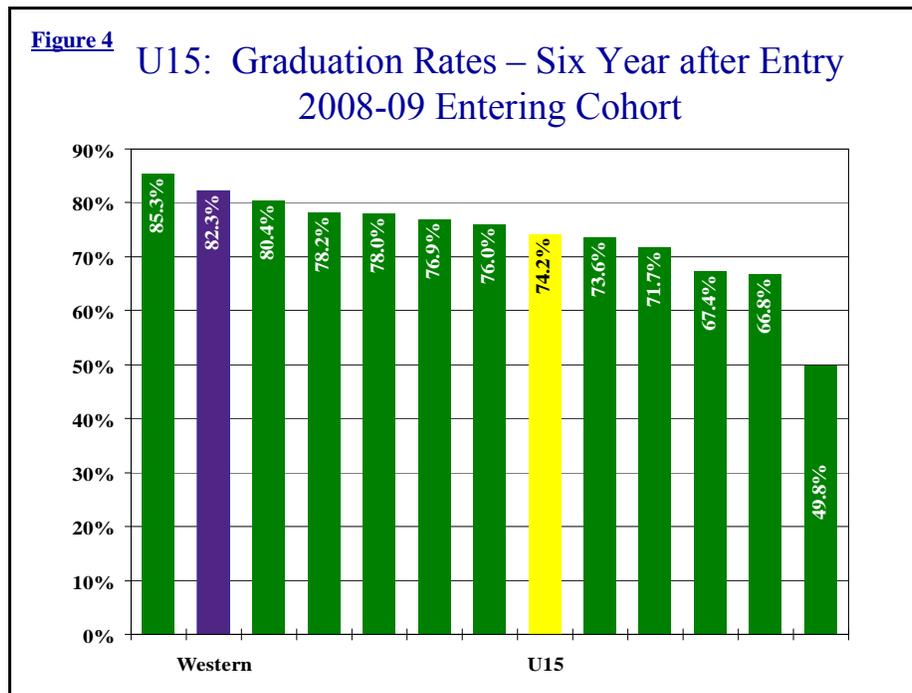
individual academic and support unit budgets. Second, the IBA was initially intended to create a modest central fund to invest selectively in institutional priorities. As part of the annual budgeting process, Faculties and support units are invited to submit proposals to access these central funds in support of special projects and initiatives closely linked to Western's strategic plan. It should be noted, however, that in recent years the IBA has not been sufficient to cover the full cost of salary and benefit increases, and the University has had to manage this shortfall through other cost-containment and revenue-generating measures.

Subsequent to these modifications being made to enrolment planning and the budgeting process, positive trends began to emerge on several key performance indicators. For example, Western's average entering grade rose to the point where its first-year cohort now has the highest entering average among Ontario universities.



As the quality of incoming classes improved, student retention and graduation rates also began to rise to the point where Western currently ranks second on these measures among Canada's leading research-intensive universities.

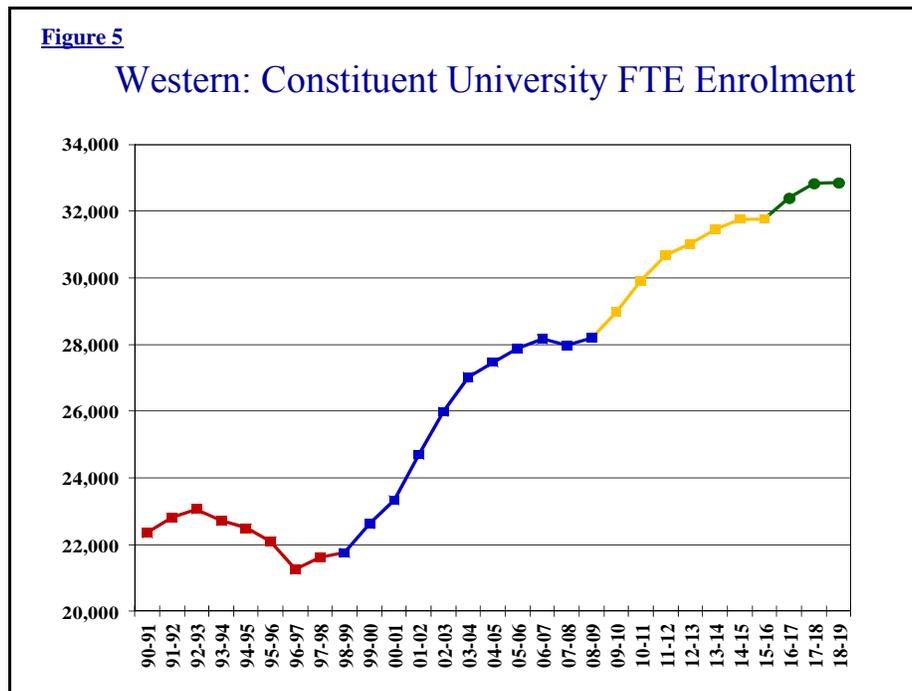




***2000-2014: A period of substantial growth in enrolment and revenue***

By the turn of the millennium, as first-year undergraduate student entering averages and retention rates continued to rise, and as four-year undergraduate degrees grew in popularity (and the number of students pursuing three-year degrees subsequently diminished), total student enrolment at Western also began to rise. In Figure 5 below, the total FTE student enrolment at Western is illustrated over a 25-year period dating back to 1990. The line represented in **blue** (1998 to 2008) depicts a period of significant growth when first-year enrolment was capped at 4,350. The **yellow** line (2008 to 2015) depicts a period of growth that occurred when Western focused greater attention on graduate expansion and international undergraduate student enrolment. During this time, the long-standing first-year enrolment cap was lifted and Western's entering class rose as high as 5,100 while entrance standards also continued to climb. The **green** line (beyond 2015) depicts future total enrolment which is projected to level out by the end of the decade.

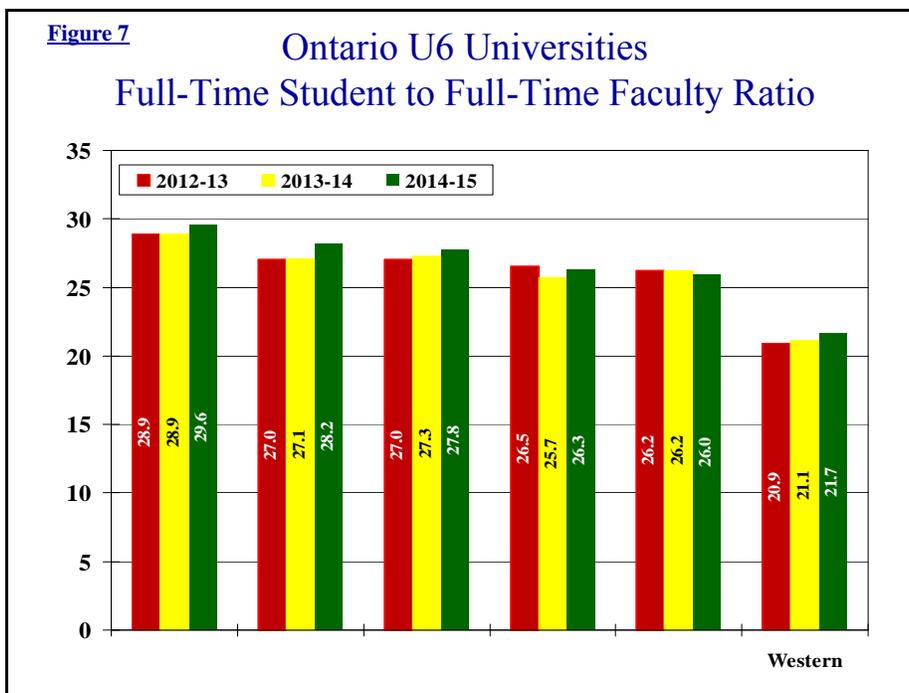
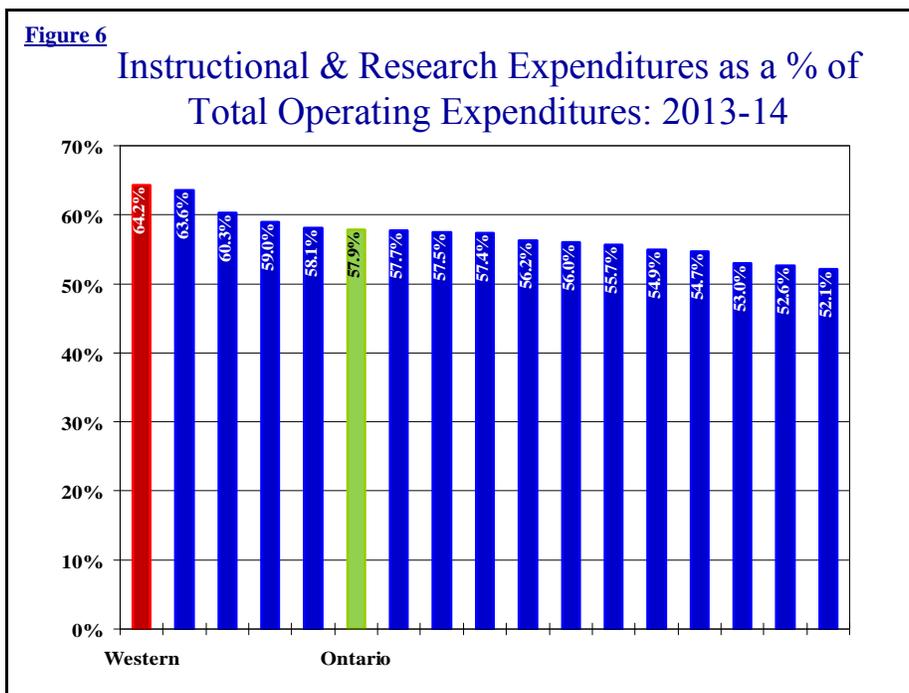
In 2003, a new provincial government elected to Queen's Park initiated a review of Ontario's university and college sector which resulted in the development of the "*Reaching Higher*" plan introduced in 2005. Billed as "the largest multi-year investment in postsecondary education in 40 years," the plan would provide for a \$6.2-billion cumulative investment in higher education by 2009-10, including \$4.275 billion ear-marked for college and university operating grants, which represented a 39% increase compared to the 2004-05 funding base. With this increased investment, the government promised Ontarians they would see "improved access and quality in postsecondary education, better facilities, and that institutions would be held accountable for accomplishing these objectives."



It was during this significant growth period that Western implemented its first multi-year budget plan. Introduced in fall 2002 to start in the 2003-04 fiscal year, this evolution of the budget model aimed to provide the University, its constituent Faculties and support units with a better tool for predicting and managing their revenue and expenditures as well as a tool to aid strategic decision making. Key features of the multi-year budget plan included annual updates to reflect changes in:

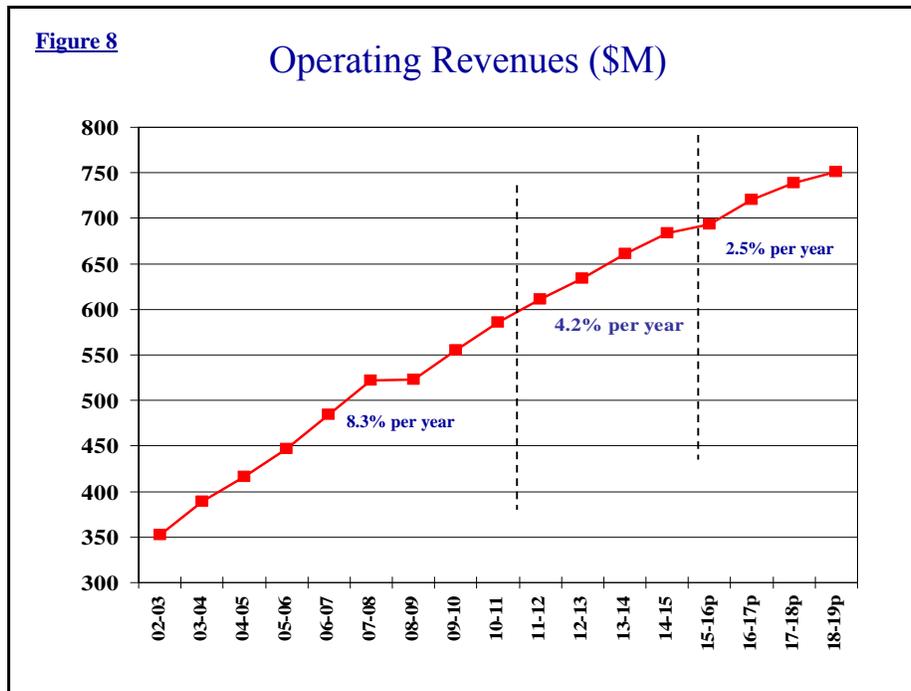
- University-level revenue and expenditure projections;
- Faculty Academic Plans that defined teaching and research priorities of Western's Departments, Schools and Faculties;
- Support Unit Operational Plans that defined the priorities of the non-academic units in support of the University's mission;
- unit-specific detailed budget projections for the planning period;
- faculty and staff complement plans for each unit;
- a University enrolment plan; and,
- new strategic initiatives and associated budget investments.

It was also during this growth period that operating funds allocated to Faculties through various revenue sharing mechanisms were increased to better meet needs at the Faculty level. In fact, Western now spends more on teaching and research as a percentage of its operating budget than any other Ontario university while also maintaining a lower student-to-faculty ratio than any of the province's U6 research-intensive universities.



**2014 Forward: A period of significantly attenuated growth**

Following the global economic crisis of 2008 and the end of the Ontario government's "Reaching Higher" funding commitments in 2010, Western today has entered into a period of significantly attenuated revenue growth. While the University's operating revenue grew by an average of 8.3% from 2002 to 2011, revenue growth slowed to 4.2% between 2011 and 2015 – despite the fact that undergraduate enrolment experienced a modest expansion during this period. However, now that enrolment growth is leveling out, projected revenue growth for 2016 and beyond is estimated at only 2.5% per year, as illustrated in Figure 8 below.



To complicate matters further, while Ontario's highly indebted government is conducting a funding formula review, it has already signaled there is no new money to invest in postsecondary operating grants. Combined with a legislated cap on tuition fee increases (currently set at 3%, with no decision on what might be allowed beyond 2016) it is evident that constrained resources will put increased pressure on Western to find alternative revenue sources and to contain inflationary costs, which includes employee salaries and benefits, utilities, IT infrastructure, deferred maintenance, and library acquisitions.

It is important to note that approximately 85% of Western's operating revenue is enrolment-related. As a result, the University's approach to enrolment planning – which focuses on the priorities of maintaining student quality and responding to student demand/choice of academic programming – has a direct impact on overall revenues, Faculty-specific enrolment/teaching levels, and associated resource needs. While enrolments are the main driver of revenues and expenditures, in order to pursue the aspirations of Western's strategic plan, the hybrid budget

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model is structured to allow for selective investments in areas of priority – including support for educational quality, student experience, scholarship/research, interdisciplinarity, and internationalization.

Specific components of Western's current hybrid budget model as it applies to Faculties are described below.

***“Incremental” aspects of Western’s current budget model***

Each Faculty has an established base budget which has evolved over time, reflecting changes in enrolments/teaching, strategic/selective investments, and targeted funding from government. The base budgets are adjusted annually in three ways:

1. As noted earlier in this report, an Initial Budget Adjustment (IBA) – which reduces the base budget by 3% – is applied annually. This adjustment is required to help fund inflationary costs, including annual salary increases. It is also intended to provide central funding to support institutional priorities. However, in recent years, the IBA has not covered the full cost of annual salary increases.
2. The full cost of annual negotiated increases in employee salary and benefits is funded centrally, and this incremental amount is added as required each year to supplement Faculty base budgets. As noted above, in recent years, this addition of central funds to Faculty budgets has exceeded the amount removed from Faculty budgets via the 3% IBA.
3. “Faculty Turnover Recovery” adjustments are applied when a tenured/probationary faculty member past age 55 leaves Western. In the current year, the adjustment returns the greater of \$85,000 or 60% of the faculty member's salary to the Faculty budget to enable the hire of another faculty member at the junior level. If the faculty member's departure occurs before age 65, the recovery does not occur until the year in which the member would have reached age 65.

***“RCM” aspects of Western’s current budget model***

Faculties receive substantial additional ongoing funds through an enrolment-related revenue sharing mechanism. A share of incremental revenue (resulting from enrolment-related grant and/or tuition revenue increases) is flowed to individual Faculty budgets on the basis of the following formula:

- 25% on direct-entry undergraduate enrolments/teaching
- 50% on second-entry (or professional) undergraduate enrolments
- 50% on professional Masters enrolments
- 85% on research masters and doctoral enrolments (the remaining 15% is used to support a program aimed at recruiting doctoral students with external awards)

This funding mechanism is an on-going program that is linked directly to enrolment/teaching levels in recognition of the associated incremental costs.

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***“Performance-based” aspects of Western’s current budget model***

Selective investments in priority areas/initiatives are made at Western in two basic ways:

1. **Targeted Government Funding Programs** – As part of its financial support for universities, the Provincial Government, on a regular basis, provides targeted funding in support of growth in specific areas/programs which are identified as government priorities. Examples over the past 15 years include expansion of Software Engineering and Computer Science, expansion and subsequent reduction of teacher education enrolments, nursing expansion, and expansion of various programs in Medicine. A major portion of such funding flows directly to the Faculties offering the programs.
2. **Academic Priorities Fund (APF)** – Western continues its long-standing practice of retaining central funds (base and one-time) to support academic initiatives that directly support the University’s institutional priorities in teaching and research as outlined in the most current iteration of its strategic plan. As part of the annual planning and budgeting process, Deans are invited to submit proposals to access the APF for initiatives included in their Faculty Academic Plans that align directly in support of the University’s strategic plan.

Respecting the fact that the value of all requests made to the APF typically exceeds the available funds by a significant margin, a major component of this process involves the Provost’s close review of all APF proposals, which includes discussions with the Deans. The Provost’s final recommendations are informed by advice from the Vice-Provosts, in the context of the following considerations:

- The Faculty’s overall resource situation relative to enrolments/teaching
- Plans for program expansion and/or development of new graduate and undergraduate programs
- Projected revenue sharing allocations
- Resources relative to similar programs/Faculties
- Cost structure variations among disciplines/Faculties
- Relationship between resources, enrolments, and faculty/staff complements
- Scholarship/research activities and new initiatives, including interdisciplinary or cross-Faculty initiatives

Figure 9 below illustrates changes in Faculty budgets over the most recently completed four-year planning period. Column <a> shows the IBA reductions, column <b> shows the central funding allocations to cover employee salary increases, and column <c> shows the net result which illustrates that, in total, the IBA has not covered the costs of salary increases. Column <d> shows the sum of all other changes to the Faculty budgets possible through the various mechanisms described above, and column <e> shows the net overall impact on Faculty budgets, which equals a total increase of more than \$34.6 million during the fiscal period 2011-12 through 2014-15.

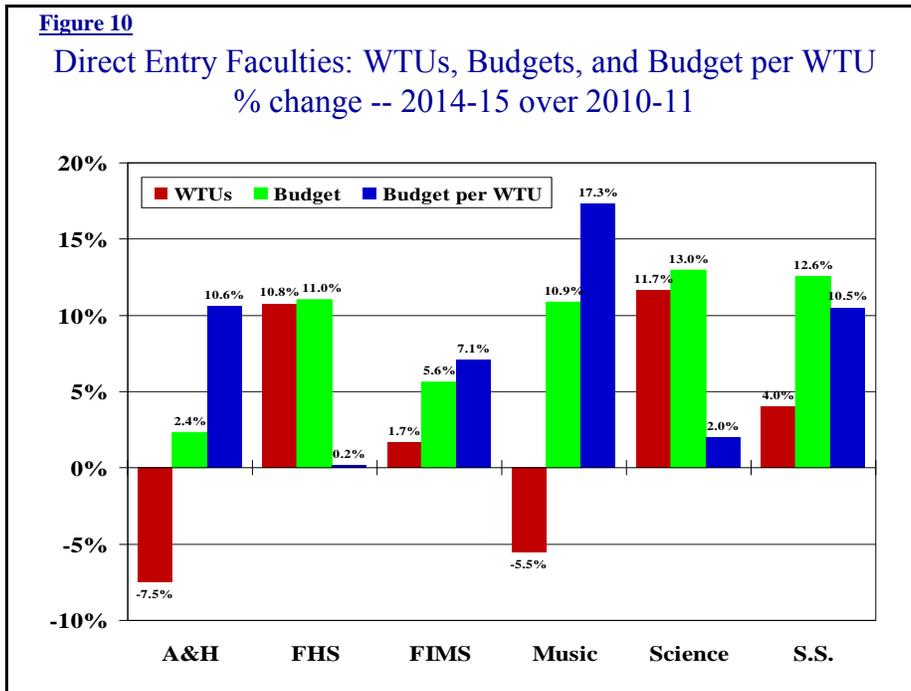
**Figure 9**

**Changes in Faculty Budgets**

**Total -- Over the Most Recent 4-Year Planning Period: 2011-12 to 2014-15**

		<a>	<b>	<c>	<d>	<e>
		IBA	Central Funding for Salary Increases	Sub-Total	All Other Changes	Total Change to Faculty Budgets
1	Arts & Humanities	-2,860,987	3,916,324	1,055,337	-228,135	827,202
2	Education	-1,265,015	1,056,000	-209,015	2,965,772	2,756,757
3	Engineering	-2,357,555	2,435,505	77,950	3,444,168	3,522,118
4	Health Sciences	-2,840,789	3,452,318	611,529	2,451,441	3,062,970
5	Info & Media Studies	-1,022,407	1,226,778	204,371	495,969	700,340
6	Law	-756,543	843,903	87,360	1,600,218	1,687,578
7	Medicine & Dentistry	-6,295,437	5,865,641	-429,796	7,425,412	6,995,616
8	Music	-956,299	1,150,230	193,931	643,577	837,508
9	Science	-5,010,247	5,407,199	396,952	6,870,389	7,267,341
10	Social Science	-5,180,593	6,149,367	968,774	6,052,385	7,021,159
11	<b>Total</b>	<b>-28,545,872</b>	<b>31,503,265</b>	<b>2,957,393</b>	<b>31,721,196</b>	<b>34,678,589</b>

Figure 10 below illustrates the percent change in enrolments/teaching, budgets, and budget relative to teaching for each of Western's Direct-Entry Faculties with regulated tuition. Here, enrolment/teaching is measured in Weighted Teaching Units (WTUs) which capture overall teaching activity within the Faculties by incorporating graduate enrolments, undergraduate enrolments in professional or 2<sup>nd</sup>-entry Faculties, and undergraduate teaching which is measured in course registrations – irrespective of the student's Faculty of registration.



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## **WESTERN'S INVESTMENT & DEBT MANAGEMENT STRATEGY**

Understanding Western's complex budget model requires a complementary understanding of the University's assets and obligations along with its approach to managing investment and debt. As of September 30, 2015, Western held a total long-term investment portfolio with a market value of \$1.02 billion. The investment portfolio includes two major components: *Endowed Funds* (\$554M) and *Non-Endowed Funds* (\$466M). In addition, the University held \$379 million in cash and liquid assets to pay its ongoing operating expenses. The University also carries significant debt – \$298 million as of April 30, 2015 (fiscal year end), with that amount projected to increase to \$330 million based on known construction and renovation commitments.

### ***How Western manages its Endowed Funds***

Western's Endowed Funds represent donations held and invested *in perpetuity* with the University's commitment that the investment earnings generated will only be spent for specific purposes as defined by the donors. A generic example of this would be an alumna who donates \$1 million to Western to establish an annual scholarship in support of exceptional students in Faculty X. The principle amount of the alumna's gift would be invested in the long-term portfolio, and 4% of the endowment balance (the current annual payout amount) would be disbursed annually to fund the award, with any residual returns added to the individual endowment account. This treatment of residual returns serves two purposes: to compensate for those years when investment returns are less than the amount of the annual payout, and also to maintain the value of the award into the future.

### ***How Western manages its Non-Endowed Funds***

The University invests monies received but not required to pay immediate expenses in the long-term investment portfolio, alongside the Endowed Funds. These monies have many sources but are generally received for specific purposes with specific underlying obligations attached to them. Examples include Faculty and Support Unit carry-forwards, residence and tuition fees received but not yet expended, and cash flows associated with research grants received by faculty but not yet expended. All these funds are invested by the University to generate a return with the understanding that the underlying obligations associated with the revenue source must be honoured and replaced by new amounts over time.

As of September 30, 2015, Western's Non-Endowed Funds had a total market value of \$466 million with the composition as follows:

• Underlying Obligations	\$267 M
• Underlying Market Gains	<u>\$199 M</u>
<b>Total</b>	<b><u>\$466 M</u></b>

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It is important to understand that the \$199M in Underlying Market Gains is the value that would have been realized on September 30, 2015, if the investments were liquidated. In reality, they remain invested in the long-term portfolio and hence bear the risks associated with fluctuating market returns over time. To manage these risks, two mechanisms are employed: the first is that a buffer amount is maintained beyond the value of the underlying obligations to protect against investment losses; the second is a prudent budgeting practice to limit the use of investment returns for *one-time* initiatives only (i.e., not ongoing operating costs).

The context for the above budgeting practice dates back to the global financial crisis in 2008, when Western's investment portfolio experienced an extraordinary loss in market value, as was the case with investment funds around the world. At the time, Western permitted draws to be made from its Underlying Market Gains to support ongoing operational as well as one-time expenditures, and between 2008 and 2011 a total of \$46.25 million was ear-marked for those purposes. However, when the market value of Western's Non-Endowed Funds dropped below the value of their Underlying Obligations, the planned draws – which included support of ongoing salaries – had to be cancelled so that the Underlying Obligations could be met. As a result, one-time expenditures were placed on hold and, more significantly, staff reductions had to be made. Subsequently, a management decision was taken (with Board support) to restrict the future use of non-endowed investment reserves (i.e., Underlying Market Gains) to support only one-time expenses, such as financing for capital projects, research matching funds, and debt repayment.

In addition to restricting non-endowed returns to support one-time initiatives, Western also developed an annual stress test for its Non-Endowed Funds portfolio. The test simulates a worst-case scenario that models the impact of historical losses in each of the investment classes held in the portfolio, together with concomitant government funding reductions likely to be experienced in a global equity crisis, as well as the draw of monies to support the underlying obligations likely to be experienced at a time of severe financial constraint. This was last completed using fiscal year-end values at April 30, 2014. The result yielded a simulated shortfall of \$27M in cash and liquid assets, and the underlying market gains being reduced to \$54M.

Three key conclusions were drawn based upon this simulation. First, Non-Endowed Funds can continue to be invested alongside the Endowed Funds in a long-term portfolio so long as a sufficient amount of liquidity is maintained outside the portfolio (in the cash and liquid assets balances). Second, a sufficient buffer must be maintained between the underlying obligations and the unrealized market gains. And third, caution must be exercised on withdrawals and commitments made from the underlying gains generated. It should be noted that Western's long-term investment strategy for its Non-Endowed Funds has generated impressive returns for the University for many years. For example, during the 20-year period between September 30, 1995, and September 30, 2015, Western has realized an average annual return of 7.9%.

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### *How Western manages its debt*

For an institution of Western's large scale and complexity, a certain amount of debt is required to finance essential capital construction, renovation and maintenance projects that provide faculty, students and staff with the appropriate facilities and infrastructure to meet their teaching, learning, research and service needs. Historically government funding for such capital projects has been limited and in more recent years has been eliminated almost entirely. In the absence of other sources to pay for capital projects, the University has had to turn to debt. To put this in perspective, as of February 2015, Western owned 522,000 square metres of space in 68 major academic buildings; another 258,000 square metres of housing space, including 11 undergraduate residences, four apartment buildings and several smaller buildings for graduate housing; and numerous ancillary buildings including the Western Student Recreation Centre, Thompson Recreation & Athletic Centre, TD Stadium, Boundary Layer Wind Tunnel, Child Care Centre, Ivey Spencer Leadership Centre, and certain facilities at Western's three Research Parks.

Over the last 10 years, Western's annual capital expenditures have averaged \$97M. During that same period, the University's debt grew from \$121M to \$299M, which in the early years provided significant support for new residence projects which have inherent repayment sources. More recent capital projects have largely been for academic buildings which do not have inherent repayment sources. To finance the capital requirements of its buildings and infrastructure, as of April 30, 2015, Western held three forms of debt. It breaks down as follows:

• Debenture, due May 2047	\$189 M
• Mortgages	\$ 9 M
• Bank borrowings, due October 2026	<u>\$100 M</u>
<b>Total</b>	<b>\$298 M</b>

In approving the issuance of the debenture in 2007, the Board of Governors stipulated a requirement that the University establish a "sinking" fund, commencing in 2017, to ensure that adequate savings are accumulated over 30 years to retire the debenture when it becomes due in 2047. It is also worth noting that while Western's debt load is relatively high compared to that of its peer institutions, the University enjoys a favourable credit rating (AA with stable outlook) from Standard & Poor<sup>2</sup>. There are several reasons for this but chief among them is the strong demand from students seeking admission to Western, as well as the level of reserves the University maintains (pointing to the market gains in the non-endowed funds).

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<sup>2</sup> *Standard & Poor's Financial Services LLC (S&P) is an American financial services company. It is a division of McGraw Hill Financial that publishes financial ratings services, research and analysis on stocks and bonds. S&P is known for its stock market indices such as the U.S.-based S&P 500, the Canadian S&P/TSX, and the Australian S&P/ASX 200. S&P is considered one of the Big Three credit-rating agencies, which also include Moody's Investor Service and Fitch Ratings.*

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## **ALTERNATIVE UNIVERSITY BUDGET MODELS**

As referenced earlier in this report, the Budget Model Task Force reviewed a report generated by The Education Advisory Board (EAB) titled "*Optimizing Institutional Budget Models.*"<sup>3</sup> This same report was also presented and discussed in detail at the annual Deans Retreat held with Western's senior academic leadership team August 31 & September 1, 2015.

In addition to defining three fundamental university budget models (Incremental, RCM and Performance Based, as described on pg. 3 of this report), the EAB document summarizes key findings from the 35 research briefs it has produced on university budget models between 2008 and 2013. Among the conclusions reached through its research, EAB describes the incremental model as one "that no longer works" because it "ignores differential opportunities and costs." While incremental budgeting is not without some advantages (e.g., relatively simple for leaders to understand and manage, shares resources equitably, which minimizes year-to-year disruption and "political squabbling"), EAB suggests these advantages are outweighed by the model's disadvantages, which include the disincentives it creates for growing revenue and controlling costs; the absence of linkages between investments and outputs; and the difficulty of maintaining the model when revenue is no longer growing.

While an estimated two-thirds of North American universities use some form of incremental budgeting, The Education Advisory Board observes that a growing number of schools are adopting Responsibility Centered Management (RCM) models – including Toronto, McMaster and Queen's in Canada – in which revenue is allocated to the unit that generates it and the unit therefore assumes responsibility for all direct and indirect expenses.

Top reasons for why some institutions choose to shift toward RCM models include the desire to incentivize revenue growth when public funding is on the decline, improve transparency, control costs and increase capacity for strategic investment in institutional priorities. As noted earlier in this report, the Ivey Business School operates under an RCM model. When Ivey adopted this model in 2003-04, there were several compelling reasons for doing so, including the opportunity to significantly grow HBA enrolments (driven by student demand) at a significantly higher tuition rate when compared to student fees charged in other disciplines. Further, the business school is also able to generate additional revenue through ancillary activities (e.g., case publishing, executive education) not necessarily available in other Faculties.

Notwithstanding the success Ivey has achieved while operating under an RCM budget model, it should be noted that The Education Advisory Board has observed instances where American universities that had moved toward RCM models have since begun to retreat from that decision

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<sup>3</sup> Established in 2007, the **Education Advisory Board** partners with 1,000+ colleges and universities across North America and Europe to help address a wide range of postsecondary planning, budgeting and operational challenges. As an EAB member institution, Western has access to the firm's best practice research, data analytics, technology and consulting services. Members of the Western community can gain access to the full study titled "*Optimizing Institutional Budget Models*" online at <https://www.eab.com/research-and-insights/business-affairs-forum/studies/2014/optimizing-institutional-budget-models>. Please note that a valid uwo.ca email address is required.

after encountering a range of unanticipated challenges. Indeed, the EAB concludes that the jury is still out on RCM's efficacy to produce desired changes in enrolment, revenue growth and cost containment. What seems evident, however, is that RCM models may work well for some institutions and not for others, depending on their unique circumstances. What is also clear is that the scope of time, money and organizational culture change required to make the transition to an RCM model has proven to be significant at universities that have chosen to embark on the journey.

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## **SUMMARY OF INPUT FROM THE CAMPUS COMMUNITY**

In addition to reviewing background information on Western's budget model as well as research on alternative university budget models, the Task Force solicited and reviewed input on the budget model from members of the campus community. The following descriptions summarize feedback received/heard by the Task Force during its consultation period between September 24 and November 26, 2015. During this time, the Task Force received a total of 12 confidential written submissions. It also hosted two Town Hall meetings on October 20 and 26 (attended by ~75 people). As well, background information on Western's budget model and investment and debt management strategy was presented and discussed at the November 26 Leaders Forum and at the December 4 Senate meeting.

All input was received and reviewed by the Task Force under two broadly defined categories. "*In Scope*" refers to comments determined by the Task Force to have a clear bearing on its mandate to assess the strengths and weaknesses of Western's current budget model. "*Outside Scope*" refers to comments determined by the Task Force to fall outside its mandate (e.g., requests and suggestions for increased resource allocation toward specific purposes) but which have been received under advisement for potential consideration in other forums.

### **In Scope**

1. **Problems with funding support for graduate students and postdoctoral scholars:** Several comments were received and heard on this issue, which were referred to the Sub-Committee on Graduate Funding for in depth review. Please refer to its report for more details.
2. **Lack of understanding and clear, transparent communication on the budget itself:** Several comments highlighted there is limited understanding by many campus members on how Western generates revenue, how the budget is developed (including the purpose and application of the annual IBA), and how funds are allocated across the academy.
3. **Barriers to interdisciplinary collaboration:** Comments suggested that Western's budget model should include more mechanisms to increase cooperation between academic units and disciplines while reducing competition and operational/budgetary inefficiencies.
4. **Change use of non-endowed funds:** Comments suggested that Western's policy of not using investment returns from non-endowed funds to support operating budgets needs to be reconsidered.
5. **Centralized vs. decentralized provision of administrative services:** Comments suggested that because Western spends less on non-instruction/research activities as a percentage of its operating budget than its peers, duplication of service at the local and central level is particularly inefficient.

6. **Advocacy for a more “participatory” budget model:** Comments suggested that campus community members who will bear the brunt of negative consequences emanating from budgetary decisions should have greater input on how those decisions are made.

**Outside Scope**

1. **More funding requested:** Several comments asked that more operational or capital funding be allocated in support of specific academic or operational units/functions — ranging from improved campus maintenance to procurement of lab instrumentation.
2. **Differentiated enrolment standards:** Comments suggested that Western's common first-year minimum entering standard across the academy limits potential for maintaining enrolment in specific disciplines where student demand is trending downward, and that this policy should be reviewed.
3. **Students and internationalization:** Comments suggested that sending students abroad works at counter-purposes to the imperative of maintaining and increasing enrolment in some disciplinary areas. Related comments suggested that all students have a modern languages course requirement as a means to increasing enrolment in that disciplinary area.

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## **BUDGET MODEL TASK FORCE FINDINGS**

1. While recognizing the need to continue evolving Western's "hybrid" budget model in order to respond to ongoing changes in the external funding environment – as well as to respond to institutional challenges, priorities and aspirations – strong support remains for the underlying principles that drive the current model: maintaining high student quality, retention and graduation rates within the context of a research-intensive university.
  2. The complexity of Western's budget model is an inherent weakness insofar as it presents many difficult communication challenges, especially for senior academic and administrative leaders. Among the various tactics that could be employed to improve budget communication, the following could be considered:
    - a. Senior leaders to host town halls both at the campus and Faculty/Unit level at appropriate times during the annual planning and budgeting cycle
    - b. Make better use of web and other campus media (e.g., Western News)
    - c. Senior university leaders to attend Faculty Council meetings when budget planning is discussed
    - d. Deans to engage Department Chairs and School Directors, and their Administrative Officers more actively in the budget planning process
    - e. Budget unit heads need to engage more actively in finding ways to simplify budgeting processes and related communication.
    - f. Increase opportunities for more timely input on budget decisions at the Departmental level.
  3. A key strength of Western's hybrid budget model resides in its demonstrated ability to evolve over time and to adopt various components found in Incremental, RCM and Performance-based models as a means of balancing the need and desire for – *and tensions between* – academic priorities and revenues, Faculty/Unit autonomy, centralized institutional oversight.
  4. Strong support remains for the University to retain some central capacity to invest selectively in institutional priorities that support Western's overarching mission and vision as offering the best academic experience for students at a research-intensive university that aspires to compete on the global stage.
  5. With the notable exception of the Ivey Business School, which has operated successfully within an RCM framework since 2003-04, the Task Force found no evidence or advocacy during its consultations in support of shifting Faculty budgets further toward an RCM model. Because RCM models require individual Faculties to generate all revenue required to meet all of their expenses, the application of an RCM model would be likely to have disastrous consequences for certain Faculties unable to meet their financial requirements on an independent basis. The Task Force believes that the risks associated with applying an RCM model across all Faculties and Schools would run counter to Western's identity as a
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comprehensive university committed to achieving excellence in the full range of academic disciplines.

6. Confusion arising from the lack of understanding about the purpose and application of the Initial Budget Adjustment (IBA) is a particular weakness of the current budget model. While there is no support for shifting responsibility for the inflationary costs that the IBA is intended to cover from the central budget to Faculties/Support Units, there is a clear need to change the terminology and improve communication on how it works.
7. Particularly during periods of resource constraint that place Faculties and Support Units under extra pressure to increase revenue and control costs, there is an appetite among community members for clearer, more timely, and more transparent communication about how the budget planning process works, how investment and debt management policies work, and how the government funding and tuition policy environment influence and drive budgetary decision-making.

## **APPENDIX A**

### **PROVOST'S TASK FORCE ON UNIVERSITY BUDGET MODELS**

#### **Terms of Reference**

Solicit input from the members of the Western community concerning the strengths and weaknesses of the current university budget model (including the budget model for graduate student support), and possible alternative budget models, in supporting the academic mission of our University.

Survey budget models used at comparator universities and attempt to assess how effectively those models support the priorities of those institutions.

Issue a report summarizing the input it receives and its findings before the end of 2015 (extended to February 2016).

#### **Task Force Members**

- **Janice Deakin**, Provost & Vice-President, Academic (Chair)
- **Gitta Kulczycki**, Vice-President (Resources & Operations)
- **Bob Andersen**, Dean of the Faculty of Social Science
- **Margaret Steele**, Vice Dean, Hospital & Interfaculty Relations, Schulich School of Medicine & Dentistry
- **Krys Chelchowski**, Director of Administration, Faculty of Health Sciences
- **Matt Davison**, Chair of the Department of Statistical & Actuarial Sciences
- **Craig Dunbar**, Associate Professor, Finance, Ivey Business School
- **Ashraf El Damatty**, Chair of the Department of Civil & Environmental Engineering
- **Helen Fielding**, Chair, Women's Studies and Feminist Research, Faculty of Arts & Humanities
- **Stephen Jarrett**, Legal Counsel
- **Angie Mandich**, Associate Professor, School of Occupational Therapy
- **Thomas Sutherland**, Graduate Student Senator, Department of Chemistry
- **Glen Tigert**, University Registrar
- **Arjun Singh**, Undergraduate Student Senator (Observer)

#### **Resources to the Task Force**

- **Alan Weedon**, Vice-Provost (Academic Planning, Policy & Faculty)
  - **Ruban Chelladurai**, Associate Vice-President (Planning, Budgeting, and Information Technology)
  - **M. Karen Campbell**, Special Advisor to the Provost, Vice-Provost Elect (Academic Planning, Policy & Faculty)
  - **Malcolm Ruddock**, Executive Assistant to the President and Provost
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## **APPENDIX B**

### **GRADUATE FUNDING SUB-COMMITTEE OF THE PROVOST'S TASK FORCE ON UNIVERSITY BUDGET MODELS**

#### **Terms of Reference**

Collect relevant data in order to document and understand the Faculty-specific strategies and approaches to funding of graduate students at Western.

Identify key issues in graduate student funding.

Identify and document best practices in graduate student funding.

Submit a detailed report on the above to the Provost's Task Force by Nov. 30 2015 (extended to Jan. 19, 2016).

#### **Sub-Committee Members**

- **M. Karen Campbell**, (Chair) Special Advisor to the Provost, Vice-Provost Elect (Academic Planning, Policy, & Faculty)
- **Pam Bishop**, Associate Dean (Graduate Studies), Faculty of Education
- **Ashraf El Damatty**, Chair, Department of Civil & Environmental Engineering, Faculty of Engineering
- **Matt Davison**, Chair, Statistical and Actuarial Sciences, Faculty of Science
- **Helen Fielding**, Chair, Women's Studies and Feminist Research, Faculty of Arts & Humanities
- **Tamara Hinan**, President, SOGS and Graduate Student, Department of Political Science
- **Doug Jones**, Vice-Dean (Basic Medical Sciences), Schulich School of Medicine & Dentistry
- **Ruth Martin**, Associate Dean (Graduate Programs), Faculty of Health Sciences
- **Margaret McGlynn**, Assistant Dean (Graduate & Postdoctoral Studies), Faculty of Social Science
- **Tom Sutherland**, Graduate Student Senator, Department of Chemistry

#### **Resources to the Sub-Committee**

- **Linda Miller**, Vice-Provost (Graduate & Postdoctoral Studies)
- **Alan Weedon**, Vice-Provost (Academic Planning, Policy & Faculty)
- **Ruban Chelladurai**, Associate Vice-President (Planning, Budgeting, and Information Technology)
- **Malcolm Ruddock**, Executive Assistant to the President and Provost



**Report of the Graduate Funding Sub-Committee  
of the Provost's Task Force on  
University Budget Models**

**January 25, 2016**

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## 1. Introduction

As one of Canada's largest research-intensive universities, Western is committed to graduate education. Western also recognizes that students who choose to undertake full-time graduate studies are choosing to delay their entry into the full-time workforce. To help off-set the financial burden associated with full-time graduate study, Western provides funding support packages for eligible and qualified Research (Category I<sup>1</sup>) Masters and PhD students. In fact, in 2014-15, Western distributed a total of \$90.9M in graduate student support from all sources. While this support is not intended to replace potential full-time employment earnings, it does achieve its goal of reducing the cost of investment in full-time study and mitigating financial barriers for students who otherwise may be unable to pursue full-time studies.

“Graduate student support” is defined and discussed in this report as one component of the University's total cost of providing graduate education. Other costs include the deployment of faculty, staff, and physical resources to graduate programs. Western provides graduate student support from various internal and external sources, all of which are described later in this report. The top four sources are Western Graduate Research Scholarships (WGRS), Graduate Teaching Assistantships (GTAs), support from supervisors' research grants, and external scholarships received by students. Combined, these four sources contribute 85% of support dollars that flow to Western's students. All resources are combined in a strategic manner to optimize graduate student support whereby individual students with funding packages of equal value may have their packages constructed from a different combination of sources.

It is important to note that key resource allocation decisions related to graduate student support at Western are generally made at the Faculty level. In some Faculties, decision making is further decentralized to the program level. Each Faculty or program makes its own decisions on how to assemble graduate student support packages in a manner that best enables them to attract, retain, and support top students. Therefore, graduate student support packages may be assembled differently from Faculty-to-Faculty or program-to-program, with available resources deployed in different proportions. In fact, support packages may vary from student-to-student, even within the same program, reflecting student-specific eligibility for access to different funding sources. Funding packages will be described in greater detail later in this report.

Because graduate student support is achieved at Western through decentralized decisions involving multiple internal and external resources, there is a complex array of strategies for assembling individual packages. It is evident that there are substantial differences across campus in the allocation models used and the extent to which funding decisions are documented, communicated, and understood. This underscores the importance of this sub-committee's work. This report aims to build a common understanding of the key issues underlying graduate student support while offering recommendations to improve documentation and communication.

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<sup>1</sup> Western has a parallel priority to provide high quality professional (Category II) graduate programs. Students in professional programs are generally not eligible for graduate student support packages. Category II programs will be discussed in a later section of this document.

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## 2. Sub-Committee Mandate, Membership, and Process

The sub-committee was charged with the following Terms of Reference:

- a. To collect relevant data in order to document and understand the Faculty-specific strategies and approaches to funding of graduate students at Western
- b. To identify key issues in graduate student funding
- c. To identify and document best practices in graduate student funding
- d. To prepare and submit a detailed report on the above to the Provost's Task Force on University Budget Models

The sub-committee membership was multi-Faculty and included a variety of perspectives including graduate students, Associate Deans, and Department Chairs.

The sub-committee members were:

M. Karen Campbell	Special Advisor to the Provost
Pam Bishop	Associate Dean (Graduate Studies), Faculty of Education
Ashraf El Damatty	Chair, Civil and Environmental Engineering, Faculty of Engineering
Matt Davison	Chair, Statistical and Actuarial Sciences, Faculty of Science
Helen Fielding	Chair, Women's Studies and Feminist Research, Faculty of Arts and Humanities
Tamara Hinan	President, SOGS and Graduate Student, Department of Political Science
Doug Jones	Vice-Dean (Basic Medical Sciences), Schulich School of Medicine & Dentistry
Ruth Martin	Associate Dean (Graduate Programs), Faculty of Health Sciences
Margaret McGlynn	Assistant Dean (Graduate and Postdoctoral Studies), Faculty of Social Science
Tom Sutherland	Graduate Student Senator and Graduate Student, Department of Chemistry

Available as resources to the committee were:

Linda Miller	Vice-Provost, Graduate and Postdoctoral Studies
Alan Weedon	Vice-Provost, Academic Planning, Policy, and Faculty
Ruban Chelladurai	Associate Vice-President (Planning, Budgeting, and Information Technology)
Malcolm Ruddock	Executive Assistant to the President and Provost

Between September and December 2015, the committee met on 7 occasions for 1-2 hours on each occasion. The committee considered the following sources of information:

- Financial data pertaining to graduate program funding and graduate student support provided by the Office of Institutional Planning and Budgeting (IPB) and the School of Graduate and Postdoctoral Studies (SGPS)
- consultations with graduate students, graduate program Chairs/Directors, and Associate Deans to identify key issues, processes, and priorities (a list of consultation meetings is provided in Appendix A)
- letters submitted by faculty, staff, and students in response to calls for input by the Provost's Task Force and by this sub-committee

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### 3. Western's budgetary allocations to Faculties in support of graduate education

Resources are allocated to Faculty budgets to fund expenses related to graduate education. A more detailed description of the history of these allocations is presented in Appendix B. Briefly:

- Prior to 1996, Faculties received budget allocations for academic activities which included graduate education. The rationales underlying these historic allocations are not documented and the funding assumptions underlying historical Faculty base budgets are no longer known.
- Beginning in 2002, there were ongoing allocations, to the University and to Faculties, attributable to incremental enrolment growth in alignment with the provincial government's strategies for investing in universities.
- In two fiscal years, 2010-11 and 2014-15, funds were transferred to Faculty base-budgets to off-set the costs of providing programming, incremental faculty positions and student funding to support incremental graduate enrolments. The total amounts transferred, across the two years, was \$47.8 M. Included in the transfer in 2010-11 was \$22.8 M associated with the former Graduate Student Scholarship and Training Fund (GSSTF). The GSSTF amounts contained a historic disciplinary adjustment whereby specific Faculties received larger per-student amounts based on their lower use of, and lower access to, student support from external research grants.
- In addition to the above transfers to base budgets, there have been ongoing annual one-time transfers to the Faculties in association with incremental enrolment growth (graduate and undergraduate). The current revenue sharing mechanism, which reflects growth incremental to 2013-14 enrolment, is described in Appendix C.

The above base and one-time transfers have been provided to the Faculties based on enrolment growth. Faculties are then responsible for allocation of the resources to the Faculties' academic priorities through the annual planning and budget process. Through this mechanism, Faculties allocate the resources to graduate student support, as well as to hiring/retaining faculty and staff and acquiring/sustaining other resources necessary to support incremental graduate and undergraduate enrolments. Faculties have chosen to allocate different proportions of the above base and one-time transfers to graduate student support. This will be seen later in Section 5.

It should be noted that Western's incremental revenue sharing is based on the current provincial funding formula. Provincial operating grants to the University include a historical base funding envelope plus increments based on a variety of targeted funding programs including incremental undergraduate and graduate enrolment growth. As well, Western generates tuition revenue from domestic students which is regulated by government and international students which is deregulated. Any change to the provincial grant structure or provincial regulation of domestic tuition increases (for example, a tuition freeze) will influence revenues that support enrolment expansion.

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#### 4. Graduate student support at Western

The data on graduate student support presented below have been obtained from Western's student information systems and human resources information systems. Not accounted in the amounts described below are any amounts that do not get distributed to students through Western's financial systems (e.g., employment outside of Western, payment of tuition or stipend directly by an outside agency/government, OSAP, etc.).

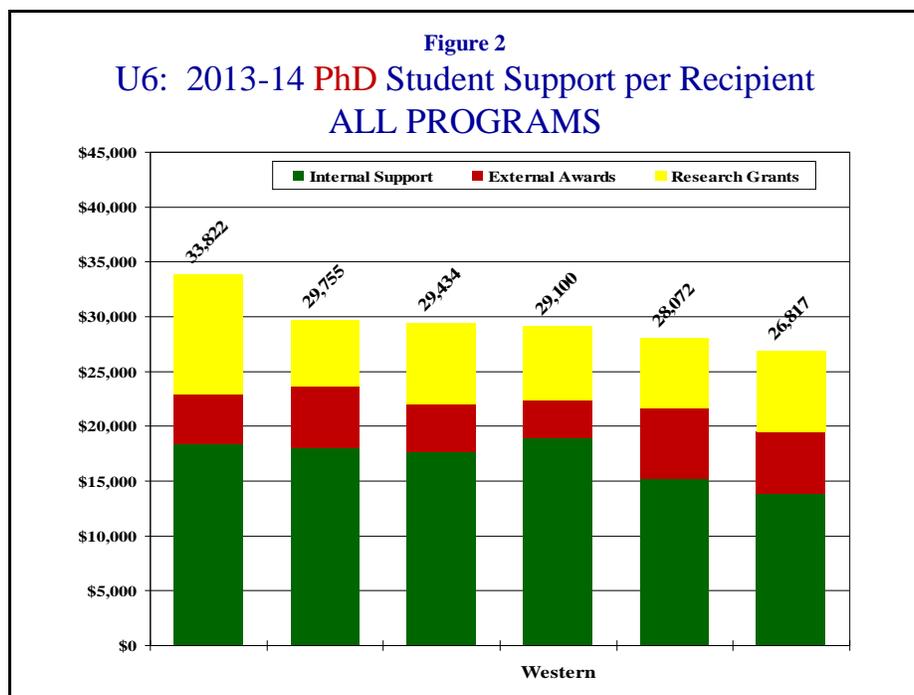
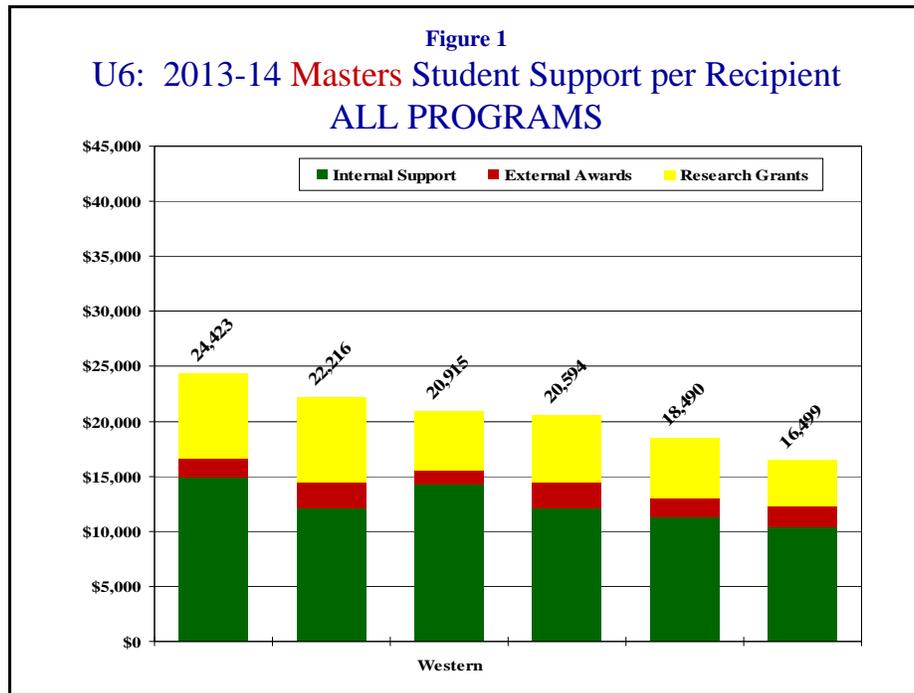
In 2014-15, Western delivered a total of \$90.9M of financial support to graduate students. Of this, approximately \$55M (61%) was from the University's operating budget, with the remainder from external sources such as supervisor research grants and student scholarships. The proportions of internal and external funding in graduate student support packages vary among disciplines.

Data from 2013-14 (on average funding per recipient) comparing Western to other U-6 institutions (the Ontario members of the Canada's U-15 research-intensive universities) indicate that:

- Western places high among U-6 institutions in terms of the proportion of internal (operating budget) funds directed to graduate student support;
- Western places lower among U-6 institutions in the proportion of support graduate students received from external scholarships.

In light of the second bullet point above, the sub-committee sought additional data in regards to factors influencing externally funded tri-council graduate student scholarships. At the Masters level, NSERC and SSHRC applications are adjudicated internally at Western and the University is limited with a quota of awards it can receive. At the doctoral level, Western is limited by a quota of applications it can submit, and the applications are reviewed externally by a committee that reports to the granting agency. Western's NSERC and SSHRC quotas for graduate student awards and applications are based on the volume of research grant activity (by Western faculty members) funded by these agencies. So, faculty grant success rates directly influence the number of awards Western graduate students can apply for and receive.

It is important to note that doctoral awards are portable. For example, a Western Masters student who secures (from an application through Western's quota) a scholarship for their PhD studies may accept the award at another Canadian institution and vice versa. Data provided to the sub-committee by SGPS on NSERC and SSHRC doctoral scholarships reveals evidence of transfers in both directions: scholarships transferred out of Western and scholarships transferred into Western. This is likely also true of CIHR scholarships, but we do not have direct data on this because the applications go directly to CIHR rather than through SGPS. Attracting and retaining scholarship award-holders is a priority and is discussed later in this report in the context of "top-up" funding provided for such students.



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## 5. Faculty-specific patterns of graduate student support in the last fiscal year (2014-15)

The sub-committee examined data on graduate student support distributed in 2014-15 stratified by the various sources from which it was derived. The \$90.9M of financial support distributed to graduate students at Western in 2014-15 was provided to the following student groups:

- \$77.2M to “fundable” Category 1 (Research) Masters students and PhD;
- \$5.9M to PhD and Category 1 Masters students past their fundability period (“year X” students)
- \$7.9M to Category 2 Masters students

### Sources of Graduate Student Support

The \$77.2M in financial support distributed to Western's fundable<sup>2</sup> Category I Masters and PhD students in 2014-15 came from the following sources.

- 28.6% from Western Graduate Research Scholarship (WGRS); this is provided by Faculties to qualified students
- 28.0% from Graduate Teaching Assistantships (GTA) and other course support such as proctoring and grading
- 21.9% from the supervisor's research grant (usually external but occasionally internal) are used to fund Graduate Research Assistantships (GRAs), which is a mechanism to support a student's work on his or her thesis research project, plus Research Assistantships (RAs) in which a faculty member's research grants are used to employ a student to work on the faculty member's research
- 16.9% from external scholarships from SSHRC, CIHR, NSERC and other external agencies
- 0.8% from donor awards, including endowed student support awards as well as OGS, Queen Elizabeth II and Trillium Awards; the latter are competitive provincial awards that are allocated to the University and adjudicated internally. Two thirds of the funding for these provincial awards comes from MTCU and a matching one third comes from donor funds.
- 0.8% from faculty salaries in roles such as teaching a course as a part-time faculty member
- 0.6% from Faculty Operating Awards, which are scholarships generated within the Faculty
- 0.4% from other Western employment, including co-op and work study employment
- 2.0% from other sources (e.g., MITACS, tri-council foreign study supplements, etc.)

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<sup>2</sup> The typical fundability period for Category I Masters students is up to 2 years of full-time registration. The typical period of fundability for full-time PhD students is four years for direct-entry students and five years for those who transfer from Masters to PhD studies.

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*Graduate Student Support by Source and by Faculty of Registration*

The various sources of the \$77.2M in financial support for fundable Category I graduate students are available to the Faculties in varying amounts and are used by the Faculties to construct financial support packages as shown in Figure 3.

The committee examined detailed Faculty-specific funding data<sup>3</sup> and made the following observations:

- i. The strategies for constructing student financial support packages from available resources differ from Faculty-to-Faculty.** Generally speaking, the data confirm that Faculties with predominantly SSHRC-funded disciplines deliver a larger fraction of student support from internal resources. Conversely, the data also confirm that Faculties and programs with NSERC-funded and CIHR-funded disciplines provide a larger fraction of support to students in the form of GRA, which are largely funded from supervisor grants. The sub-committee also reviewed the sources for financial support packages at the program level and observed that there is also variation from program-to-program within Faculties as well as variation from student-to-student within programs, and variation for individual students at different stages in their program.
- ii. There is variation around the average level of support.** The committee was told that where very low doctoral funding levels are reported in Western's financial information systems it is generally for students who have waived University-based support packages due to support that flows to them from external sources (e.g., sponsored international students may have resources delivered directly to them rather than through Western's financial systems). The very highest levels of student support are typically received by those who hold high-value external scholarships such as the Vanier Scholarship.

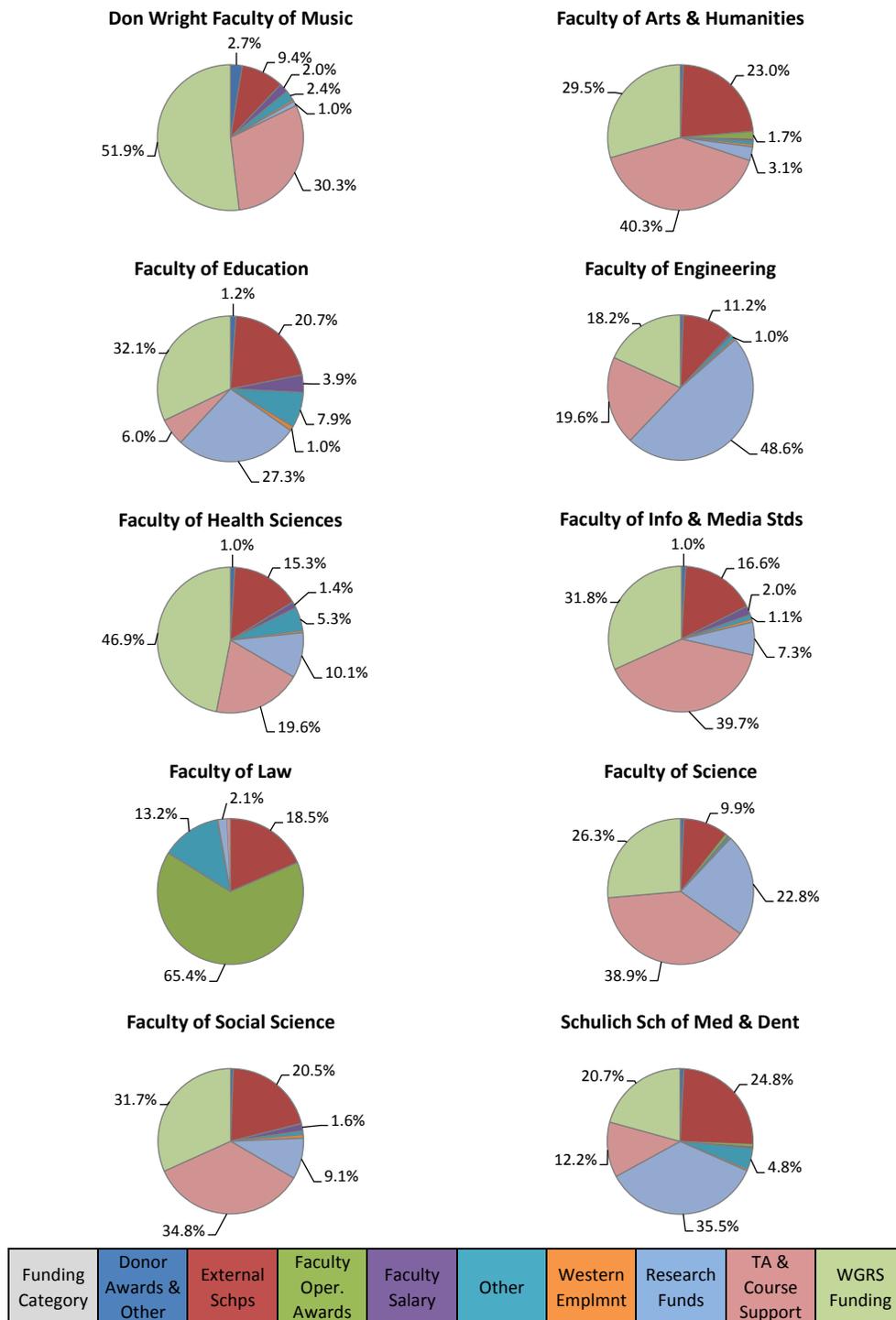
*Setting the Faculties' funding models*

The Associate Deans provided information on how resources flow to programs within their Faculties. This information was collected by SGPS and transmitted to the sub-committee. It is important to note that this information was provided in mixed formats, with different types of detail. In general, the information highlighted that Faculties that allocate greater fractions of internal resources to programs, were able to report exactly how support was allocated at the program level. These Faculties had detailed models that directed programs regarding allocation to each category of graduate student. In contrast, in Faculties with large supervisor research grant contributions to student support, Associate Deans were able to report what internal resources flowed to the programs, but did not direct allocation beyond that. This reinforced the sub-committee's observation that accountability for graduate student support allocations rests at various levels.

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<sup>3</sup> Greater detail on Faculty-specific support of all students is available to members of the University community at <https://www.ipb.uwo.ca/internal/Faculty-Specific-Graduate-Student-Support-Data.pdf>

**Figure 3**



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## 6. What the Committee heard regarding key issues and practices

Many of the issues heard from the community are related to lack of clarity and understanding of the program/Faculty-specific rationale for student support. As well, there were variations in how well programs communicated to individual students regarding the details of their own support package. The sub-committee also heard worries about the sustainability of some components of funding as well as varying opinions on the specific priorities that should drive allocation decisions. The latter can only lead to informed discussion and potential solutions in the presence of better documentation and communication of program/Faculty-level practices and policies for constructing student financial support packages from the various available sources..

### Varied levels of understanding, documenting and communicating graduate student support strategies

Student comments included the following:

- a. Not all students feel well-informed regarding how their program constructs graduate student support packages. Further, some do not understand the rationale behind their own funding package and why their package is not identical to other students in their program.
- b. Some students are concerned that their sources of support could change. This concern existed even if the total support dollars in the package remain constant. There is a perception of “losing” a component when it is reduced in favour of another funding source. (e.g., if receipt of new GTA support for a term leads to a lower amount received in WGRS funding, students perceive this as taking away something of which they have a right to a “fair share”).
- c. There are specific advantages attached to certain funding components. For example, the GTA component carries some extended health care benefits and the WGRS component can be credited directly to the students’ tuition account, thus reducing the out-of-pocket tuition expense.
- d. Some students indicated that they have difficulty finding a staff or faculty member able and willing to fully explain their support package and any changes.

Feedback from faculty suggests that:

- a. Not all faculty understand the rationale behind their program’s strategies for funding.
- b. Many faculty do not understand the funding strategies in programs other than their own and therefore make assumptions (sometimes incorrect) regarding funding strategies elsewhere. This leads to polarizing discussions.
- c. Supervisors and graduate programs all put priority on maximizing support to their graduate students and also view this as important for attracting and retaining strong students.

### Sustainability of student support strategies

Some faculty in disciplines that historically rely most heavily on internal sources of student support expressed worry about the sustainability of funding given it is dependent on enrolments.

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Some faculty in disciplines that rely heavily on GRAs from supervisor external research grants worry about the sustainability of graduate student funding in an environment of lower tri-council grant application success rates. As well, faculty research programs are impacted by the latter. Specifically, in NSERC-funded and CIHR-funded disciplines, graduate students are key contributors to future faculty research grant success (e.g. the student and the supervisor are co-authors on the publications arising from the student's thesis research), so there is a real risk of a downward spiral in both faculty research outputs and faculty capacity to take on future students. Some faculty also reported that uncertainty in the external funding climate influences the supervisor's willingness to undertake a multi-year financial commitment to a PhD student and some opt instead to recruit postdoctoral research trainees.

*"Top-up" funding to attract and retain students with external scholarships*

Students who do not hold external scholarships are provided with support packages comprised entirely of internal and external resources (i.e., mainly faculty research grants and contracts) available to the program. For students who do hold an external scholarship, the external scholarship contributes the major part of their support package while other external and internal resources are contributed to augment their package (i.e., "top-up" funding). Thus, students who hold external scholarships typically have much larger overall support packages than students who do not hold external scholarships, while requiring fewer of the other resources available to the program. It is generally understood and supported, by students and faculty, that students with and without external scholarships will have a differential call on program resources.

Top-up of students who receive external scholarships is seen as important for several reasons. It allows scholarship students to achieve larger support packages than delivered by their scholarships alone and therefore is a reward for the students' achievements. As well, it is important to ensure that we are successful in recruitment of high-achieving scholarship students when competing against similar programs at peer institutions. Many other universities offer top-up packages for external award holders. Beginning September 2016, Western will have a minimum top-up guarantee for PhD students holding external scholarships. The new Doctoral Excellence Research Award (DERA) provides a clear statement of institutional support for top-up of doctoral students holding external scholarships. The SGPS portion of the DERA is derived from 15% of incremental enrolment revenues received by the University (the remaining after the 85% flow to Faculties as described in Appendix C). Each graduate program or Faculty is responsible for finding \$5,000 of Faculty funds as their share of each student's DERA.

The sub-committee heard several issues around the top-up of scholarship winners, including:

- a. Top-up of external scholarship winners is the normal practice for many programs, but not all. Further, for those who do top-up scholarship winners, the value of the top-up varies and is not always documented.
- b. Some program leaders expressed worries about availability of resources to provide top-up funding, particularly in Faculties where smaller fractions of Faculty funds resulting from incremental enrolments flow to the programs for graduate student support. These same individuals expressed worries regarding availability to the program of funds to assemble

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the “program share” of the DERA. The sub-committee noted that this share of the DERA is comparable to the amounts many programs already top-up scholarship winners so that the current top-up could be used to provide the program share of the DERA.

- c. Students who did not hold an external scholarship at admission but who later received an external scholarship were sometimes not aware in advance of which components (WGRS, GTA, GRA, other) of their pre-scholarship support package would be retained as top-up and which components would be freed for program use to support other students and to support program expansion. This can lead to student disappointment if the model for program top-up is not clearly communicated in advance.

### Student travel

Identifying strategies to support student travel has particular relevance to SSHRC-funded disciplines. Although this is not formally considered part of graduate student support packages, the topic was raised in several community consultations. Student travel to attend conferences or to gather data relevant to thesis research is important to student development. Supervisor research grants are able to support student travel in NSERC-funded and CIHR-funded disciplines because a student's research activities and outputs contribute to their supervisor's research program. In disciplines where this is not the case, some Faculties have earmarked small amounts of funding in support of student travel. However, several groups expressed the need for more resources to support student travel. The sub-committee was told that \$1.6M in student travel claims was processed by Western's financial systems in 2014-15.

### The role of GTA funding in student support packages

Graduate Teaching Assistantships (GTAs) provide an important source of support for graduate students, particularly because they are also important opportunities for development of professional skills in teaching, communication, and leadership. In our community consultations and data gathering, we found that the majority of programs consider GTAs to be a component part of the student support package whereas a few programs consider the GTA to be “on top” of the student's support package. The sub-committee noted that, in many cases, programs would not be able to achieve the minimum support package without reliance on inclusion of GTA support as part of that package

### Summer Term support

In some disciplines, students receive support that is not balanced across academic terms. This can arise when students have full GTA assignments for which they are paid during the Fall and Winter terms and have GRA or WGRS components in their support package that are paid in equal installments over all three terms. This is a pattern that applies only in some programs. Students have expressed a preference for balanced funding across terms.

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### *International students*

Most programs identified the wish to recruit more international students to enrich their programs. In some programs, international students are essential to sustain enrolment. The University has made a significant commitment to the funding of international students. Firstly, 85% of all incremental tuition revenue from international students is returned to the Faculties through the revenue sharing mechanism. Secondly, despite provincial grant revenue not being received for international students, the University has made a commitment of additional funding (\$6,100 per Masters student and \$16,400 per PhD student, as described in Appendix C) up to a pre-defined “university-funded international enrolment number” (UFIEN) arrived at between the Dean and the Provost in the annual planning and budget process. There are no limits on the number of international graduate students a program can seek to admit, but the UFIEN determines the University’s additional funding commitment. Faculties may recruit, at their own expense, international students in excess of the UFIEN – recognizing that 85% of the tuition revenue for these students will flow to the Faculty budgets.

SGPS has identified several sources of sponsored international graduate students. For such students, sponsors typically cover the equivalent of domestic tuition plus a basic stipend to the student to defray living expenses. This leaves Faculties with the responsibility of funding only the difference between domestic and international tuition. Uptake of these opportunities is one way to enhance the number of international graduate students at Western.

All parties consulted acknowledged the importance of continuing to ensure adequate funding for the international students who are admitted into programs, recognizing that international students have fewer external scholarship sources from which to acquire funding.

### *Interdisciplinary programs*

The sub-committee received correspondence highlighting student support challenges arising in interdisciplinary programs, particularly when the programs are inter-Faculty. Supervisors within a single interdisciplinary program may have differential access to internal resources (WGRS, GTA) for graduate student support due to different funding strategies in their home Faculties. This can have challenging consequences, including instances where students may receive different overall support packages, even though they are registered in the same interdisciplinary program. In other instances, supervisors within the same interdisciplinary programs may need to draw on their research grant resources in differential amounts and therefore have different capacity to attract the best students. A related issue arises for supervisors who participate in more than one graduate program. Such supervisors have more than one option for recruiting graduate students and may make choices to accept students into the program with the funding strategy they view as most favourable. This may create unintended competition between programs for students and may lead to pressure on prospective students to enroll in a program that is not the best academic fit or fit with their career aspirations.

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*Minimum value of PhD student support packages*

The guaranteed minimum student support, from all sources, for PhD students within their fundability period is \$12,000 plus tuition. This guaranteed minimum has not changed for several years. Many faculty and students commented on this and suggested that it may be time to review Western's guaranteed minimum value of PhD student support.

*Graduate students who are not typically funded*

Category II (professional) Masters programs are designed to prepare graduate students for specific professional employment pathways. As well, Western has a new professional doctoral program (Ed.D.) with students who are typically working in teaching or education-related jobs external to the University. Category II Masters students are not typically provided with graduate student support packages. This decision is historic and was initiated based on the expectation that these students will be able to recoup education-related investment in subsequent employment. As well, many of these programs have a shorter duration. In community consultations, it was suggested that the assumptions underlying this historic decision may not apply uniformly to all Category II Masters students. The sub-committee noted that Faculties can, and some do, occasionally choose to fund Category II students where they feel it is reasonable to do so. However, extending support packages more broadly to this category of students would reduce resources available for graduate education in other areas, including support of Category I students.

"Year X" students are Category I Masters and PhD students who have exceeded their fundability period. It is recognized that the challenge of students exceeding their fundability period is not unique to Western and that, with few exceptions, other universities generally do not flow operating money to support packages for Year X students because such students do not draw provincial grant funding to the University. However, while many Year X students at Western are unfunded, there are examples of supervisors providing GRA support to Year X students and, in some disciplines, examples of Year X students hired to teach a course as a part-time faculty member. As well, Year X students are sometimes hired into GTA positions in areas where there is more demand/need for TAs than there are fundable students available. A detailed analysis by SGPS indicates that Year X students are diverse and have exceeded their fundability period for varying periods and for a variety of reasons. Further discussion of this matter is beyond the scope of this report, but the sub-committee notes the issues and urges continued evolution of strategies to reduce the number of Year X students as well as the time spent by individual students in Year X status.

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## 7. Summary and Recommendations

The delivery of graduate student support at Western involves the use of many funding sources with decentralized strategies for combining available resources into student support packages. Therefore, graduate student support packages may be assembled differently from Faculty-to-Faculty and from program-to-program. As well, support packages may vary from student-to-student, even within the same program, reflecting student-specific eligibility for different funding sources. Further, the sources of support within an individual student's package may vary in relative proportion at different stages in a student's program. The complex and decentralized nature of graduate student support is not unique to Western; distributed models are typical at other research-intensive universities. These strategies have generally been successful as demonstrated by the substantial amount of support delivered to graduate students.

These strategies have evolved from a series of historical decisions and adjustments that have accumulated into a large number of complex models that are frequently poorly understood and poorly communicated. This has led to some of the worries expressed by program leaders, faculty, and students. It also increases the difficulty of modifying strategies at the Faculty and institutional level in a cohesive and principle-based way if and when funding sources change. Many of the sub-committee's recommendations, therefore, focus on suggestions to improve the documentation and communication of current funding strategies.

The sub-committee also recommends that it is time to step back and review Western's support strategies and to identify any tactical changes needed to ensure the University will be able to continue to balance issues of fairness, competitiveness, and sustainability as we respond to changes in the external funding environment.

### Recommendations

**1. a. Develop clear documentation, at the program and Faculty levels, to explain how funding flows to students from all sources for all categories of students.**

**b. Clear and timely communication of these documented models should come from the Faculty/program leaders/administrators to students, faculty members, and SGPS.**

Specifically:

- **Documentation should articulate the level of funding for each category of graduate student and the sources that might contribute to this level of funding, as well as how the funding may change (i.e., top-ups, etc) if a student receives an external scholarship.** Some Faculties/programs use tabular formats that we would recommend. An example of the format used in one Faculty is given in Appendix D. In Faculties where the funding models vary across programs, we recommend that program-level descriptions should be collected and reviewed/reported by the appropriate Faculty Associate Dean.

- 
- **Documentation should be available publicly** such that all faculty, staff, and students associated with the program have access to this information. This will ensure that students are aware of how funding is assembled from multiple sources, how the balance of these sources can vary between students, and how their own funding entitlement may change as their individual circumstances change during their programs. This will also ensure clarity up-front as to the value of any top-up packages offered to scholarship recipients so that students know what they will receive if their scholarship applications are successful.
  - **The documented program-specific model prevailing at the time of an individual student's admission should be applied to that student for the duration of their fundability period.** It is recognized that availability of internal and external resources may change year-to-year and result in changes to the programs' funding models prospectively. The models should be cohort-specific so that each student knows what to expect during their individual program.
  - The documented **models should be reported to, and reviewed by, SGPS** who will ensure that Western's support principles are upheld while balancing the recognized need for discipline-specific variation to ensure competitiveness.

**2. a. Clearly document the individual *annual* funding plan for each student**

**b. Ensure that these are well-communicated to the students to whom they pertain.**

In particular:

- Programs should **maintain a detailed description of the annual funding plan for each individual student.** An example is given in Appendix E of a spreadsheet that is used to aggregate student-specific commitments in one Faculty for planning purposes. Such approaches will simplify tracking of funding and will provide a tool for checking the individual students' support against the cohort-specific support commitment.
- The **annual student support letter should be visible on the Student Centre<sup>4</sup>** in order to be available as an ongoing reference for the student and for those responsible for addressing student enquiries. The annual support letter is currently a requirement (template in Appendix F), but some students have reported that they either did not receive the letter from their programs or that they do not remember the contents of the letter.

**3. Create a structure to ensure new graduate program Chairs and graduate program Assistants are provided with the knowledge to undertake their roles effectively.** We also recommend **ongoing development and support** to ensure understanding of student support strategies, institutional requirements, and effective communication practices. There should be identified persons to whom students can turn in order to get clear answers to their funding questions. We note that SGPS offers summer workshops for graduate program Chairs and

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<sup>4</sup> The Student Centre" is the University's student information system that holds student-specific demographic, financial, and academic information.

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Assistants. Mandatory attendance at one of these workshops could partially address this recommendation.

4. Investigate the feasibility of **moving the delivery and tracking of non-employment (T4a) components of student support packages from Western's Human Resources information systems to Student Centre**. This would enable automatic payment of tuition accounts from any T4a funding source (as currently can be done with WGRS and external scholarships), thus reducing this financial out-of-pocket burden on the students. However, there may be some other operational considerations that need to be weighed in exploring this possibility.
5. Identify structures and avenues for **continued discussion on future evolution of our funding strategies to respond to fiscal changes and enrolment pressures within the system**. Such discussions should include a critical look at current graduate student support strategies and potential changes to position us to be nimble in the face of changes in the funding climate. Western-wide principles should guide discipline specific strategies and, conversely, discipline-specific realities should influence Western-wide policies.
6. Form an **implementation committee, reporting to the Vice-Provost (Graduate and Post-doctoral Studies) to ensure the implementation of these recommendations in the calendar year 2016**. We suggest that recommendations 1-3, at minimum, be implemented in time for the September 2016 graduate student admissions cycle. The implementation committee would advise on templates to be developed/used and would ensure that the implementation processes are feasible and sustainable.

## Appendix A

### Graduate Funding Sub-Committee Meetings and Community Consultations

<b>Graduate Funding Sub- Committee Meeting</b>		
Date	Time	
Septmber 29, 2015	3:00-4:00 p.m.	
October 13, 2015	9:00-10:00 a.m.	
October 29, 2015	9:00-11:00a.m.	
November 9, 2015	9:00-11:00 a.m.	
November 24, 2015	9:00-11:00 a.m.	
December 14, 2015	8:30-10:30 a.m.	
December 22, 2015	8:30-10:00 a.m.	

<b>Consultations with Faculties and SOGS</b>		
Date	Time	Faculty
October 27, 2015	12:00 p.m.	Faculty of Social Science - Graduate Chairs
October 28, 2015	12:30 p.m.	School of Graduate and Postdoctoral Studies - GEC Meeting
November 6, 2015	1:00 p.m.	Faculty of Arts and Humanities - Graduate Chairs
November 9, 2015	1:00 p.m.	Don Wright Faculty of Music - meeting with Catherine Nolan
November 16, 2015	9:00 a.m.	Faculty of Information and Media Studies - meeting Susan Knabe and Pam McKenize
November 17, 2015	3:00 p.m.	SOGS Executive
November 18, 2015	11:00 a.m.	Faculty of Health Sciences - Graduate Chairs
November 19, 2015	3:10 p.m.	Faculty of Engineering - Graduate Chairs
November 23, 2015	12:30 p.m.	Schulich School of Medicine & Dentistry - Graduate Chairs
November 24, 2015	11:00 p.m.	Faculty of Science - Graduate Chairs
November 25, 2015	6:00 p.m.	SOGS Council
December 15, 2015	9:00 a.m.	Faculty of Science revisit- Graduate Chairs
corrspodence from		Faculty of Law, Richard Ivey School of Business

## Appendix B

### Western: History of Budget Allocations Associated with Graduate Education

October 8, 2015

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#### Prior to 1996

- About 80% of the University's operating revenue came from government grants – most of which was attached to a stable level of overall enrolment (i.e. the BIU corridor system). Growth in enrolment above the “corridor” did not result in additional grant funding – only additional tuition revenue was available.
- There was occasional additional grant funding for undergraduate enrolment growth – but not for graduate enrolments. Such growth funding was almost always substantially “discounted”.
- The Faculty of Graduate Studies at Western (FGS) managed a graduate student support base budget that had evolved over time. Increases to this budget had to be negotiated by the Dean of FGS (with the Provost) on an annual basis.
- FGS transferred these funds to each graduate program – primarily as Special University Scholarship (SUS) funds. This was done differentially, reflecting FGS's assessment of program enrolments, student quality, and funding needs. With respect to “funding needs”, graduate programs in disciplines that had less access to research grants for student support purposes received more funding than those programs that had more access to research grants.
- Each Faculty also used a portion of its operating budget to fund GTAs – and the amounts evolved over time to meet undergraduate teaching needs rather than graduate student support needs.
- Overall graduate funding packages were established by each graduate program and consisted of a mix of GTA funds, FGS's SUS funds, external scholarships, and funds from research grants.

#### 1996 to 2002

- The University's Strategic Plan – *Leadership in Learning* – affirmed a policy that 80% of “new/incremental” revenue from graduate student tuition should be added to the FGS student support budget – thus providing an incentive to enable graduate enrolment growth.
- This changed to a policy of allocating 75% of all graduate student tuition revenue to be the total FGS student support budget. Towards the end of this period, the 75% became 78%. This envelope of funds would eventually be known as the Graduate Student Scholarship and Training Fund (GSSTF).

#### 2002 to 2010

- The transfer of the GSSTF to graduate programs became more formulaic – with each program receiving a standard amount per fundable student, standard amount for each external award holder, and a differential amount that reflected each program's access to research grants for student support purposes. (Table 1)
- In the mid-2000's, the Provincial Government – in response to Bob Rae's report *Ontario: A Leader in Learning* – began new investments in universities. First, enrolments that were over the university-specific corridors were provided full funding, and second, a program of funding for graduate enrolment expansion (up to a cap) was implemented.
- Western, in turn, developed graduate enrolment expansion plans – and flowed a portion of the additional revenues to the Faculties through the Graduate Expansion Fund (GEF) and its supplement

GEF+. It should be noted that the Enrolment Contingent Fund (ECF) – which was already in place – also supported graduate enrolment growth. The Deans had full discretion on the use of these funds to support their overall needs in the area of graduate education – including creation of new faculty positions, graduate student support, and other support infrastructure.

### **2011 to 2014 – a New Revenue Sharing Mechanism**

- As part of a new 4-year planning cycle, effective 2011-12, a new mechanism for enrolment-related revenue sharing with the Faculties was implemented – and replaced the previous envelopes that had evolved over time (i.e. the ECF, GEF, GEF+, and GSSTF).
- The new mechanism provided a greater share of the incremental enrolment-related revenues (grant + tuition) to the Faculties, on a slip-year basis: 40% for undergraduate enrolments/teaching, 40% for professional (or category 2) masters enrolments, and 85% for research masters and doctoral enrolments. In total, the new mechanism flowed about 50% more than the total of the previous programs.
- As a starting point for the new mechanism, the previous envelopes (i.e. ECF, GEF, GEF+, GSSTF) were all rolled into Faculty base budgets – at the 2010-11 levels. The amounts rolled into base are shown in Table 2.
- The \$22.8 million in GSSTF funding that was rolled into base was exempt from the Initial Budget Adjustment (IBA) during this 4-year period (i.e. 2011-12 through 2014-15).
- It was also a requirement that this \$22.8 million had to be used for graduate student support purposes.
- During this period, the baseline year for measuring “incremental revenues” was 2009-10 and the allocations to the Faculties were done on a slip-year basis. For example, growth in 2010-11 over 2009-10 was the basis for allocations in 2011-12. The allocations transferred to Faculties are shown in Table 3.
- If enrolments fell below the baseline, a one-time negative adjustment would be applied to the Faculty budgets.
- Finally, it should be noted that the funds deriving from this revenue sharing mechanism can be used strategically by the Faculties to support their educational priorities – including graduate student support. Faculties’ decisions in this regard are based on their academic priorities, workload requirements, and graduate student funding models.
- Therefore, starting in 2011-12, full responsibility for graduate student funding rests with the Faculties – and the models vary across Faculties.

### **2015 – Start of the Current 4-Year Planning Period**

- In the spring of 2015, the current 4-year planning cycle – spanning the period 2015-16 through 2018-19 – was developed.
- The revenue sharing funds associated with the 2012-13 budget year (or 2011-12 enrolments) were rolled into Faculty base budgets – and amounted to roughly half of the revenue-sharing funds (or \$19 million) at the end of the previous 4-year cycle. Accordingly, the new baseline year for measuring “incremental revenues” is 2011-12.
- The shares of incremental revenues flowing to the Faculties were modified as follows: 25% for direct-entry undergraduate teaching, 50% for second-entry undergraduate and professional (or category 2) masters enrolments, and 85% for research masters and doctoral enrolments. In addition, the remaining 15% associated with research masters and doctoral enrolments is being allocated to a program aimed at attracting external award winners to our doctoral programs – and this program will be managed the School of Graduate & Postdoctoral Studies (SGPS).
- In this planning period, all funds that are part of the Faculties’ base budgets are subject to the IBA.

## **Table B.1**

*Western University*

### **Historic Disciplinary Adjustments to GSSTF**

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These were the amounts attributed to graduate programs based on November 1 student count in the last fall of the GSSTF.

- \$4,500 for each Fundable Domestic student (78% average as determined by FGS, within funding period)
- \$10,800 for each Fundable International student (78% average as determined by FGS, within funding period)
- \$4,000 additional for each externally-adjudicated award holder (OGS/ST, SSHRC, NSERC and CIHR)
- Also, for some Faculties, a differential component was added based on disciplinary differences (support capabilities and strategies, supervisor/supervisee paradigms, student/faculty collaborations, institutional and academic norms)
  - Arts and Humanities: \$4,300
  - Faculty of Health Sciences \$1,200
  - Education, Law and Social Sciences: \$1,800
  - Information and Media Studies: \$2,300
  - Music: \$3,800

**Table B.2***Western University***Enrolment-related Funds Rolled into Faculty Base Budgets in 2010-11 <a>**

	Enrolment Contingent Fund (ECF) <b>	Graduate Expansion Funds (GEF & GEF+)	Graduate Student Scholarship & Training Fund (GSSTF)	Total
Arts & Humanities	662,740	1,110,000	3,532,600	5,305,340
Business	0	0	0	0
Education	411,450	440,200	791,400	1,643,050
Engineering	771,536	1,233,400	3,403,800	5,408,736
Health Sciences	1,076,700	1,946,800	1,994,000	5,017,500
Information & Media Studies	417,450	569,400	435,600	1,422,450
Law	352,950	52,600	54,400	459,950
Medicine & Dentistry	588,980	773,100	2,594,100	3,956,180
Music	538,850	429,900	1,119,600	2,088,350
Science	880,360	1,521,800	4,608,600	7,010,760
Social Science	777,930	1,181,800	3,082,700	5,042,430
Interdisciplinary Programs	1,173,300	582,500	1,185,300	2,941,100
Total	7,652,246	9,841,500	22,802,100	40,295,846

&lt;a&gt; i.e. actual 2009-10 levels

&lt;b&gt; The ECF includes undergraduate and graduate growth funding. The graduate component cannot be separated out.

**Table B.3***Western University***Graduate Revenue Sharing -- Funds Flowed to Faculties**

	<b>2011-12</b>	<b>2012-13</b>	<b>2013-14</b>	<b>2014-15</b>	<b>2015-16*</b>
Arts & Humanities	\$1,143,813	\$824,884	\$737,072	\$501,582	\$444,481
Business	\$0	\$0	\$0	\$0	\$0
Education	\$182,573	\$357,187	\$1,300,195	\$3,328,957	\$5,906,685
Engineering	\$616,192	\$551,530	\$1,021,315	\$1,041,136	\$2,182,855
Health Sciences	\$494,554	\$576,563	\$1,598,340	\$1,564,234	\$2,026,565
Information & Media Studies	\$354,179	\$389,644	\$777,669	\$555,068	\$318,791
Law	\$58,513	\$161,532	\$85,403	\$113,851	\$129,720
Medicine & Dentistry	\$247,545	\$663,366	\$968,020	\$1,997,157	\$1,510,354
Music	\$77,021	-\$2,871	-\$46,259	\$258,064	\$296,928
Science	\$1,534,834	\$2,129,476	\$2,401,304	\$1,774,501	\$2,317,950
Social Science	\$1,096,598	\$1,375,631	\$1,392,598	\$1,327,339	\$2,300,375
Interdisciplinary Programs	\$294,077	\$430,754	\$557,149	\$535,848	\$528,665
<b>Total</b>	<b>\$6,099,899</b>	<b>\$7,457,696</b>	<b>\$10,792,806</b>	<b>\$12,997,737</b>	<b>\$17,963,369</b>

\* Includes \$7.1M added to base

## Appendix C

Western University

### Technical Notes on the Mechanism to Share Incremental Enrolment-related Revenues with the Faculties for the 4-Year Planning Cycle: 2015-16 through 2018-19

Updated September 29, 2015

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#### A. Overview

- Current basic structure/mechanism started in 2011-12.
- Shares incremental tuition and grant revenues with the Faculties.
- Mechanism applies to all Faculties except self-funded programs.
  - Self-funded programs include all Ivey programs, the AQ courses in Education, and International Medical/Dental enrolments.
  - In addition, the B.Ed. program is excluded from this mechanism because the government is restructuring the program.

#### B. Funds Rolled Into Base Budgets

- The 2012-13 revenue-sharing allocations have been rolled in to 2014-15 Faculty base budgets. New baselines will be the 2013-14 enrolment/teaching levels.

#### C. Transitioning into the next 4-Year Planning Cycle (2015-16 to 2018-19)

- The overall structure of the mechanism remains unchanged for the upcoming 4-year planning period (2015-16 through 2018-19) – but there are some modifications which are described in section D below.
- New enrolment “floors” have been established for each Faculty – which correspond to the funds rolled into base budgets:
  - The new floors are the 2011-12 Weighted Teaching Units (WTUs).
  - Going forward, in any given year, if a Faculty’s WTUs fall below its floor a one-time budget reduction equivalent to the Faculty-specific average funding per WTU rate will be applied (for that year).

#### D. Details of the Revenue-Sharing Mechanism – starting in 2015-16

- Funding will be provided on a slip-year basis
  - i.e. 2015-16 funding will be based on 2014-15 enrolments/teaching.
- Incremental tuition and grant revenue will be shared with Faculties through three separate funding envelopes
  - Undergraduate Envelope
  - Non-Research Masters Envelope
  - Research Masters / PhD Envelope

*Note: SGPS has informed Deans of the categorization of Masters programs into the “Research” and “Non-Research” groups*

- Government grants are available (when provided by government) for domestic students only – and, in the case of graduate students only for those within the government funding-eligibility period.
  - International students do not attract government grants.
- Only the level/rate of funding provided by government will be shared with the Faculties.
  - It is possible that, in any given year, government grants may be ‘discounted’. Government may also end funding of enrolment growth at any time – which would require the necessary internal adjustments or discounting.
- Tuition revenue sharing will be based on incremental tuition revenues – which will be a function of rate and volume increases.
- If necessary, these revenue sharing allocations may be subject to budget reduction adjustments – in the context of the University’s overall financial situation.

#### **E. Specifics of the Undergraduate Envelope**

- Incremental tuition and grant revenues will be calculated based on program enrolments, but – for direct-entry programs – the Faculties’ share will be based on students taught (FCEs).
  - That is, Faculty-specific allocations will ultimately be based on the amount of undergraduate teaching regardless of the home Faculty of the students.
- Tuition and grant revenue in 2014-15 will be incremental to 2013-14 for funding in 2015-16.
  - i.e. as indicated above, allocations are based on slip-year revenue growth.
- Since international students are ineligible for government funding only incremental international student tuition is shared.
- The details of the calculations are as follows:
  - **Step 1:** Calculate Faculty-specific undergraduate enrolment-growth grants in 2014-15 over 2013-14 levels. This calculation is based on FFTEs (fiscal full-time equivalents) and BIUs (basic income units – which are weighted enrolments used by government for grant calculations) over all three undergraduate terms. It is driven by each student’s program and degree-objective. It should be noted that year-over-year change (e.g. 2014-15 to 2013-14) can result in a negative revenue figure.
  - **Step 2:** Calculate Faculty-specific tuition revenue in 2014-15 over 2013-14 levels. This calculation is based on FFTEs overall all three terms. This calculation factors in registered Faculty, year-in-program, and immigration status.
  - **Step 3:** The sum of the changes in grant and tuition revenues will form the Faculty-specific incremental revenues:
    - 25% of incremental revenues from direct-entry undergraduate enrolments flows to the Faculties (this is a modification from the previous 4-year cycle).
    - 50% of incremental revenues from second-entry (or professional) undergraduate enrolments flows to the Faculties (this is a modification from the previous 4-year cycle).
  - **Step 4:** Apply each Faculty’s revenue to the teaching matrix (which uses the average of the actual teaching distribution for the most recent two years) and distribute those revenues based on where the students in a particular Faculty take their courses. For example, assume Faculty X generates \$200,000 in incremental revenues based on students registered in that Faculty. However, students in Faculty X take courses in Faculties X, Y, and Z in a 60%, 20%, 20% distribution respectively. Here, the \$200,000 in revenue from Faculty X’s students is distributed as follows -- Faculty X \$120,000 (60%), Faculty Y \$40,000 (20%), and Faculty Z \$40,000 (20%).

## F. Specifics of the Graduate Envelopes

- Incremental tuition and grant revenue will be earned and distributed on the basis of program enrolments.
- As indicated above, government grants are not available for domestic students beyond their MTCU funding-eligibility period. All international students are ineligible for government grants.
- Year 1 Direct-to-PhD students are treated as Masters students – by government and in our revenue-sharing mechanism.
- A supplement will be provided for incremental international enrolments in Research Masters Programs (\$6,100 per student) and PhD Programs (\$16,400 per student).
  - Incremental students will be net growth based on Fall enrolments and will only include students who are SGPS funding-eligible.
  - Only Masters students in the first two years of study and PhD students in the first four years of study will be included in the calculation of the supplements.
  - International student enrolment levels must receive approval from the Provost (through the University’s planning process) in order to be eligible for the above supplements.
  - Faculties can have higher international enrolments – than the Provost-approved levels – but these additional enrolments will not attract the “supplemental funding”.
- Tuition sharing applies to all students.
- Tuition and grant revenue in 2015-16 will be based on 2014-15 enrolments/teaching.
  - i.e. as indicated above, allocations are based on slip-year revenue growth.
- The details of the calculations are as follows:
  - **Step 1:** Calculate Faculty-specific graduate expansion grants in 2014-15 over 2013-14 levels. This calculation is based on eligible Fall FTEs. It is driven by each student’s program and degree-objective. It should be noted that year-over-year change (e.g. 2014-15 to 2013-14) can result in a negative revenue figure.
  - **Step 2:** Calculate Faculty-specific graduate tuition revenue in 2014-15 over 2013-14 levels. This calculation is based on FFTEs over all three academic terms. This calculation factors in registered Faculty, degree-objective, program category, and immigration status.
  - **Step 3:** The sum of the changes in grant and tuition revenues will form the Faculty-specific incremental revenues – and the proportions to be shared with the Faculties are as follows:
    - 50% for Non-Research Masters programs (**this is a modification from the previous 4-year cycle**)
    - 85% for Research Masters and PhD programs. In addition, the remaining 15% will also be set aside to support the Faculties with graduate enrolment expansion – but the funds will be allocated selectively/differentially by the Provost in direct support of graduate education (through the University’s planning process). (**this is a modification from the previous 4-year cycle**)
  - **Step 4:** Apply international student supplements to incremental enrolments at a rate of \$6,100 for Research Masters students, and \$16,400 for PhD students. The supplements will apply only to students who are SGPS funding-eligible, and Masters students in the first 2 years of study and PhD students in the first 4 years of study.

**Graduate diploma programs beginning after January 1, 2015 will not attract grant funding as part of the revenue sharing allocation. The sharing of tuition revenue will continue (see Section G).**

**G. New High-Tuition Programs**

- New programs with a 2015-16 annual domestic tuition in excess of \$10,441 (the category 2 tuition for existing programs) will have a modified mechanism for revenue sharing which distributes 50% up to the base \$10,441 tuition, 65% between \$10,441 and \$18,412, and 85% on the amount over the \$18,412.

**ILLUSTRATION ONLY <using 2015-16 rates>**

			Tuition	Notes
1	Program XYZ		\$30,000	
2*	Base Tuition Fee		\$10,441	
3	Tuition Sharing on Base Amount	50.0%	\$5,221	= row 2 * 50%
4*	Breakpoint Tuition Fee		\$18,412	
5	Tuition Sharing on Breakpoint - Base	65.0%	\$5,181	= (row 4 - row 2) * 65%
6	Tuition Sharing on Actual - Breakpoint	85.0%	\$9,850	= (row 1 - row 4) * 85%
<b>7</b>	<b>Total Tuition Sharing</b>		<b>\$20,252</b>	= row 3 + row 5 + row 6
8	Grant (if any)		\$13,076	
<b>9</b>	<b>Total Grant Sharing</b>		<b>\$6,538</b>	= row 8 * 50%
<b>10</b>	<b>Total Revenue Sharing</b>		<b>\$26,790</b>	= row 7 + row 9

- The same arrangement (excluding grants) will be implemented for international tuition – with the tuition breakpoint set at \$35,393. The regular category 2 tuition fee is \$25,813.
- The tuition fees noted above are effective for the 2015-16 year. The same arrangement will be in effect beyond 2015-16, but the domestic and international breakpoints will be incremented annually based on actual tuition increases in future years.
- All other aspects of these programs remain per the documentation noted above.

**Graduate diploma programs will have an adjusted structure for sharing tuition revenue. Specifically, the tuition breakpoint shown in rows 2 and 4 (see table above) will be reduced to 70% of the rates shown - - thus, row 2\* = \$7,309 and row 4\* = \$12,888.**

**Appendix D**  
**Example Template of a Faculty's Graduate Student Support Model**  
**Tabular Documentation of Allocation Plan by Category of Student**

**Arts and Humanities**

	Category	GTA pay Fall 2015 and Winter 2016 terms based on 10 hours per week and including 4% vacation pay	WGRS - total for 3 terms; programs allocate per term	TOTAL Arts Funding: GTA + WGRS	External Scholarship Annual Value	Total with External Scholarship	Estimated annual tuition based on 3% increase for domestic students; 4% increase for International students	Balance after Tuition Payment and before deductions	GTA Payment Fall 2015 & Winter 2016 \$358.25/month and including 4% vac pay (based on 2014-15 levels)	Total Funding: Arts Package + External Scholarship + GTA Payment	Balance after Tuition Payment and before deductions
1	MA Domestic										
2	MA International										
3	MA Domestic OGS										
4	MA Domestic CGS										
5	PhD Domestic										
6	PhD Domestic HP										
7	PhD International										
8	PhD International OGS										
9	PhD Domestic OGS										
10	PhD Domestic OGS/HP										
11	PhD Domestic SSHRC DF										
12	PhD Domestic SSHRC DF <b>NEW AWARD</b>										
13	PhD Domestic SSHRC DF/HP										
14	PhD Domestic SSHRC DF/HP <b>NEW AWARD</b>										
15	PhD Domestic CGS										
16	PhD Domestic CGS/HP										
17	PhD International Trillium										
18	PhD International Vanier CGS										
19	PhD International Vanier CGS <b>NEW AWARD</b>										
20	PhD Domestic Vanier CGS										

WGRS MA Domestic: no increase WGRS MA Int: \$200 increase WGRS PhD Domestic: \$100 increase WGRS PhD Int: \$375 increase
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## Appendix F

### Annual Financial Support Package

**2015-2016**

The Graduate Program in xxx has designed an annual financial package for you. The following information and regulations should be noted:

1. This annual financial package comes from a variety of sources, and will differ from student to student.
2. Should you decline any component of your financial package (e.g., should you decline a Graduate Teaching Assistantship), your financial package will be adjusted accordingly. Any component that you decline will not be compensated with alternative funding.
3. If you hold or are awarded an external scholarship (e.g., OGS, QEIGSST, OTS, SSHRC, NSERC, CIHR), your funding may be adjusted and the Graduate Chair will inform you of the program's policies.
4. If your residency status changes at some point during your program of study, your funding package may be adjusted.
5. To be eligible for the full financial package, you must:
  - (a) be a full-time student,
  - (b) be within the funding period as stipulated in SGPS Calendar ([grad.uwo.ca](http://grad.uwo.ca)). Doctoral students must apply for Tri-Council (NSERC, SSHRC, CIHR) and Ontario government awards (OGS/QEII) for which they are eligible.
  - (c) continue to meet program conditions for progression.

Your financial support package for 2015-2016 will include the following funding components:

	Fall 2015	Winter 2016	Summer 2016
Graduate Teaching Assistantship (without the GTA Collective Agreement additional amount)	\$ -	\$ -	\$ -
Faculty Scholarship (Name of award)	\$ -	\$ -	\$ -
Research Income (GRA, RA)	\$ -	\$ -	\$ -
WGRS	\$ -	\$ -	\$ -
External Scholarship	\$ -	\$ -	\$ -
...	\$ -	\$ -	\$ -
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
Total Annual 2015-2016 Financial Support Package (without the GTA Collective Agreement additional amount)			\$ -

If your financial support package, described above, includes an appointment as a Graduate Teaching Assistantship (GTA) in 2015-2016, it is anticipated that you will receive the GTA Collective Agreement additional amount, which was \$1,433 in each term in 2014-2015 in which a graduate student held a 10 hour per week, or 140 hours per term appointment. This additional amount is paid in four (4) monthly instalments of \$358.25 while employed student is employed as a GTA. If you hold a Graduate Teaching Assistantship appointment for less than 10 hours per week (or less than 140 per term), this amount will be prorated over the period of your employment as outlined in the Collective Agreement between the University and the Public Service Alliance of Canada. However, please note that this GTA Collective Agreement additional amount is subject to negotiations between the University and PSAC for 2015-2016 and beyond.

Total Western Income: (including GTA Collective Agreement additional amount)	\$ -
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\_\_\_\_\_  
Graduate Chair Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Student Signature (I have read and understand the above)

\_\_\_\_\_  
Date

**\*\*Please return signed letter to your graduate program office by xxxx, 2015\*\***

*Western University*  
**The Working Group on Information Security (WGIS)**  
**2015 Annual Report**

WGIS is a multi-disciplinary team representing a broad cross-section of the University community. Information assets are critical to Western's operational success as a University. The primary objective of the WGIS group is to pursue proactive strategies to manage security risks to our information and the information systems that safeguard it.

WGIS provided oversight over a number of information security related initiatives including observance of Cyber-Awareness month in October, implementing improvements to the IT asset disposal process on Campus, and the development of a of a Cloud / Third-party Software Risk Assessment process. ITS also successfully implemented a new Security Incident Event Management (SIEM) tool which decreases Western's response time to critical cyber-incidents and increases Western's Cyber-Awareness about the environment.

In 2016, the Committee will continue to focus on restructuring Western's IT security policy and procedure framework, in addition to systematically reviewing cyber security risks within the Campus environment.

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## Summary of Activities

### 1. Risk Assessment

WGIS uses a risk assessment to identify the greatest threats to Western's information security environment and to identify activities that can reduce the threat. These activities are assigned to one of its standing sub-committees, or a group tasked with a specific project, or worked on directly by ITS. In 2014, WGIS identified Western's top information threats as:

- Leaks, losses or breaches of sensitive information from information systems that are not directly controlled by Western (i.e. cloud services), and mobile computing devices such as tablets or smart phones.
- Data leak or disclosure of sensitive information from information systems that are tagged for disposal or destruction due to a lack of formal destruction procedures and services.
- Unauthorized access or disclosure of sensitive information where the intended use is not clearly articulated in a data sharing agreement with other research partners or between departments, faculties, and research units.

Interviews that were held with departments in 2014 confirmed these threats and also identified that poor awareness of the Data Classification Standards and its application to protect information was another critical threat.

Therefore, in 2015, WGIS addressed a number of these information threats through activities that are described in this report, continued to discuss information security risks with departments, and monitored upcoming trends.

This year, the interviews confirmed that the implementation of information risk management processes and adoption of the Data Classification standards continues to be inconsistent across campus in 2015. In some cases, departments are not aware of where their sensitive information is located, nor are individuals aware of their responsibilities to protect the information. However, there does appear to be a desire from individual, including researchers, for increased assistance with and implementation support for these new Data Classification standards.

To address the risks identified through the assessment, WGIS worked on a number of projects including the development of a Risk Assessment that is to be used when evaluating a 'cloud' or third-party software solution, and secure process for the disposal of computer hard drives.

## Cloud Service Risk Assessment

There is an increasing interest and adoption of “cloud” or other third-party software systems across campus. This introduces new risks to Western’s information environment. Individuals accountable and responsible for the implementation of these systems often do not have a sufficient understanding of the information security implications of utilizing these services.

In response to this, a task group with expertise in IT, legal, privacy, procurement, audit, and also including the user community was formed to develop a framework that can be used to evaluate the risks of third-party software systems.

The Cloud Service Risk Assessment Framework is published [here](#). The framework functions as a due-diligence process and is intended to be interactive where the information flow is based on user responses to a series of key questions that probe financial, legal, data, and other technical aspects of a particular solution under evaluation. Contact information for expert resources and other information supports are also provided to assist with the evaluation and implementation.

Initial feedback from the community on this tool has been positive and it has been successfully applied to a few large and small Campus IT projects. However, its adoption has not been universal and requires greater awareness. In 2016, WGIS plans to *assess the Framework to identify further enhancements and develop strategies to increase the awareness of the tool.*

## 2. Policies, Procedures, and Best Practices

### Data Classification Standards

Western’s Data Classification Standards have been approved and published [here](#)

As was identified in the Risk Assessment, despite the approval and publication of the Standards, awareness of the Standards and its application to protect information is not well known across campus.

Annually efforts continue to broaden and deepen awareness of these Data Classification standards across the campus community through activities that are targeted at either individual departments or through specific events. For example, the Standards are discussed as part of the Risk Assessment process. ITS leverages opportunities to promote the Standards when advising departments on IT solutions and strategies, and the Standards are promoted as part of the Cyber Security Awareness Month.

In order to increase awareness across campus at a faster rate, a concerted effort is required to promote the existence and importance of these Standards and information management best practices and principles. The full adoption of these standards will require a fundamental shift towards an *information* oriented approach to security rather than the *technology device* based approach that has historically been used.

### **Controlled Goods Program**

The Canadian Government's *Controlled Goods Program* strengthens Canada's defense trade controls by establishing Information Security through Controlled Goods Regulations, effectively extending the Government's own information classification and security policy to include its partners in securing the very sensitive information to which those partners have access. The policy does this by establishing minimum standards of Physical Security (PHYSSEC), Human Security (HUMSEC), Information Security (INFOSEC), and Operational Security (OPSEC) etc. There are several instances of highly sensitive research or enterprise at Western that is currently bound or covered by this legislation.

Western continues to receive highly sensitive information from the Government of Canada or foreign governments and is required to protect this data, some of which is classified SECRET or PROTECTED by specific Federal legislation.

As part of an internal succession planning effort, Procurement Services, Campus Police Services, Research Development Services, and ITS have reviewed roles and responsibilities for Western's Designated Officials for Controlled Goods handling. Plans to implement changes to these roles have been delayed to 2016 to align more effectively with the planned retirement of the current Designated Officer.

### **Improved Secure IT Asset Disposal**

The secure disposal of computer hard drives was previously identified through the Risk Assessment as an area of concern.

In order to address this concern, ITS and Facilities Management have collaborated successfully to revamp and streamline the disposal of electronic waste on campus to incorporate a balance of security and environmentally responsible best practices. These best practices have been documented both on Western's Information Security and Environmental Sustainability sites [here](#) for greater visibility from either perspective. These procedures provide specific guidance to the community in terms of what to do with electronic waste materials with particular standards of care for secure disposal of hard drives and other mobile devices including cell phones. As an extension to the existing "Blue Box" recycling process on Campus, a subset of five (5) locations have been further identified as "Secure Media Disposal" locations. Special secure receptacles have been provisioned at each of these drop off locations for hard drives and other potentially information sensitive IT equipment. The equipment in these locations is then routed first to ITS where it is examined and "wiped" (degaussed) before

subsequently being routed to Facilities Management along with all other eWaste materials for environmentally appropriate disposal.

### Security Policy Review

A working group including representatives from ITS, WGIS, Internal Audit, the University Secretariat, and Western Legal Counsel have now created an initial redraft of the current Security policy framework in alignment with MAPP 1.51 (Policy on University Policies). The scope of this work includes the following MAPP Policies; 1.13 (Code of Conduct), 1.20 (Computing Resources Security), 1.21 (Wireless Networking), and 1.45 (Email). The results of this work will need to be taken through the University’s governance and approval process. The working group expects to have the revised draft of the policy prepared for this process early in 2016.

## 3. Cyber Protection

### Information Security Awareness – CyberSmart

As identified in the Risk Assessment, increasing the level of general awareness around information security continues to be a high priority focus area for Western. As part of the Annual Security Awareness plan previously developed by the CyberSmart Sub-Committee, Western participated this year for the first time in International Cyber Security Awareness month (October). ITS, with support from WGIS and Communications & Public Affairs organized a series of media events including poster campaigns, social media blasts, as well as, Western Home Page articles that were profiled across Campus during the first week of October. The ITS Security Team also setup information booths in the UCC and in student residences where students were provided with Cyber Security information kits and had an opportunity to discuss and ask specific questions about Cyber Security best practices. Enclosed are samples of the media exhibits used in the campaign.

Figure 1:



ITS will also be using some of these materials in a Cyber Security session at the Annual Staff Conference in February 2016.

The objective of these activities is to sustain a high level of awareness of Cyber Security across Western's community in order to positively influence cyber behavior and to protect Western's cyber reputation. This plan continues to evolve and will incorporate additional Department and Faculty specific Cyber-Awareness efforts where appropriate.

### **Security Incident Event Management Tool (SIEM)**

A SIEM is a tool that combines real-time analysis of security alerts generated by network hardware and applications with security event management. Western's procurement of a SIEM resulted in a project to construct and deploy this tool in the environment. This tool has introduced a tremendous capability to track and manage security and event information, constrained only by the amount of log information fed into the SIEM and disk space.

The tool has been used to improve our understanding of phishing attacks (see next section) and to identify members of Western's community who have fallen victim to spam/phishing. It also provides greater insight into the environment through the development of various security related statistics such as:

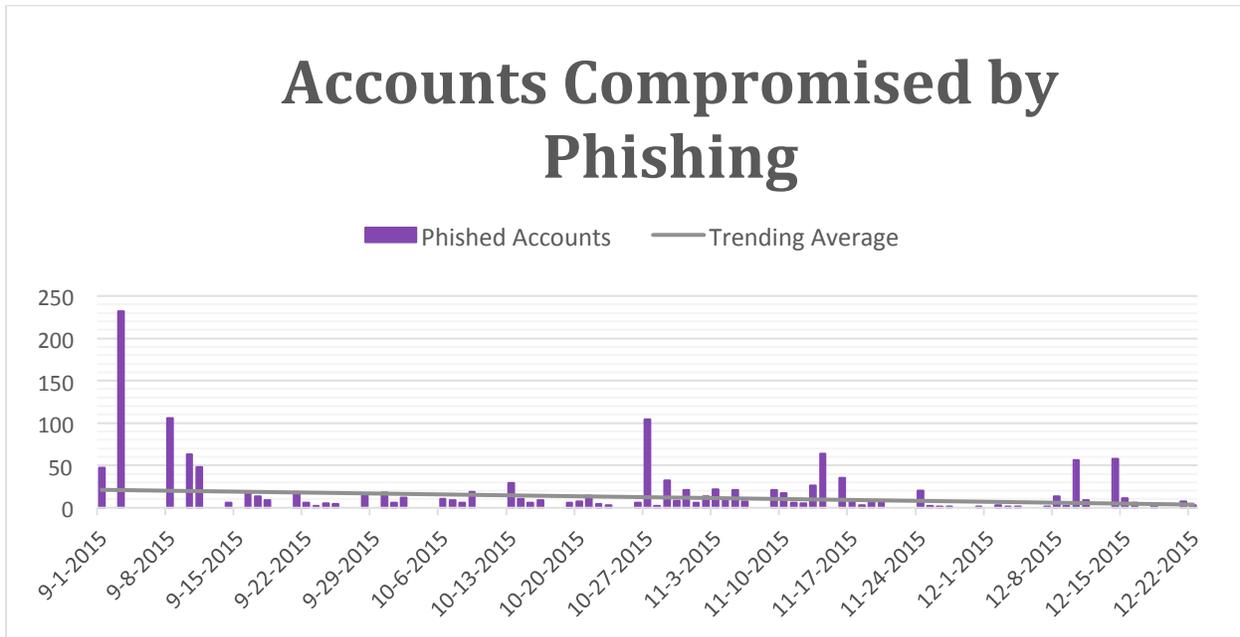
Average Number of Phishing Victims / day – **12.5**

Average Number of Machines Locked (for security reasons) / month – **37.5**

### **Ongoing "Phishing" Attack Mitigation Efforts**

Leveraging the Security Incident Event Management (SIEM) tool has allowed Western to obtain better visibility into the origin of Phishing attacks, their duration and intensity, as well as, to more effectively identify Phishing victims. This increased visibility combined with improved procedures for locking phished accounts and sustained education awareness activities have resulted in a general downward trend in the number of accounts being phished in our environment. Nevertheless, it is expected that Phishing attacks will continue to evolve in response to new opportunities and that ongoing diligence and attention to this threat will need to continue to be a high priority focus for Western.

### **Figure 2: Phishing Activity Summary**



WGIS discussed and re-assessed the risk of leaving Western's Public Directory (<http://www.uwo.ca/directory.html>) public given the tendency of spammers to harvest victim email addresses in an automated way. As ITS had previously taken steps to obfuscate email addresses in the Directory the ongoing risk to Faculty & Staff is low. However, the question was raised whether having students included in the directory provided sufficient benefit to continue the practice of leaving their addresses publically available? WGIS concluded that the inclusion of students in the public directory was not appropriate or necessary. Consequently, ITS is in the process of defining and prioritizing a project which will require an authentication (i.e. User Id / Password) of Western credentials before someone can look-up and access student email credentials from the directory. This step will not only protect the email identities of our students, but will also, further restrict spammers from being able to access email addresses for Phishing purposes.

### Email and SPAM Management

Email (via phishing) continues to be one of the most prominent attack vectors against our credentials. As stated in the SIEM section, the tool detects an average of 12.5 accounts per day as being compromised. (The SIEM can electronically detect compromised accounts before a user is aware that their account has been compromised).

Western also uses SPAM management to to detect and block approximately 60% of incoming messages as spam. This equates to over 700,000 messages per month. SPAM minimizes the phishing threat because it prevents emails from being delivered to an inbox where it has the potential to be acted upon.

Unauthorized access to individual's credentials allows perpetrators to gain access to Western's resources like the Libraries' on-line journals, provides a venue to conduct fraud through the Human Resources system, etc. Due to these consequences, it remains critical to address this risk through technical and non-technical (i.e. CyberSmart campaign) mechanisms.

## **Service Protection**

Service protection continues to improve overall network security through more effective use of its network firewalls. All threats and vulnerabilities identified as 'high' or 'critical' continue to be blocked outright. This has reduced the number of Western machines reported to be involved in network based security attacks.

This reporting period concentrated on identifying all database deployments on campus, and distinguishing which of those databases needed to be globally accessible from outside of Western's network from those that required local network access only. With the exception of two where such access was required, direct external access to Western databases has now been eliminated entirely.

## **Financial Information Protection: Payment Card Industry (PCI) Compliance**

Several WGIS members are actively involved with PCI compliance through the Western Bank Card Committee. As a result, WGIS remains informed of new developments and security practices in the payment card industry. In 2010, Western achieved Level 1 compliance under version 1.2 of the Payment Card Industry Data Security Standards (PCI DSS). Emerging payment technologies, new e-commerce solutions on campus and a changing payment card security standard require that Western's payment card environment be reviewed regularly to determine the implications to Western's PCI status. This year, we completed migrating networked payment card devices into separate logical networks to better protect and inventory them. The Bank Card Committee is currently pursuing compliance under the latest standard, PCI DSS version 3.1. Western will issue an RFP in the first quarter of 2016 to select a Payment Application Qualified Security Assessor (PA-QSA) and will complete its second audit by the end of 2016.

## **4. Incident Response & Investigations**

While Western experienced a reduction in the overall number of security incidents it managed in 2015, there appears to be an increasing shift towards exploitation of user credentials and information systems for purposes of financial fraud and other matters of academic misconduct. As a result of this trend, Western needs to continue to focus on increasing cyber security awareness across its community, making the community

aware of the increasing relentless nature of these attacks and the means by which our members can protect their credentials as well as Western's systems.

## 5. 2016 Plans

In 2016, WGIS will focus on achieving 4 key objectives;

1. The CyberSmart Sub-Committee of WGIS will be revitalized. The CyberSmart committee, which includes staff and faculty members, will develop a plan to enhance IT security awareness across campus, beginning with orientation week. This will be followed by Cyber awareness week in October and finally the course registration period in January 2017. Through this work the committee will canvas the university community to identify issues that are locally relevant and propose action plans to WGIS to address the opportunities for improved Cyber Security education and awareness across Campus.
2. Risk assessment will also be a priority for WGIS in 2016. With a refined goal of completing risk assessments in all Faculties and business units over a 4 year period, a schedule of meetings will be assembled to identify local issues, risks and opportunities for improvement. ITS will lead this initiative but WGIS Committee members will also participate in the risk assessment reviews on a rotating basis. The hope is through this risk assessment process committee members will be able to link their observations and findings in the risk assessment process back to their own unit situations. The results of these risk assessments will also be warehoused in a central cyber security risk management repository.
3. In 2016-17 the WGIS Committee will also support the completion of a campus wide IT Policy currently being re-drafted. WGIS Committee members will be invited to make comments on the draft document, reflecting their own perspectives as well as other Faculty or business perspectives.
4. Finally WGIS will reflect on its mandate in 2016. WGIS provides critical advice and perspective to ITS on issues of information security at Western University. Since the formation of WGIS, risks associated with information security have evolved dramatically. New threats to Western's ability to protect sensitive information seem to occur daily. These new threats, combined with Western's distributed operations, make information security a particularly challenging goal. For these reasons, it is timely and relevant to reconsider the structure and effectiveness of the committee discussions and to look for additional value added improvement opportunities.

## Appendix A – List of Current WGIS Members as of End of 2015

Glen Tigert (University Registrar)

James Ciesla (TUMS – Libraries)

Colin Couchman (TUMS – Education)

Chris Wedlake (TUMS – Robarts Research Institute)

Jeff Gardiner (ITS, Central Information Security Officer)

Ed Gibson (ITS, Technical Advisor)

Ed Zuidema (ITS, WGIS Scribe)

Dave Ghantous (ITS Designate, Associate Director Technical Services)

John Carson (Director, CCPS)

Julie Whitehead (Faculty of Health Science, eLearning Specialist)

Dr. Aleks Essex (Faculty, Engineering)

Lisa Latif (Registrar's Designate)

Peggy Wakabayashi (Housing Designate, Director of Residences)

Rob Brennan (Western Information Systems Group Designate, Director of WISG)

Scott May (Communications & Public Affairs, Advisor)

Mina Mekhail (Research Development Services)

Geoff Pimlatt (Ex-Officio, USC Communications Officer)

Sharon Farnell (Ex-Officio, Director of Internal Audit)

Paul Eluchok (Ex-Officio, Legal Counsel, Privacy Officer)

Jeff Grieve (Ex-Officio, Executive Director, ITS)

**Report to Senate of the Academic Colleague, Council of Ontario Universities  
Erika Chamberlain, March 2016**

The Academic Colleagues met on 18-19 February 2016. The following items were discussed.

Funding Formula Review: the COU is in ongoing discussions with the provincial government on the funding formula review. Given the current stage of discussions, it is unlikely that there will be any major changes for the 2016-17 academic year.

Francophone University: Bill 104: An Act to create the Université de L'Ontario Français (introduced by NDP MPP France Gélinas) has been referred to the Standing Committee on Social Affairs. While the COU supports the development of university programming for Francophones, it believes that these needs can be (and have been) addressed by existing universities. There is concern that the creation of a new, full-service university is not an effective use of limited resources.

Credential Review: in January, the MTCU announced that it will undertake a public policy examination of the colleges' request for authorization to offer stand-alone nursing degrees. This may signal a re-opening of the June 2015 decision to confirm the collaborative delivery of nursing degrees. The COU will be escalating its advocacy efforts on this file.

Sexual Violence: the COU reference group has provided feedback on Ontario's Bill 132; it is anticipated that the legislation will be passed on International Women's Day (March 8). The COU's advocacy focuses on universities' full commitment to providing services, supports, response protocols and policy that are responsive to survivors' needs and are in line with research and best practices. Once the legislation is passed, universities will have six months to bring their policies into compliance.

Faculty at Work: the COU is planning the next "Faculty at Work" project, which will be expanded to include contract faculty.

Learning Outcomes: the next symposium on learning outcomes has been scheduled for 17-18 October 2016. The theme this year is "Learning Outcomes: Evolution of Assessment."

Experiential Learning: the Colleagues continued our discussion of experiential learning at Ontario universities, and heard from two guest speakers: one from IBM (to provide perspective from industry), and one from the University of Toronto's Centre for Community Partnerships (to provide perspective from the non-profit sector). We heard best practices for developing and sustaining community partnerships and communicating effectively with external organizations.

Provincial Ombudsman: as of January, the Ontario Ombudsman now has authority over complaints relating to universities. In the Ombudsman's January 29 newsletter, it was reported that 37 complaints relating to universities had been received since January 1.

FOR INFORMATION

**REPORT OF THE SUBCOMMITTEE ON TEACHING AWARDS**

**Excellence in Teaching Award Winners for 2015-2016**

The Subcommittee on Teaching Awards (SUTA) has chosen the following members of faculty as recipients of Western's Excellence in Teaching Awards:

**The Edward G. Pleva Award for Excellence in Teaching**

Ann Bigelow, Faculty of Social Science, Department of Management and Organizational Studies

George Gadanidis, Faculty of Education

Wendy Pearson, Faculty of Arts and Humanities, Department of Women's Studies and Feminist Research

**The Marilyn Robinson Award for Excellence in Teaching**

Shauna Burke, Faculty of Health Sciences, School of Health Studies

**The Angela Armitt Award for Excellence in Teaching by Part-Time Faculty**

Jane Edwards, Faculty of Education

Heather Gillis, Faculty of Health Sciences, School of Physical Therapy

**Western Award for Innovations in Technology-Enhanced Teaching**

Barbara Sinclair, Faculty of Health Sciences, School of Nursing

**REPORT OF THE HONORARY DEGREES COMMITTEE**

**FOR INFORMATION**

**Honorary Degree Recipients – Spring Convocations – 2016**

The Honorary Degrees Committee of the Senate announces conferment of honorary degrees as detailed in [Appendix 1](#).

<b>2016</b>	<b>10:00 am Ceremony</b>	<b>3:00 pm Ceremony</b>
<b>Tuesday, June 14</b>	School of Graduate & Postdoctoral Studies * Faculty of Social Science (BA Honors, BSc Honors programs, Diplomas and Certificates)  <b>JANICE STEIN - LLD</b>	School of Graduate & Postdoctoral Studies * King's University College  <b>DON MCDOUGALL - LLD</b>
<b>Wednesday, June 15</b>	Faculty of Social Science (BMOS, Diploma in Accounting)  <b>KEVIN LYNCH - LLD</b>	Faculty of Science (3yr and 4yr, excluding Honors) Faculty of Social Science (3yr and 4 yr, excluding Honors and BMOS)  <b>MARY THOMPSON - LLD</b>
<b>Thursday, June 16</b>	School of Graduate & Postdoctoral Studies * Schulich School of Medicine & Dentistry and Faculty of Science (BMSc Honors and 4yr)  <b>STEPHANIE ATKINSON – DSc</b>	School of Graduate & Postdoctoral Studies * Faculty of Science (Honors)  <b>STEPHEN BURLEY - DSc</b>
<b>Friday, June 17</b>	<b>NO CEREMONY</b>	School of Graduate & Postdoctoral Studies * Faculty of Engineering Schulich School of Medicine & Dentistry (Dentistry)  <b>KERRY ROWE – DSc</b>
<b>Monday, June 20</b>	School of Graduate & Postdoctoral Studies * Faculty of Arts and Humanities Don Wright Faculty of Music  <b>LOUISE BESSETTE - DMUS</b>	School of Graduate & Postdoctoral Studies * Brescia University College Faculty of Health Sciences (Honors, 3yr and 4yr, Dips. & Certs.)  <b>NAZANIN AFSHIN-JAM MACKAY - LLD</b>
<b>Tuesday, June 21</b>	School of Graduate & Postdoctoral Studies * Richard Ivey School of Business  <b>CAROL STEPHENSON - LLD</b>	School of Graduate & Postdoctoral Studies * Huron University College Faculty of Health Sciences – Kinesiology  <b>DAVID HOWMAN - LLD</b>
<b>Wednesday, June 22</b>	School of Graduate & Postdoctoral Studies * Faculty of Education FIMS  <b>CINDY BLACKSTOCK - LLD</b>	School of Graduate & Postdoctoral Studies * Faculty of Health Sciences (Nursing) Faculty of Law  <b>GERALD FRIDMAN - DCL</b>

\*students in graduate programs hosted by the Faculties on the particular day

Schulich School of Medicine & Dentistry – Friday, May 13 – **HAROLD MERSKEY – DSc**  
Hong Kong Convocation – May 29 – **YUE-MAN YEUNG - LLD**  
Richard Ivey School of Business – Friday, June 10 – **JON LOVE - LLD**