

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 confidential session agendas

BOARD OF GOVERNORS MEETING – OPEN SESSION

Date: Thursday, June 17, 2021
Time: 1:00 p.m.
Place: Zoom

- | | | | |
|-----|---|--|-------------|
| 1.0 | Land Acknowledgement | | |
| 2.0 | Approval of Agenda & Minutes | | Approval |
| 2.1 | Adoption of Agenda – Open Session | | Approval |
| 2.2 | Approval of the Open Session Minutes of the Meeting of April 22, 2021 | | Approval |
| 2.3 | Business Arising from the Minutes | | Information |
| 3.0 | Report of the President (A. Shepard) | | Information |

AGENDA

- | | | | |
|--------|---|--|-------------|
| 4.0 | Committee and Senate Reports | | |
| 4.1 | Report of the Property & Finance Committee | | No Report |
| 4.2 | Report of the Audit Committee | | No Report |
| 4.3 | Report of the Senior Policy & Operations Committee | | |
| 4.4 | Report of the Governance and By-Laws Committee | | No Report |
| 4.5 | Report of the Fund Raising and Donor Relations Committee | | No Report |
| 4.6 | Report of the McIntosh Gallery Committee | | No Report |
| 4.7 | Reports Referred from Senate | | |
| 4.7(a) | Draft University Strategic Plan, Towards Western at 150 | | Approval |
| 4.7(b) | Status of the Rotman Institute of Philosophy | | Approval |
| 4.7(c) | Update on Western Research Parks | | Information |

5.0	Consent Agenda	Approval
5.1	Items from the Property & Finance Committee	
	5.1(a) New Scholarships, Awards, and Prizes	Information
	5.1(b) Report of the Investment Committee	Information
	5.1(c) Semi-Annual Ratio Report on Non-endowed Funds	Information
	5.1(d) 2020-21 Operating Budget Update as at April 30, 2021	Information
	5.1(e) 2020-21 Ancillary Financial Report as at April 30, 2021	Information
5.2	Items from the Audit Committee	No Report
5.3	Items from the Senior Policy & Operations Committee	
	5.3(a) University Discipline Appeals Committee (UDAC) – Membership	Action
	5.3(b) Schedule of Board and Committee Meetings	Information
	5.3(c) Annual Report of the Code of Student Conduct	Information
	5.3(d) Annual Report on Gender Based and Sexual Violence	Information
5.4	Items from Governance & By-Laws Committee	No Report
5.5	Items from the Fund Raising and Donor Relations Committee	No Report
5.6	Items from the McIntosh Gallery Committee	
	5.6(a) Acquisition of Drawings by Myfanwy MacLeod	Information
5.7	Board Approvals (E-Approval/Time Sensitive)	No Report
5.8	Items Referred by Senate	
	5.8(a) Revisions to MAPP 7.14 – Policy and Procedures for Ethical Review of Research Involving Human Participants	Approval
	5.8(b) Academic Administrative Appointments (May)	Information
	5.8(c) Report of the COU Academic Colleague (June)	Information
	5.8(d) Renewal of the Articulation Agreement for the Admission of Graduates of the Nutrition and Food Service Management Diploma Program at Centennial College into the Bachelor of Science (Foods and Nutrition) Program at Brescia University College	Approval
	5.8(e) Renewal of the Articulation Agreement for the Admission of Graduates of the Food Nutrition Management Program at Fanshawe College into the Bachelor of Science (Foods and Nutrition) Program at Brescia University College	Approval

6.0 Items removed from the Consent Agenda

7.0 Questions from Members

8.0 Other Business

9.0 Adjournment to Confidential Session

ITEM 1.0 - Land Acknowledgement

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

A land acknowledgment will be offered.

EXECUTIVE SUMMARY:

Western Communications provides an excellent resource with respect to Land Acknowledgments at Western:

<https://communications.uwo.ca/comms/land-acknowledgement/>

The following paragraphs are drawn from the site:

At Western, our Land Acknowledgement strives to rise above mere words and instead seeks to inspire action and commitment towards recognizing and furthering our relationships with Indigenous communities.

The Land Acknowledgement pays respect to the Original Peoples of the territory upon which the university is physically located, as well as recognizes the ongoing presence of Indigenous Peoples in educational settings. It is one way we declare the university's commitment to building on its relationships with and responsibilities to Indigenous communities.

ITEM 2.1 - Adoption of Agenda – Open Session

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

Recommended: That the Agenda for the Open Session be approved as circulated.

ITEM 2.2 - Approval of Minutes

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

Recommended: That the open session minutes of the meeting held April 22, 2021 be approved as circulated.

ATTACHMENTS:

2.2 [Open Session Minutes of the Meeting of April 22, 2021](#)



MINUTES OF THE MEETING OF THE BOARD OF GOVERNORS

APRIL 22, 2021

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

PRESENT: R. Konrad, Chair
A. Bryson, Secretary

M. Banik	G. Pollock
S. Bennett	C. Rorabeck
W. Boye	B. Ross
G. Dick	A. Shepard
K. Gibbons	S. Shortreed
D. Keddy	D. Simmonds
J. Kum	C. Stephenson
M. Lerner	M. Surkont
S. Neiman	J. Toswell
G. Parraga	S. Trosow
S. Pitel	H. Usher

By Invitation: A. Blackburn-Evans, C. Bressette, R. Chelladurai, L. Logan, E. Mallory, M. McGlynn, J. O'Brien, J. O'Hagan, S. Prichard, B. Shea, T. Rice, L. Rigg [Lesley]

Secretariat Resource: M. O'Connor, C. Price, L. Rigg [Lisa]

Regrets: C. Burghardt-Jesson, L. Hasenfratz, E. Holder, P. Thomlinson

Welcome and Chair's Remarks

R. Konrad welcomed new Board member M. Banik and acknowledged Earth Day, commending the University's commitment to sustainable solutions through various initiatives and the strategic plan.

Land Acknowledgement

D. Simmonds offered a Land Acknowledgement.

Adoption of Agenda – Open Session

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

That the agenda for the Open Session be approved as circulated.

CARRIED

BG.21-48 **REPORT OF THE PRESIDENT**

The Report of the President, distributed with the agenda, consisted of the following topics:

- The President acknowledged the completion of the winter term, reporting that the University transitioned to online learning in the last few weeks of the terms to mitigate outbreaks occurring in residence. He stated that students were encouraged to return home if possible
- He stated that in-person camps have been cancelled for children for the summer but virtual camps will proceed
- The President stated that the University intends to return to in-person learning in the Fall 2021 academic year but will confirm once further details regarding the vaccination roll-out are provided citing the health and safety of the London Community as of primary importance

The President concluded his report by acknowledging the federal budget that was recently announced, commending the government on the funding and financial support outlined for post-secondary students.

BG.21-49 **UNANIMOUS CONSENT AGENDA**

It was moved by C. Stephenson, seconded by D. Keddy,

That the items listed in the Unanimous Consent Agenda be approved or received for information.

CARRIED

BG.21-50 **Minutes of the Previous Meeting**

The open session minutes of the meeting of January 21, 2021 were approved as circulated.

BG.21-51 **Business Arising from the Minutes**

There were no items noted as business arising from the January 21, 2021 minutes.

BG.21-52 **New Scholarships, Awards, and Prizes**

The new scholarships, awards, and prizes approved by the Property and Finance Committee, on behalf of the Board of Governors, were provided for information in Item 4.2(a).

BG.21-53 **S&P Global Credit Rating Report**

The S&P Global Credit Rating Report was provided for information in Item 4.2(b).

BG.21-54 **Annual Report and Recommendations of the Student Services Committee**

The Annual Report and Recommendations of the Students Services Committee was provided for information in Item 4.2(c).

BG.21-55 **Senior Appointment – Appointment of the Vice-President (University Advancement) Board E-Approval as of February 11, 2021**

The confirmed appointment of J. O’Hagan as Vice-President (University Advancement) effective April 1, 2021 as approved by the Board of Governors was reported for information in Item 4.3(a).

BG.21-56 **Senior Appointment – Vice- Provost (Academic Planning, Policy and Faculty)**

The confirmed appointment of M. McGlynn as Vice-Provost (Academic Planning, Policy and Faculty) for a four-year term, effective March 15, 2021 until June 30, 2025 as approved by the Senior Policy and Operations Committee on behalf of the Board of Governors was reported for information in Item 4.3(b).

BG.21-57 **Senior Appointment – University Secretary Board E-Approval as of March 11, 2021**

The confirmed appointment of A. Bryson as University Secretary (University Secretariat) effective March 11, 2021 as approved by the Board of Governors was reported for information in Item 4.3(c).

BG.21-58 **Board Appointment – External Board Member Board E-Approval as of April 15, 2021**

The confirmed appointment of M. Banik to fill the Board vacancy effective immediately upon election until June 30, 2025 as approved by the Board of Governors was reported for information in Item 4.3(d).

BG.21-59 **University Disciplinary Appeals Committee (UDAC) – Student Nominees**

The following were acclaimed to fill the vacancies for the undergraduate student positions on UDAC for the remainder of the term (to June 30, 2021).

Anthony Tan (Ivey/Arts & Humanities), Christopher Harasym (Ivey/Law), Nick Nestico (Affiliate)

BG.21-60 **Board Meeting Date – June 2021**

It was moved by C. Stephenson, seconded by D. Keddy,

That the Board of Governors approve that the Board meeting in June be moved from June 10, 2021 to June 17, 2021.

CARRIED (Unanimous Consent)

BG.21-61 **Fund Raising Activity Quarterly Report to January 31, 2021**

The Fund Raising Activity Quarterly Report to January 31, 2021 was provided to the Board for information in Item 4.55(a).

BG.21-62 **Closure of the Department of Applied Mathematics in the Faculty of Science**

It was moved by C. Stephenson, seconded by D. Keddy,

That the Board of Governors approve that the Department of Applied Mathematics (AM) be dissolved and its members welcomed into the departments of Mathematics and Physics & Astronomy (P&A) effective July 1, 2021

CARRIED (Unanimous Consent)

BG.21-63 **Revisions to MAPP 7.12 (Policy and Procedures for the Use of Animals in Research and Teaching) and Elimination of MAPP 7.10 (Institutional Animal User Training Program) and MAPP 7.15 (Post Approval Monitoring Program)**

It was moved by C. Stephenson, seconded by D. Keddy,

That the Board of Governors approve revisions to MAPP 7.12, Policy and Procedures for the Use of Animals in Research and Teaching and,

The elimination of MAPP 7.10 Institutional Animal User Training Program and 7.15 Post approval Monitoring (PAM) Program as Senate level policies, effective March 12, 2021.

CARRIED (Unanimous Consent)

BG.21-64 **2021-22 University Operating and Capital Budgets**

It was reported for information, that at the Senate meeting on April 16, 2021, Senate reviewed the 2021-22 University Operating and Capital Budgets and offered its advice to the Board of Governors through the President & Vice-Chancellor, recommending approval of those budgets as shown in Items 6.1(a-1) and 6.1(a-2).

BG.21-65 **Academic Administrative Appointments for January and February 2021**

The Academic administrative appointments for January and February 2021 were provided for information in Item 4.6(e).

BG.21-66 **Report of the COU Academic Colleague (January, March, and April 2021)**

The reports for January, March and April 2021 of the COU Academic Colleague were provided to the Board for information in item 4.6(f).

BG.21-67 **ITEMS REMOVED FROM CONSENT AGENDA**

No Items were removed from the Consent Agenda.

REPORT OF THE PROPERTY & FINANCE COMMITTEE

BG.21-68 **2021-22 University Operating and Capital Budgets**

S. Prichard, Provost & Vice-President (Academic) and R. Chelladurai presented the 2021-22 University Operating and Capital Budgets as shown in Item 6.1. A presentation was provided, attached as [Appendix 1](#). During the presentation, the following was highlighted:

- Future planning and priorities
- Priority themes
- Faculty and Staff Renewal
- Enhancing the Student Experience
- Support for Scholarships/Research Initiatives
- Investments in Curriculum Enhancement
- Preparing for the Next Strategic Plan
- Total Full-Time Enrolment
- Projected 2021-22 Operating Revenues
- Distribution of 2021-22 Base + One-Time Operating Expenditures
- Summary of the 2021-22 Operating Budget
- Overview of the 2021-22 Capital Budget including major projects and category 2 projects and total spending

A Board member noted the absence of safety on campus listed within the capital budget citing the bridge on campus going across the river and the intersection of Sarnia and Philip Aziz as areas where safety could be enhanced. L. Logan, Vice-President (Operations & Finance) reported that the University is starting a design phase for the bridge on campus having recognized the concern but reported that it was temporarily stalled due to discussions regarding rapid transit. She stated that an environmental assessment that was underway for Philip Aziz and Sarnia Rd was also stalled due to discussions regarding rapid transit and is now proceeding as planned. She stated that the University recognizes the need to improve safety at this intersection and will be reviewing recommendations made by the City of London once the environmental assessment

has been completed.

A Board member requested further clarification regarding the amount of funding allocated to research chairs through endowments. L. Logan reported that the payout for endowments is 4% of the last five-year market value. R. Chelladurai reported that presently \$48 million is available to support research chairs through endowments and noted that there is a graph on the IPB website under the performance indicators that provides information regarding the growth of the endowment fund.

A Board member noted the absence of a contingency amount listed within the current proposed budget that has been listed in previous budgets. S. Prichard reported that the University is planning a surplus of \$3.9 million this year that would be considered contingency funding.

A Board member requested further information regarding how the budget is being used to assist in supporting the long-range space plan, noting that the plan is a focal point when reviewing a space strategy on campus. L. Logan reported that on page 41 of the budget document, projects are listed in various planning stages including projects that are underway, projects that are soon to start, and projects for future consideration. She noted that this is a consistent document that is provided and has been updated over the last several years.

A Board member commented on the infrastructure restrictions due to the flood plain and inquired what options existed for the University to expand the campus to adjacent lands. S. Prichard acknowledged the space constraints on the core campus and reported that discussions have been ongoing regarding the expansion of the campus. A. Shepard reported that space planning is ongoing for the land residing within Western Research Parks as well as the downtown London core, and that the University is reviewing the development of a parking structure on one of the flood plains.

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

That the Board of Governors approve the 2021-22 University Operating and Capital Budgets, ITEM 6.1(a-1), and the proposed Program Specific Fees and Other Supplemental Fees for 2021-22, ITEM 6.1(a-2).

BG.21-68.1 **2021-22 Budgets for Student Fee Funded Units, Ancillaries, Academic Support Units and Associated Companies**

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

That the Board of Governors approve the 2021-22 budgets for Student Fee Funded Units, Ancillaries, and Academic Support Units, as shown in ITEM 6.1(a-3), Table 1,

And,

That the ancillary fees collected by the University will be as detailed in ITEM 6.1(a-3), Table 2 for full-time students and Table 3 for part-time students as supported by the Student Services Committee.

BG.21-69 **Vice-Provost’s Report of the Faculty Recruitment and Retention**

M. McGlynn, Vice-Provost (Academic Planning, Policy & Faculty) attended the Board of Governors open session to answer any questions regarding the Annual Report on Faculty Recruitment and Retention that was provided in Item 6.2(a).

BG.21-70 **Indigenous Strategic Plan Progress Report**

C. Bressette, Vice-Provost & Associate Vice-President (Indigenous Initiatives) attended the Board of Governors open session to answer questions regarding the Indigenous Strategic Plan Progress Report that was provided in Item 6.2(b).

BG.21-71 **Campus Community Police Service 2021 Annual Report**

B. Shea, Director (Campus Community Police Services) presented the Campus Community Police Service 2021 Annual Report for information as shown in Item 6.3(a).

A Board member requested further clarification regarding accessibility and card access on campus and the number of video cameras used by police services on campus. Regarding accessibility and card access, B. Shea reported in 2019 the University transitioned to a new card access security vendor which is currently being implemented in a phased approach. He stated that where card access is required by an accessible door, the card access is right beside the button to the door. B. Shea stated that in regard to camera use on campus, there are approximately 1,000 cameras used across campus and monitored by individuals who are authorized to view them in accordance with University policy. He reported that a working group annually reviews who has access to viewing the cameras.

A Board member asked for further information regarding equity, diversity, and inclusion in campus community police services. B. Shea stated that the Campus Police Services recognizes the need to diversify and reported that active recruiting and engagement continues to be a priority area for the police service.

A Board member inquired how long camera footage is stored on campus. B. Shea reported that camera footage is stored for 30 days on campus in accordance with University policy unless a specific request is made and warrants extending the storage for a longer period of time.

A Board member inquired whether the University is using facial recognition technology on campus. B. Shea reported that facial recognition is not in use on campus and not available in the video cameras on campus. L. Logan reported that if facial recognition technology was going to be considered, the discussion would come forward to the Board prior to implementation.

A Board member inquired whether the University campus police services use body cameras while on patrol. B. Shea reported that the campus police services are constables and not police officers with restricted authority by comparison and do not use body cameras.

A Board member inquired what mental health supports and de-escalation training are provided to campus police constables. B. Shea reported that the campus police services constables participate in the in-service police training program provided to the London Police Service which includes mental health supports and de-escalation training.

BG. 21-72 **Board Membership – Extension of the Term of R. Konrad**

K. Gibbons, Vice-Chair of the Board was acting chair during the discussion and approval of the extension of the term of R. Konrad.

It was moved by M. Lerner, seconded by H. Usher,

That the Board of Governors approve that the term of R. Konrad, who is serving as Board Chair, be extended to June 30, 2022.

CARRIED

BG.21-73 **QUESTIONS FROM MEMBERS**

BG.21-73.1 **S&P Global Credit Rating**

A Board member requested further information regarding the University's credit rating and status. L. Logan reported that the University has maintained an AA credit rating consistently since its initial rating and intends to continue maintaining the AA rating going forward.

A Board member commented on the Laurentian bankruptcy and asked for confirmation that a similar situation would not occur at Western University. A. Shepard confirmed that a similar situation would not occur at Western highlighting the existing partnerships between Western and its affiliates and the Institution's strong financial position.

BG.21-74 **OTHER BUSINESS**

No other business was noted.

ADJOURNMENT TO CONFIDENTIAL SESSION

The meeting adjourned to the confidential session at 1:50 p.m.

R. Konrad
Chair

A. Bryson
Acting University Secretary

Budget 2021-22

Board of Governors
April 22, 2021

Context / Background

- Navigated through the Global Pandemic
- Health and Safety of our Community was the Highest Priority
- We adapted our Academic Activities and Operations (to a hybrid mode) successfully
- Total Enrolment exceeded Forecast – at over 35,000 FTEs (highest ever)
- Our fiscal situation remains strong;
 - “Net Position” is in line with the Original Budget

Looking Forward

- Navigating through the (hopefully) final stages of the Pandemic
- New Strategic Plan Development underway
- The 2021-22 Budget proposes investments in priority initiatives – in anticipation of the Strategic Plan
- Recently-completed Planning Process identified six themes as high priorities

Priority Themes

1. Faculty and Staff Renewal
2. Enhancing the Student Experience
3. Support for Scholarship/Research Initiatives
4. Investments in Curriculum Enhancement
5. Ensuring a Safe and Sustainable Campus
Physical Infrastructure that Supports our
Academic Needs
6. Preparing for our Next Strategic Plan

1. Faculty and Staff Renewal

- High priority → follows on the 2019/20 retirement programs
- Faculties with large carryforwards provided base budget flexibility – to support base expenditures
- Faculty Plans have proposed 94 new faculty positions and 42 new staff positions
- Support Areas expected to propose 100 new staff

2. Enhancing the Student Experience

- Accessible Education – including educational supports and co-curricular programming
- Undergraduate Summer Research Internships
- Summer Student Teaching Support Internships
- Academic Advising Enhancement
- Facilities to Support Student Experience, Health, and Well-being
 - University Gathering Hub
 - Multi-Sport Fieldhouse

3. Support for Scholarship/Research Initiatives

- Expansion of Research Support Services provided through the VP-R Portfolio
- Incremental Support for University-wide Priorities
 - Endowment and spendable components
 - including WRCs and WAFAR
- Postdoctoral Fellowships Program
- Clinical Research Platform to Test Simple Scalable Solutions in Care for Big Impact on Health
- Support for University-level Research Institutes
- Interdisciplinary Facilities

4. Investments in Curriculum Enhancement

- Interdisciplinary Curriculum Initiatives (IDCIs)
- EDI Curriculum Development
- Indigenizing University Curriculum
- Next Round of Engineering Expansion
 - Including Enrolments, Faculty/Staff Complements, and Facilities
 - Collaboration with Science

5. A Safe and Sustainable Campus Physical Infrastructure

- University-wide Sustainability Initiatives
 - Outreach, Programming, Events, and Internships – through PACES
 - \$1M “Green Innovation Fund”
 - Campus-wide Greenhouse Gas Reduction Initiatives
- Continuation of *The Open Space Strategy*

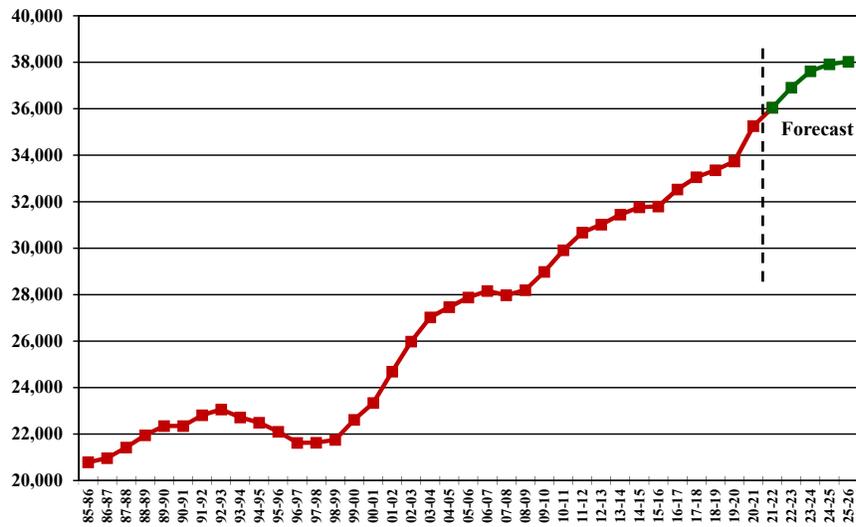
6. Preparing for the Next Strategic Plan

- Office of Equity, Diversity, and Inclusion
- Funding to Support the Priorities that will be recommended in the Next Strategic Plan
- Preparing for the Next Fundraising Campaign
 - which will be central component of supporting our Strategic Plan
- Strengthening our Central Communications Infrastructure

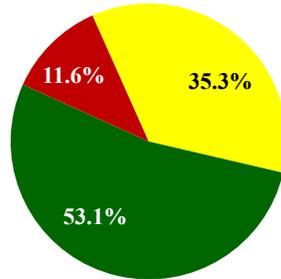
Summary of Operating Budget



Total FTE Enrolment at Western

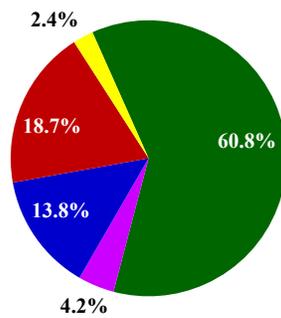


Projected 2021-22 Operating Revenues (Total = \$833.1M)



■ Govt Grants ■ Tuition ■ All Other

Distribution of 2021-22 Base + One-Time Operating Expenditures (\$829.2M)



■ Faculties ■ Schol/Burs ■ Support Units ■ University-Wide Exp ■ All Other

Summary of the 2021-22 Operating Budget (Table 2)

- **Revenue Forecast** = \$ **833.1M**
– Increase of 3.2%
- **Expenditure Plan** = \$ **829.2M**
– Decrease of 1.6%
- **Projected In-Year Position** = \$ **3.9M**
- **Projected Operating Reserve** = \$ **66.7M**

The 2021-22 Capital Budget

Overview of the 2021-22 Capital Budget

- Supports Long-Range Space Plan (Page 41, Table 13)
- Major Projects – underway or upcoming (Category 1)
 - Modernization of Thames Hall
 - Weldon Library Modernization
 - Biomedical Research Facility: Phase 1 of Medical Project
 - Indigenous Learning Facility
 - Entrepreneurship and Innovation Centre
 - TD Stadium Renewal
 - Campus Sustainability / Energy Conservation Projects
 - Pedestrian-friendly Campus Initiatives

Overview of the 2021-22 Capital Budget

- Preliminary Planning underway for Category 2 Projects
 - University Gathering Hub
 - Medicine/Science/Engineering/Health Sciences Interdisciplinary Facilities
 - Multi-Sport Fieldhouse
 - Parking Structures
- Very early Reviews
 - McIntosh Gallery
 - Law Building
 - Medicine, Chemistry, Engineering Facilities

Overview of the 2021-22 Capital Budget

- **Total Spending of \$153.0M** (Table 14, line 10)
 - \$55.4M for New Construction (Table 17, line 9)
 - \$34.5M for Major Renovations (Table 17, line 17)
 - \$63.1M for All Other Expenditures
 - Utilities and Infrastructure
 - Modernization of Academic Facilities
 - General Maintenance and Modernization
 - Housing and Ancillary Projects

Discussion

ITEM 2.3 - Business Arising from the Minutes

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

There is no business arising at this time.

ITEM 3.0 - Report of the President

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

A. Shepard will provide the Report of the President.

ATTACHMENT(S):

[Report of the President](#)

REPORT OF THE PRESIDENT

To: Board of Governors
From: Alan Shepard
Date: June 10, 2021
Re: Quarterly Report

Dear Governors,

This report highlights some noteworthy developments since my last report of April 22, 2021.

COVID-19 update: As we make hopeful plans for a full return to in-person classes this fall, Western has received an overwhelmingly positive response to our decision to mandate that all students living in residence get vaccinated—a decision endorsed by the Middlesex-London Health Unit. We also strongly encourage all members of the campus community to get vaccinated as soon as they can. To support this, the university will operate an on-campus vaccination clinic later this summer to accommodate first and second doses for students, staff and faculty. We continue to work closely with local health and government officials in monitoring the evolving situation, and we will change course if necessary. Please continue watching <https://www.uwo.ca/coronavirus/> for the latest news. I will provide a further update on our pandemic response in my oral report.

Western COVID-19 advertising campaign update: The ad campaign launched in May to raise awareness about the impact of Western-led COVID-19 research has produced some impressive results. During its first five weeks, the campaign generated 1,843,863 social media impressions, 11,577 web page views, and 1,949,529 digital impressions through *Globe and Globe Alliance*. The campaign has also reached an average of 1,727,000 *Globe and Mail* print readers each Saturday. This past week, the campaign set a new single-week record for unique users to the [site](#) of 2,110 – surpassing our launch-week total. Overall, 168,374 people have viewed our videos.

Scholarship@Western surpasses milestone: On May 26, Western announced its open-source repository for research [Scholarship@Western](#) had reached 10 million downloads in just over 10 years. The homegrown database of faculty and graduate students' academic work has grown to host 30,000 digital objects including conference presentations, videos, audio, and webinars, offering free access to scholars around the world. Surpassing this milestone is a tribute to our entire campus community. Scholarship@Western represents an important means for sharing knowledge created at Western across the disciplines and raising our university's global profile.

Western in top 5% in global sustainability impact ranking: On April 22, *The Times Higher Education* published its third annual *Impact Ranking*, placing Western 52nd in the world and eighth in Canada for its performance against the United Nations' Sustainable Development Goals. More than 1,100 universities from 94 countries participated in this year's survey, which ranks each institution on the basis of research, stewardship, outreach, and teaching on global issues such as sustainable communities, responsible consumption, equity, peace, and justice.

Western online initiatives attract funding from eCampusOntario: On May 17, the Ministry of Colleges & Universities announced that 10 initiatives led by Western faculty have been awarded a total of \$1M in support of eCampusOntario's virtual learning strategy. Congratulations to all our colleagues involved with these projects which include: a blended Indigenous languages revitalization program, a gamified simulation training program for faculty development, an introductory communications course for new students in graduate programs, and a project titled "connecting for climate change action," among others.

Morrisette gift expands access to entrepreneurship opportunities: On May 6, Western announced a \$5.5M gift from alumnus **Pierre Morrisette** (MBA'72, LLD'10) that builds on the success of Ivey's Morrisette Institute for Entrepreneurship to provide more opportunities for students across all academic disciplines to participate in entrepreneurial initiatives. With a contribution of \$2.5M from the university, the combined investment will support the Morrisette Chair in Entrepreneurship while also creating a single ecosystem, leadership structure and brand across campus, under the guidance of a consolidated advisory board. We are deeply grateful to Pierre for his vision and his generous philanthropy which now exceeds \$10M in support of entrepreneurial education at Ivey and Western.

Corporate donation supports public policy research and diversity: On April 28, Ivey announced a \$1.75M donation from Power Corporation of Canada, Canada Life, and IGM Financial that will support three initiatives at the business school: new public policy research and programming at the Lawrence National Centre for Policy & Management, internships for students self-identifying as women or members of equity-seeking groups, and scholarships for self-identifying women interested in finance. We are for their generosity and investment in diversity.

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

- Professor **Tima Bansal** (Ivey) and **Dr. Amit Garg** (Medicine and Epidemiology & Biostatistics) awarded *Western's 2021 Hellmuth Prizes for Achievement in Research*.
- Professors **Kim Baines** (Chemistry), **Glenn Bauman** (Oncology), and **Deborah Laliberte-Rudman** (Occupational Therapy) named *Western's 2021 Distinguished University Professors*.

- Professor Emeritus **Slobodan Simonovic** (Civil & Environmental Engineering) named by Reuters among the world's top 1,000 climate scientists.
- Professor **Jeff Tennant** (French Studies) named recipient of the *2021 Service Award from the Ontario Confederation of University Faculty Associations*.
- Professors **Kelly Anderson** (Epidemiology & Biostatistics) and **Emma Duerden** (Education) named recipients of the *2021 Petro-Canada Young Innovator Awards*.
- Professor **Jun Li** (Education) appointed Vice-President and President (designate) of the Comparative & International Education Society.
- Professor **Greg Kopp** (Civil & Environmental Engineering) named recipient of the *2021 Jack E. Cermak Medal from the American Society of Civil Engineers*.
- **Julaine Hall** (Research Development Officer) named recipient of the *Directors' Award for Inter-Institutional Collaboration from the Canadian Association of Research Administrators*.
- **Western Communications** recognized with five *Awards of Excellence from the International Association of Business Communicators* for projects honouring the victims of Flight PS752, Western's response to the pandemic, COVID-19 research, and concussion research.
- Named recipients of *Western's 2021 Awards of Excellence in Teaching*:
 - Professors **Kim Solga** (English & Writing Studies) and **Michele Weir** (Pathology & Laboratory Medicine), Edward G. Pleva Award for Excellence in Teaching
 - Professors **Amy Horton** (Nursing) and **Paul Mensink** (Biology), Marilyn Robinson Award for Excellence in Teaching
 - Professors **Anna Madelska** (Visual Arts) and **Niki Sharan** (Biology), Angela Armitt Award for Excellence in Teaching by Part-time Faculty
 - **William Turkel** (History), Award for Innovations in Technology-Enhanced Teaching
 - The team of **Tom Stavrakys**, **Angela Beye**, **Anita Woods**, **Christie Vanderboor**, **Boun Thai**, and **Temitope Akintola** (Physiology & Pharmacology), Vice-Provost (Academic Programs) for Excellence in Online Teaching & Learning
- Named *Western's 2021 Faculty Scholars*: Professors **Elizabeth Greene** (Classical Studies), **Rachel Heydon** (Education), **Richard Booth** (Nursing), **John McCormick**, (Microbiology & Immunology), **Brad Urquhart** (Physiology & Pharmacology), **Francois Lagugne-Labarthe** (Chemistry), **Danielle (Dani) Way** (Biology), **Juan Carlos Hatchondo** (Economics), **Lisa Hodgetts** (Anthropology), and **Anna Zajacova** (Sociology).
- Alumnus **David Patchell-Evans**, BA'77, LLD'12 (Founder & CEO, GoodLife Fitness) inducted to the *Canadian Business Hall of Fame*.

- Named winners of the *Western Green Awards*: Students **Anandita Heer** and **Julia Martins**, along with *EnviroWestern First-Year Committee* members **Jasmine Wu**, **Zoe Trottier**, **Keelin Bridge**, **Lauren Kotush**, **Alex Hauser**, **Caitlin Oh**, **Caroline Wang**, **Lydia Jocius**, **Michael Yang**, and **Sarah Mills**—for sustainability efforts on campus.
- Named winners of *Western's Ideas for Sustainability & the Environment (WISE) competition*: Students **Aranyah Shanker**, **Grace Tse**, and **Samantha Tse** for their use of online tools and apps to promote recycling and other environmental impact mitigation strategies.

Leadership update: In late April, **Lauretta Frederking** was named as Brescia University College's new President, effective August 1. Professor Frederking is a political economist who has served as Brescia's Vice-Principal & Academic Dean since 2018. We congratulate Lauretta on her new role, and thank **Cheryl Jensen** for her leadership as Brescia's Interim Principal.

On April 22, we announced **Michael Kim** as the next Dean of the Don Wright Faculty of Music, effective August 1. Professor Kim joins us from the University of Minnesota, Twin Cities, where he is currently a professor and director of the School of Music. Prior to his role at the University of Minnesota, Michael held several academic and administrative leadership appointments at Brandon University and Lawrence University. In addition to his scholarship, Michael is a veteran of the concert circuit, performing globally as a soloist with numerous orchestras, as a solo recitalist, and chamber musician. He earned a BMus with distinction in piano studies from the University of Calgary before earning his Master of Music and Doctor of Musical Arts from the Juilliard School in New York. We look forward to welcoming Michael in August, and thank Dean **Betty Anne Younker** for her ongoing leadership and contributions.

Effective May 10, Vice-Provost (Academic Programs) **John Doerksen** and AVP (Housing & Ancillary Services) **Chris Alleyne** assumed joint leadership responsibilities for Student Experience. We thank John and Chris for taking on these extra duties beyond their existing roles while we search for Western's next Student Experience leader. We wish former AVP (Student Experience) **Jennie Massey** success in her new role as a Partner with KBRS Executive Search.

Also on May 10, **Lisa Highgate** was appointed Special Advisor to the President on Anti-Racism. Serving in this temporary role through August 31, 2021, Lisa continues with her existing duties as Associate Director, Residence Conduct & Conflict Resolution. Lisa is serving in the advisory role jointly with **Bertha Garcia** while the search for Western's first AVP of EDI continues. Lisa replaces **Nicole Kaniki** who joined the University of Toronto as their Director of Diversity, Equity & Inclusion in Research & Innovation. We wish Nicole success in her new role.

The work of committees for the following leadership positions remains underway: Provost & Vice-President (Academic), Associate Vice-President (EDI), Dean of the Faculty of Law, Vice-Provost (Academic Programs), and Vice-Provost (School of Graduate & Postdoctoral Studies). The searches for each of the three Associate Vice-Presidents of Research (Arts, Humanities & Social Science; Health; Science, Engineering & Technology) are near completion.

ITEM 4.7(a) – Western University Strategic Plan

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

Recommended: That the Board of Governors approve the strategic plan, *Towards Western at 150*, attached as [ITEM 4.7\(a-1\)](#).

EXECUTIVE SUMMARY:

Please see the attached memo from the President for the executive summary of the draft strategic plan.

ATTACHMENTS:

[Memorandum from the President and Vice-Chancellor on the draft of Western’s new Strategic Plan 4.7\(a-1\) Draft Strategic Plan, *Towards Western at 150*](#)



MEMORANDUM

TO: Board of Governors

FROM: Alan Shepard

DATE: June 11, 2021

RE: Western's Strategic Plan

Dear Board Members,

On behalf of the Strategic Planning Steering Committee (SPSC) I am pleased to share a draft of Western's new strategic plan that has just been approved by Senate.

This draft is the result of an extensive consultation process – one that was met with great enthusiasm from the entire Western community. This process included more than 3,700 inputs from more than 90 consultation sessions, online surveys and written submissions. Sessions were arranged with senior leadership, faculty, staff and students – and alumni were invited to contribute as well.

On May 12, the SPSC held a virtual community information session open to all students, faculty, and staff to learn about the draft strategic plan and ask questions. The SPSC also shared and discussed a draft of the plan at Senate (May 14) and the Board of Governors (May 16). Revisions were made to the draft plan based on helpful feedback from all these sessions.

Throughout this process we have provided regular updates to the Board of Governors. Your involvement and feedback along the way has been greatly appreciated.

The result of all this engagement is a document that sets out an ambitious plan for Western as we look towards our sesquicentennial.

This draft plan was approved by SCUP on May 31 and unanimously approved by Senate on June 11. At the June 17 Board of Governors meeting, we will be seeking your approval of this strategic plan.

Thank you again for your time and support of this important work.

TOWARDS WESTERN AT 150

DRAFT Strategic Plan for Review

Strategic Planning Steering Committee (SPSC)

June 11, 2021 - FOR BOARD OF GOVERNORS

LAND ACKNOWLEDGEMENT

Western University is located on the traditional lands of the Anishinaabek, Haudenosaunee, Lūnaapéewak and Chonnocton (Neutral) peoples. The Huron-Wendat peoples also have a history of living in this territory. In the London area, there were Treaty 6 London Township, Treaty 7 Sombra Township, and Treaty 21 Longwoods. This land continues to be home to diverse Indigenous Peoples (First Nations, Métis and Inuit) whom we recognize as contemporary stewards of the land and vital contributors to our society. By recognizing First Nations peoples' relationships to the land, we make explicit Indigenous Peoples' presence and rights to self-determination.

INTRODUCTION

As the world moves from pandemic to recovery, its leaders are being asked to take a fresh look at longstanding challenges. Western University is ready to take on this obligation with determination and creativity, to build on our successes, and to work toward a more prosperous, just and inclusive society.

The world needs the very best from its universities. Generations are depending on it. And so, we must take seriously our role in serving the public good.

Western has a distinguished history of doing just that. A history marked by the discoveries and achievements of individual scholars and teachers over the past 140 years, and our collective successes in advancing knowledge and building a thriving community. The result is a strong academic and research environment with world-class faculty and programs and a university that has long provided an unmatched student experience. These strengths have allowed us to attract top students, build state-of-the-art facilities, and raise the resources needed for ongoing support.

We are now poised to build a university ready to mark its sesquicentennial stronger, more energized, more influential, and more inclusive than ever before in its history.

Our commitments, our energy, our plans

We accept the challenge to lead in building a more inclusive world, and we understand that the work we do together toward greater equity and diversity will make Western better and stronger, more fit for the

twenty-first century. These are important commitments on which Western is making progress, and there is an energy in our community to do more.

We also recognize the potential in our academic community to increase the impact of our research, teaching and community engagement, and we seek to unleash that potential—on campus, in London, in Ontario, in Canada, and around the world.

This plan is designed to channel our community’s commitments, our energy, and our aspirations as we approach a milestone anniversary for the university and think creatively, ambitiously, and strategically about Western’s future.

Launched in Fall 2020, the process, led by the Strategic Plan Steering Committee (SPSC), has widely engaged students, faculty, and staff individually and in academic departments and administrative units, our alumni, members of the Senate and the Board of Governors, and members of the public. The plan is the result of an extensive consultation exercise involving all elements of the Western community.

These consultations revealed broad eagerness to advance Western in numerous directions and this plan embraces the multiple and varied ambitions that were raised during our consultations and other ambitions yet to be voiced. It embraces bold action, to experiment, to reach for our aspirations, to take more risks and to pursue achievements even when it seems beyond our grasp.

Out of these consultations, and having considered Western data and other evidence about the postsecondary education environment, the plan has identified three overarching themes:

- **THEME 1 - GREATER IMPACT**
 - Grow strategically
 - Stimulate our research, scholarship, and creative activity
 - Promote teaching and learning for the future
 - Enrich the student experience

- **THEME 2 - PEOPLE, COMMUNITY, AND CULTURE**
 - Advance Reconciliation with Indigenous communities
 - Create a more equitable and inclusive Western
 - Thrive through belonging

- **THEME 3 - WESTERN’S PLACE IN THE WORLD**
 - Concentrate on place, and ...
 - ... Engage the world
 - Sustainability, an imperative

This plan charts the direction the Western community will pursue to reach its aspirations. Detailed work on reaching these goals will come later this year, and in the years ahead, in response to and with ongoing reference to this plan.

This plan expresses great confidence in the energy of the Western community—of *ourselves*, as we chart an innovative and deeply *Western* path toward our next hundred and fifty years.

THEME 1 - GREATER IMPACT

Impact emerged as a key word in our planning.

Universities by their nature are constantly transforming themselves: creating new academic programs, pursuing new avenues of research, welcoming new students, staff and faculty—in short, always changing.

The question for universities is not “should we change” but rather “how should we change?”

There is a strong desire at Western to pursue significant change in key areas of our work: in our research impact, and in our community-engaged research; in our work with London and Southwestern Ontario; in deepening the student experience; in working more closely with our affiliate university colleges; in making more of our relationships with the hospitals and the health care community; and in pursuing partnerships that will allow us to achieve greater impact.

GROW STRATEGICALLY

We concluded it will be difficult for Western to achieve much greater impact without growth in its resources.

Growth is not an end in itself, and is not reductively or simply an increase in enrolment.

Our community wants intentional, strategic, and ethical growth aimed at deepening our ability to deliver on our mission. If we want to increase our impact, we must grow smartly in order to transform the opportunities we have to carry out our mission with greater effect.

Western is ready to be more and do more

Increasing the impact of our collective efforts will require several kinds of coordinated growth, which must also be deliberate and strategic.

To reach our goals, Western’s entire ecosystem must grow as one, even if for planning purposes we divide that growth into three interrelated domains:

- **Increase the faculty and staff complements:** To reach our potential we will need to increase our faculty and staff complements. We need more exceptional colleagues to drive our research enterprise, offer innovative academic programs, secure new partnerships, and engage our students.
- **Expand student enrolment:** We will also gradually increase enrolment, as we have been doing for the past three decades, at all levels of study. Over time, we would expect to reach 50,000 students and learners, including undergraduate, graduate, postdoctoral, and lifelong learners. Students are essential to the effort to deepen Western’s engagement in the world, and they are integral to our efforts to create more impact. As a part of this growth, we will create recruitment programs and student-support programs to deepen the diversity of our student body.

- **Secure resources and building infrastructure:** As we grow in people and activity, we must also ensure our physical spaces and human and material supports are adequate to fulfil our educational and research missions.

Investments in recruiting top faculty and students, and building an impact strategy around talent that is broadly supported by physical and financial resources, reveal our commitment to viewing growth as a long-term prospect. For lasting impact, we need to do growth well, rather than quickly.

STIMULATE RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITY

Research, scholarship and creative activity are at the heart of all great universities. They have been a hallmark of Western’s achievements from the origins of the university. We have a proud legacy of “firsts” and a long roster of intellectual achievements that have changed the world.

Western is motivated to serve not only individual disciplines but also the public good—by advancing knowledge and sharing it, with traditional methodologies and interdisciplinary ones and through emerging inventions of new methodologies to meet unforeseen challenges. Some of our research will respond to the issues of the day; other forms of research will be devoted to fundamental efforts for which there may be no immediately obvious applications. But all the work contributes to the sum of human knowledge; and some of it will make the world more beautiful or our lives more fully examined.

To support these core motivations, we will take steps to expand support for research, scholarship, and creative activity. Adding to our faculty, staff, and student complements will be one important first step.

Tackling the grand challenges of our time

While individual, curiosity-driven fundamental research and creative practice across the academic disciplines remain a cornerstone of Western, we will also pursue models of collaborative interdisciplinary research that address the most pressing challenges of our time. Among these are the challenges of sustainability, climate change, systemic racism, socioeconomic inequality, threats to democracy, and the imperatives of citizenship.

We will build on Western’s institutes-model by seeking additional ways to organize our collective research efforts. One will be the Western Academy for Advanced Research (WAFAR), to be launched in Fall 2021. WAFAR will create substantial new opportunities to attract distinguished academics to join our community as visiting researchers to work with our faculty and students on pressing challenges from multidisciplinary perspectives.

To support our research, scholarship and creative activity, we will strengthen core facilities and invest in common resources such as laboratories, libraries, studios and technological infrastructure. We will expand our Western research chairs program and find new ways to recognize and promote the achievements of our academic community. We will also continue to invest in our libraries as foundational for all of Western’s research, scholarship and creative activities.

We will seek out new partnerships both internally and externally, and create a partnership concierge model to facilitate these connections.

Internally, we will be more deliberate in connecting expertise from different parts of our community to pursue common projects. We will shift internal research-organization and budget models to achieve greater plasticity in collaborations across boundaries at all levels.

Working together inside and outside the university

We will sustain extant programs to support research across all of our faculties, and we will review how best to support these programs for the future on an annual basis. These include our new or renewed programs in interdisciplinary research, postdoctoral fellowships, programs to support Indigenous research, and programs to support research in the areas of equity, diversity, and inclusion as well as research on teaching and learning practices.

Externally, we have special opportunities and responsibilities in our partnerships with nearby hospitals and regional health partners, and we aim to revitalize those relationships. The hospitals, health partners and the university have had a long-time synergy that needs to be renewed in terms of research and community service, and the time is ripe for that renewal. As health care undergoes significant transformation as a result of pandemic-induced changes, new and important opportunities will emerge.

We will continue to intensify our engagement with industry and step up our outreach to not-for-profit organizations, charitable foundations, municipalities, and other universities to expand opportunities for researchers and students. One goal will be to address community-based challenges and create opportunities for tangible research impact and service, locally and globally. We will create the infrastructure necessary to turn partnership ideas into actions that bring mutual benefits.

Our goal is to stimulate Western's research output and its impact and to ensure the recognition of Western's work—locally, nationally, and globally.

PROMOTE TEACHING AND LEARNING FOR THE FUTURE

Teaching and learning are ancient practices to be celebrated and adapted for each century. The brilliant ways Western's faculty, staff, and students have risen to the new demands of online learning and teaching during the COVID-19 pandemic remind us that these activities are always changing. Our experiences with distance and hybrid education have shown us some of the techniques developed over the last year may well be worth regularizing even as the university community strongly reaffirms its belief in the virtues of hands-on, face-to-face education as the primary locus for our pedagogical efforts.

Western is a destination university for high-performing students, and our retention and graduation rates show we are meeting or exceeding the expectations of our students. We want to sustain an environment of learning and teaching that celebrates intellectual curiosity and that sets the highest standards of creativity and analytic rigour.

Culture of continuous innovation

We already focus on active learning initiatives such as research opportunities, peer learning, co-curricular activities, work-integrated learning, experiential learning and capstone projects to allow students to engage in their own learning. We have created faculty communities of practice to foster pedagogical innovation, and we have increased our support for international experiences to enrich learning. These activities will continue, new opportunities will arise, and they must be supported.

Western currently invests in the scholarship of teaching and learning, provides opportunities for faculty mentoring, and ensures that these “learning ideals” are shared across the ecosystem. All of this will continue, with renewed vigour and commitment.

In collaboration with Western’s Centre for Teaching and Learning, faculty, staff, and academic units will innovate in curriculum design, instructional strategies, and learner assessment; and we will disseminate our innovation and research work in order to solidify our place as leaders in the renewal of post-secondary education.

As digital advances accelerate, it will be essential for the University’s leaders to be open to and supportive of new pedagogical technologies and techniques as they are proposed and developed by faculty, staff, and academic units.

Recognizing the synergy of teaching, learning, and research, we will deepen the integration of research into the academic programs we offer. We will create space for a “grand challenges” approach to teaching and research for those who would like to organize their efforts in this way.

Personalizing the learning experience

Western offers an unusually flexible set of curricular arrangements that allows students to build their own pathways through their education, especially at the undergraduate level.

We will keep that flexibility. It provides differentiation in our degree programs and makes it possible for Western students to personalize their journey and discover their true passions. This often requires extensive engagement with technology, and we will ensure students have the technological tools they need (and expect) both during their studies and beyond.

We will launch new curriculum projects such as the Interdisciplinary Curriculum Initiatives, to ensure our program offerings continue to respond effectively to the current needs of our students. We will invest new resources to strengthen our academic advising program and work jointly with students to understand their needs as we create Canada’s best career preparation program.

Recent experience with the Western Summer Student Internship program has shown the value of student participation in course and program development. We will expand the opportunities for students to partner with faculty in this work.

We will continue to expand our data strategy initiative, recognizing that teaching and learning will always be engaged in the digital world, almost regardless of discipline. Students from across campus must have access to new developments in data analytics, and our data strategy initiative will provide significant opportunities for learning complementary new skills.

Lifelong learning will also accelerate in the coming years, which creates a major opportunity for Western.

At present we serve those learners who want to return to school primarily through the Ivey Academy and our Continuing Studies unit, which offers only courses that bear no academic credit. We will revisit our model for lifelong learning, in collaboration working with the faculties, to better meet the needs of contemporary adult learners seeking to expand their knowledge and skills for professional or personal aspirations with degree-granting credits.

The quality of Western’s graduates has long been a reason for the University’s external reputation. We must continue to ensure that our students are brilliantly prepared for their future. Our impact depends on their impact.

ENRICH THE STUDENT EXPERIENCE

The Western student experience is robust, and a source of great pride. Western graduates are highly sought-after throughout their careers. In part they are in demand because they have acquired exceptional skills as leaders during the course of their studies. These skills are built in our classrooms, libraries, studios and labs, but also in our student clubs, on our sports teams, during intramurals, through the arts, within student government, and across the whole student experience.

The large majority of our students come from outside London, and our first-year residence experience is highly valued. We have invested significantly not only in the facilities used by students but also in the programs that promote the wellness of students, including in mental health services. We will continue to build on our model of “thriving” that is at the heart of our student experience. It is a community of care.

The university hosts hundreds of meaningful co-curricular experiences, student clubs, intramural and varsity sports, music and theatre performances and other creative efforts. As we move forward, we will continue to invest in these opportunities. They contribute greatly to student life.

To sustain this core strength and make it even stronger, we want to integrate more fully the transformative social experiences of our students with other kinds of opportunities—such as the experiential opportunities of work-integrated learning, research with a professor, engagement in entrepreneurship and professional preparation. These engage students in the central work of the university.

We challenge ourselves to understand what it means to complete an academic program in this century, what social and physical elements play in that education, how the digital revolution will alter the opportunities open to our graduates, and how our community may best support our students and prepare them for lives as productive citizens.

We serve multiple populations of students. Their needs may differ depending on their circumstances and aspirations, and we want to revisit how we can best serve our students, whether they are traditional-aged undergraduates, mature students, graduate students or professional students.

Learning by doing

Western will put a new focus on multiplying the avenues students have to pursue a broad array of experiential learning opportunities that contribute to their holistic development and that dovetail with their academic programs. We will:

- Invest in more hands-on applications including more work-integrated learning;
- Fund summer research opportunities for undergraduates; and,
- Extend our current offerings in entrepreneurship to students in all programs.

The aim in all of these forms of experiential learning is to expand the options available to students to enrich their education, and to give students multiple opportunities to experience the joy of research, invention, and of exercising the knowledge and skills they are acquiring during their Western experience.

We aim to ensure that every Western student is able to graduate having had at least one intense opportunity for experiential learning.

Enhancing the student experience in this way will help them connect their time at Western to their lives to come.

The expansion of experiential learning recommended in this plan will require robust partnerships outside Western with those organizations prepared to engage our students. We will establish a model of “360-degree” partnerships with companies and organizations on initiatives of mutual benefit such as work-integrated learning, internships and applied research. We will look to our alumni network to help forge many of these opportunities.

For graduate and professional students, we aim to improve access to teaching and research experiences, provide more support for those who wish to complete part of their programs abroad, attract more matriculants from distinguished universities from around the world, and expand recruitment efforts and support for equity-deserving scholars. We will explore boosting the number of professional master’s programs and we will expand the number of master’s and doctoral students on campus. We will make investments in pathways to professional careers for doctoral graduates.

THEME 2 - PEOPLE, COMMUNITY AND CULTURE

Western aspires to lead in the creation of a more just society.

Universities are not a collection of buildings but a community of people—students, faculty, staff, and graduates. This plan has emerged in extraordinary times that have reminded us in so many ways of the importance of community, of genuine belonging, of the relationship of inclusion to equity, and of the power of working together.

Of all the aspirations voiced by the Western community through this planning process, the expectation of a more-inclusive Western stood out, and progress toward this goal will be foundational to our success in reaching the other goals articulated in the plan.

ADVANCE RECONCILIATION WITH INDIGENOUS COMMUNITIES

Western has embraced Universities Canada’s principles with respect to Truth and Reconciliation among Canadian universities, and we will continue to implement our Indigenous Strategic Plan. We renew our commitment to increase Indigenous voices and presence across all levels of community life, work, study and research.

The Western campus is established on the traditional territory of the Anishinaabek, Haudenosaunee, Lūnaapéewak and Chonnocton (Neutral) peoples. Their distinct rights are an important part of our institutional responsibility to Reconciliation, and they are essential partners as we look to the future.

We will increase the recruitment of Indigenous students at all levels as well as faculty and staff, as a part of the university’s efforts to promote Reconciliation. We support efforts of our faculty and staff to consider how to incorporate Indigenous ways of knowing into our curricula and our services to the community.

CREATE A MORE EQUITABLE AND INCLUSIVE WESTERN

To lead our efforts to improve the diversity and equity of our community, we will recruit an Associate Vice-President (Equity, Diversity, and Inclusion), who will be supported by our new Advisory Council on EDI and our EDI Action Network. The Associate Vice-President (EDI) will be a key strategist in helping us develop new efforts and in measuring our effectiveness.

Evolving as a university also means learning from our past. Creating a more welcoming and inclusive experience, particularly for people of colour, and Indigenous peoples, will be critical.

We will continue to strengthen bursary and scholarship programs, fortify existing pathways and create new ones to ensure access to the Western experience for individuals who historically may not have had access to Western. We will review our recruitment and admission strategies alongside our financial aid programs and outreach to equity-deserving groups. We will work to ensure our students see themselves in the leadership of our community. We will strengthen the diversity of our Canada Research Chairs.

These efforts will require new resources, not only for bursaries but also for staff support to strengthen our outreach efforts.

We will embark on a formal program of strategic enrolment management for undergraduate recruitment that will, among other things, attract and retain strong applicants from equity-deserving groups. We will explore a non-traditional approach to evaluating potential in those who may have been overlooked by traditional admissions criteria.

We will provide ongoing opportunities for faculty and staff to develop and learn important practices related to equity, diversity, inclusion and Reconciliation.

We will continue to invest in our ongoing commitments against racism and all other forms of discrimination, including taking next steps following the Anti-Racism Working Group Report of 2020.

In 2021 the university received an external report analyzing the accessibility of our campus and services, including physical accessibility, and the report identified a significant number of improvements that are needed. We will fund new initiatives designed to make accessibility the standard across Western.

Going forward, Western will strive to ensure that our community, our campus, our programs, our research, our outreach, and our self-representation will be more inclusive. We pledge to combat all forms of discrimination. The new Associate Vice-President (EDI) will work collaboratively with the Associate Vice-President (Indigenous Initiatives) and with other campus leaders to achieve measurable progress in these key areas. We will create and fund an EDI Strategic Plan for Western.

Western needs to be more inclusive, and through this strategic plan it will be.

THRIVING THROUGH BELONGING

We will work hard to create an environment that supports all of us in our well-being, our mental and physical health, and our professional and personal development, across all the roles at the university.

The university will continue to mount effective workplace programs and services to support the career and professional development of its staff and faculty. Among these workplace programs are leadership

programs and workplace training that promote safety and well-being, mental health and wellness supports.

Feeling a sense of belonging where you learn and work is so important. In particular, for international students, we recognize that moving to a new country, being away from family and friends, and sometimes learning in a second language can be isolating. Western will stay attentive to the needs of our growing international student population by expanding existing services and supports. Together, we will create a sense of community that makes Western a home away from home.

For our students at all levels of study, the university will offer a broad range of supports both within and beyond our academic programs to encourage thriving and belonging as individuals and collectively. We will continue to pursue the “thriving” model adopted by Western’s Student Experience team. The model focuses on engaged learning, academic determination, positive perspective, diverse citizenship, and social connectedness.

THEME 3 - WESTERN’S PLACE IN THE WORLD

CONCENTRATE ON PLACE, AND . . .

The ever-more digital world raises the question of whether to invest in our physical environment, including academic and research buildings, residences, performance halls, sports facilities, and the like. The response from our community is a resounding *Yes*. We will continue to prioritize a residentially intensive campus for both teaching and research.

London is home

Western is proud to be located in London. We are grateful for all that London contributes to Western’s success. We are an integral part of the community and take the responsibilities that brings seriously. We will continue to contribute to the development and well-being of our city and our region, and to benefit from the great opportunities in working with these communities of which we are an inextricable part.

To that end, we will strengthen our institutional partnerships with the City of London, local and regional schools and hospitals, health care partners, industry, community organizations, and nearby Indigenous communities.

While we will remain a community committed to carrying out our mission primarily face-to-face in London, Western will move vigorously to ensure that we possess all the digital assets we need in order to pursue our mission at the highest level. New technologies will allow us to operate both close to home and far away.

The physical structures and spaces that comprise the Western campus are among our most valuable assets. We want some of our gathering spaces to be less institutional—more funky and distinctive.

We will increase the space for students to gather, improve the quality of study spaces, and create more “collision spaces” such as a newly contemplated “student hub” and the recently approved building devoted to entrepreneurship and makers’ spaces, and a sports fieldhouse to lighten the burden of those long winters and contribute to students’ well-being and good mental health.

We will continue to move forward with the Open Space Strategy to create a safer, more pedestrian- and bicycle friendly, and biodiverse campus. We will launch a new biodiversity project that will bring together our expertise in ecology with the teams that care for our campus and environs, including the river that runs through campus, so that our efforts may become more sustainable and sensitive.

We will complete work on the Thames Hall Wellness Centre and the Indigenous Learning Centre in the Althouse Building. We plan to build a new interdisciplinary research facility to create space for new programs of teaching and research that will also include much-needed new core facilities.

We will engage our affiliated university college partners in a new dialogue about how together we may strengthen our partnership.

We will establish a new presence in downtown London. Likely to be in the core of downtown, the project could house galleries, public-facing clinics, and assembly space in which Western could deliver courses, public lectures, concerts, and poster sessions that share research with the public. We will work with local leaders to define its purpose.

... ENGAGE THE WORLD

Western gets its strength from its roots in Southwestern Ontario, but the curiosity that drives us all also compels us to look to the horizon.

Beyond our main campus and a new downtown London presence, Western (through the Ivey Business School) currently maintains a physical presence in downtown Toronto and in the city centre of Hong Kong. The Schulich School of Medicine & Dentistry maintains a campus in Windsor.

We also anticipate launching or expanding a larger physical presence in downtown Toronto. Its purpose is to deliver advanced professional education and training; to connect with our alumni; and to offer some of our lifelong learning programs and community outreach efforts face-to-face.

Working internationally

The energy that led Ivey to create its Hong Kong campus two decades ago still animates us. As the effects of globalization of higher education continue to deepen, we will see universities investing in physical presences far beyond their main campuses.

We will develop a model to allow us to establish a temporary presence in various international locations, whether field schools, advanced seminars for professionals, or other mechanisms that would make it possible to operate on the international stage in ways that bolster opportunities for our academic community and also contribute to international partnerships with universities and NGOs.

In continuing our work internationally, we will work to deepen existing teaching and research partnerships with international colleagues and promote research mobility. We have pursued student mobility paths for many years, and we will review those paths to ensure that we are offering to our students the most robust international experiences for learning and research.

All serious research-intensive universities strive to attract students from abroad. Great educational experiences require a mix of domestic and international students. That mix makes for the best of both the academic and social experiences for students and brings diverse research strengths and multicultural

perspectives to the entire community. We will attract 20 to 25 per cent of our students from abroad, increasing in particular the ratio of undergraduate students, having already achieved 25 per cent graduate students. We will create a new strategy for international recruitment and aim to populate our academic programs more evenly. These were goals of our previous plan, and we aim to continue them now.

We will invest new resources to ensure success in our broad international efforts. Through these efforts, in part, Western will continue to graduate leaders who can influence and create change around the world.

SUSTAINABILITY, AN IMPERATIVE

Sustainability is one of the grand challenges of our times. It particularly calls out for everyone to collaborate, innovate, experiment—to seek bold and brave solutions.

The maxim “think globally, act locally” applies well to these challenges of sustainability. As a research-intensive university Western is already engaged in a broad swath of internationally significant research projects that link us to a sustainable universe in all of our faculties. At the same time, acting locally, members of the Western community participate in many projects in London and nearby that aim to preserve, protect and nourish the local environs. Our students and faculty are deeply engaged in local social service agencies, schools, hospitals and other sites of important community-engaged learning and research.

In 2020 and in 2021, Western was recognized by the Times Higher Education Impact Ranking as one of the greatest contributors to sustainability research and teaching on the planet.

The Western community wants greater visibility for these efforts, and wants to do more.

We will model sustainable processes in our own operations and apply our research, teaching, learning, and community engagement to support London and Southwestern Ontario in our collective efforts to become the Canadian centre of gravity for sustainability thought leadership and the application of innovative sustainable practices.

Western embraces its responsibility to be stewards of the natural environment. We will launch a collaborative research initiative that will make Western a Canadian and international leader in helping others with research to reduce their own carbon emissions.

We commit to rethinking the care of our campus to encourage greater biodiversity, and to extend efforts to make our campus more of a laboratory for our academic community. We will pursue partnerships with local and regional municipalities whose own projects concentrate on challenges with areas such as water, waste, transportation, and biodiversity.

For years, the university has pursued efforts to reduce its own carbon footprint. These include efforts from food waste to geothermal heating. We will continue to prioritize energy retrofits and maintain our commitment to sustainability for new construction with an aim of net-zero in new facilities.

Western University will achieve net-zero emissions for campus operations by 2050 and at least a 45 percent reduction (over 2005) by 2030. We will incorporate existing initiatives to reduce the impact of campus operations with new initiatives focused on green innovation.

Western researchers, students and staff engage with local communities to assist with socioeconomic challenges related to education, poverty, and health, both in terms of research and services that make a better world for everyone. Western commits to intensifying its engagement with local and nearby municipalities across all of these grand challenges.

The university will survey its academic units to establish the current range and breadth of our curricular offerings in the various areas of sustainability, and we will engage our students as full partners in efforts to ensure that these offerings meet their needs.

Sustainability research happens in all of our faculties and in many research centres across the university. The university commits to significant new sustainability-research funding over the life of this plan to encourage interdisciplinary research that prioritizes opportunities to engage with local and regional municipalities (and/or related service agencies) and that prioritizes experiential learning for our students.

In all of these efforts we will consider how the United Nations Sustainable Development Goals may guide our work.

Western has the capacity, desire, and duty to discover, develop, and advocate for approaches to make our world more sustainable, particularly in the areas of climate change, biodiversity, equity and social justice in which the university has expertise.

SOME MILESTONES AND METRICS

The digital age reminds us that change is constant. As a community we must be attentive to the forces of change and approach our work with a willingness to adapt, adjust, and alter course when necessary.

Some of the milestones and metrics set out below will remain constant. Others will become more specific over time as this plan unfolds.

GREATER IMPACT

- Expand faculty and staff complements commensurate with student growth
- Expand student enrolment to 50,000 by 2030 (undergraduate, graduate, postdoctoral, and lifelong learners) – in areas of demand and societal need and with deliberate intention to be equitable and inclusive
- Secure resources and invest in infrastructure for new buildings, renovations, and Western's Open Space Strategy
- Increase our national share of funding awarded from each of the Federal Tri-Councils
- Add, and support for ongoing success, 50 research chairs in areas of existing or emerging strength – by 2030
- Increase the number of faculty and staff members who have won national and international awards and similar distinctions for their work in their respective disciplines
- Achieve the highest student retention and graduation rates among Canada's leading research-intensive universities
- Invest in state-of-the art information technology infrastructure
- 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

- Increase the availability of paid summer research opportunities for students
- Expand and improve lifelong learning offerings (credit and non-credit) to increase our overall cadre of learners at various stages of their lives and careers
- Extend our current offerings in entrepreneurship to students in all programs
- Improve student satisfaction with academic advising
- Increase student utilization of and satisfaction with career development services
- Maintain our stellar graduate employment rate
- Launch the most ambitious fundraising and alumni engagement campaign in the University's history. Build institutional capacity with the goal of increasing annual fundraising to \$100M per year.

PEOPLE, COMMUNITY, AND CULTURE

- Establish a baseline of demographic information for students, faculty and staff to set goals for increased representation among members of equity-deserving groups
- Invest in additional financial supports for students from equity-deserving groups
- Build additional relationships with equity-deserving groups in the local community (e.g. community-facing clinics and services, public lectures, arts and culture events)
- Increase diversity among our faculty and staff, including the recruitment and retention of Indigenous peoples and members of equity-deserving groups
- Create learning opportunities for faculty and staff on important EDI practices, targeting a 90% participation rate within 5 years

WESTERN'S PLACE IN THE WORLD

- Enhance Western's campus by investing in the quality, accessibility and beauty of our physical environment – showcasing campus as a biodiverse living laboratory (e.g. student gathering/collision spaces, sports facilities, entrepreneurship space, enhanced green space)
- Establish a new physical presence in London's downtown core
- Establish a larger physical presence in Toronto
- Create and measure the efficacy of having a temporary presence in various international locations (e.g. field schools, advanced seminars for professionals, international partnerships with universities and NGOs)
- Increase our international undergraduate student population to 20% and out of province students to 15% and provide on-campus supports to ensure their success
- Reduce carbon emissions for campus operations by 45% (over 2005) by 2030 and net zero by 2050
- Create a sustainability research fund (initially at \$1M) that prioritizes our local and regional partnerships and that creates new experiential learning opportunities for students

CONCLUSION

Western has a proud history. We strive to be excellent stewards of our past successes and achievements. As we look to the future, we will push ourselves to increase our impact and move Western to the next level. That impact will come from a renewed research enterprise, a strengthened student experience, a more inclusive community, and more and better partnerships in London and around the world.

This plan closes with a call to action – an invitation to every member of our community to determine how they can contribute to advancing these ideals. Reimagine your program. Rethink your workplace. Strengthen your purpose.

The uncertainty of the global recovery from the pandemic is an invitation to think – and to do – differently. The world needs its leaders to act boldly in the face of seemingly intractable problems and find innovative solutions to them.

In it together

The world's best universities cannot go it alone. They work in partnership to be more creative, more curious, and more innovative. They collaborate to accelerate progress and make positive change.

To achieve the ambitious goals set out in this plan we will need the support of our graduates, our community, and other collaborative teachers and researchers locally and around the world.

In thinking ahead towards Western's 150th anniversary, we are planning today for Western's—and the world's—future.

Join us.

TOWARDS WESTERN AT 150: A SUMMARY OF COMMITMENTS

To grow strategically, we will:

- Expand the faculty and staff complements
- Expand student enrolment
- Secure resources and building infrastructure

To stimulate our research, scholarship and creative activity, we will:

- Strengthen core facilities and invest in common resources such as labs and studios
- Pursue more and deepen existing partnerships locally, nationally, and globally
- Adjust internal organizational structures and the budget model to promote and fund interdisciplinary research and seek greater elasticity in our interdisciplinary mechanisms
- Create a partnership concierge model to open up a portal to serve external partners

To achieve Western's teaching and learning goals, we will:

- Launch curriculum renewal projects to develop new programs that will inspire students
- Improve academic advising and career development support
- Respond to the needs of 21st century learners by executing our online learning strategy
- Ensure technology resources for a changing world are provided

To enrich Western students' experience, we will:

- Offer every undergraduate intensive experiential learning opportunities
- Invest in career development services for undergraduate, graduate and professional students, and postdoctoral scholars, taking Ivey's career services as our inspiration.
- Examine Western's admissions process to ensure we attract a diverse group of students
- Invest in more hands-on applications including more work-integrated learning
- Fund summer research opportunities for undergraduates
- Extend our current offerings in entrepreneurship to students in all programs

To invest in people, community and culture, we will:

- Unite our community through a sense of belonging for all students, faculty, staff and alumni
- Address structural and systemic barriers in support of a more inclusive environment
- Continue our commitment to increase Indigenous voices and presence across all levels of work, study and research
- Create new bursaries for students from equity-deserving groups
- Craft pathways with local and regional school boards and other community organizations to increase our opportunities to recruit students from equity-deserving groups
- We will strengthen the diversity of our Canada Research Chairs
- Create learning opportunities for faculty and staff on important EDI practices

To concentrate on place, we will:

- Strengthen our relationships with nearby communities, agencies and services
- Pursue the Open Space Strategy
- Create a safer, more pedestrian- and bicycle-friendly, biodiverse campus
- Increase the number and quality of student gathering spaces
- Establish a new presence in London's downtown core to provide service to the community, and enrich arts and culture

To engage the world beyond our London campus, we will:

- Establish a larger physical presence in downtown Toronto
- Increase our international student population to 20-25%
- Double the number of international experiences for our students
- Offer a variety of learning experiences in strategic locations around the world

To deepen our commitment to sustainability, we will:

- Achieve net-zero emissions for campus operations by 2050
- Prioritize and invest in retrofitting existing buildings with energy-saving technology
- Engage with UN Sustainable Development Goals to help guide our work
- Position Western as a global leader in interdisciplinary sustainability research
- Create a new sustainability research fund that prioritizes our local and regional partnerships and that creates new experiential learning opportunities for students

SUMMARY OF CONSULTATIONS

Between September 20, 2020 and April 8, 2021, the Strategic Planning Steering Committee engaged the Western community in more than 90 facilitated consultation sessions to solicit input on Western's next strategic plan, including multiple opportunities in several faculties and units.

General Consultations

Board of Governors
Don Wright Faculty of Music
Facilities Management
Faculty of Arts & Humanities
Faculty of Education
Faculty of Engineering
Faculty of Health Sciences
Faculty of Information & Media Studies
Faculty of Law
Faculty of Science
Faculty of Social Science
General Student Forums (4)
Hospitality Services
Housing & Ancillary Services
Human Resources
International Student Forums (3)
Ivey Business School
Leaders' Forum
Office of Faculty Relations
Office of the Registrar
PMA Executive
Police Services and Fire Safety
Professional Network Forum
School of Graduate and Postdoctoral Studies
Schulich School of Medicine & Dentistry
Senate
Senate Committee on University Planning
Student Experience
University Advancement
UWOFA Board
UWOSA Staff Forum
Western Communications
Western International
Western Libraries
Western Research
Western Technology Services

Theme Group Consultations

Alumni Association
Associate Deans Research
Centre for Teaching and Learning
Climate Action London
Climate Crisis Coalition
City of London (Mayor, City Manager, selected Councillors)
City of London Sustainability Managers
Department of Geography and Environment Council, Staff and Student Representatives
Director, Western Sustainability
EDI Action Network
Equity and Human Rights Services
Envirowestern
Executive Director, Network for Business Sustainability
Faculty of Education Curriculum Specialists
Faculty of Social Science Graduate Council and Staff
Indigenous Faculty Advisory Group
Indigenous Postsecondary Education Council
Indigenous Student Centre
London Chamber of Commerce
London Community Foundation
London Economic Development Corporation
Office of Indigenous Initiatives
Pillar Nonprofit Network
President's Advisory Committee on Environment & Sustainability
Research Officers
Residence Council Presidents
Residence Managers
Society of Graduate Students Executive
Special Advisor on Faculty Employment Equity
Special Advisor to the Provost (Indigenous Initiatives)
Students in Gender, Sexuality and Women's Studies course
Students with Accessibility Needs (focus groups)
Teaching Award Recipients (focus group)
Teaching Fellows
Thames Talbot Land Trust
Undergraduate Engineering Society Sustainability Committee
United Way Elgin Middlesex
University Research Board
Vice-Provost (Academic Planning, Policy & Faculty)
Western Continuing Studies
Western Mustang Athletes (focus group)

Surveys

- 1 general survey – January 20 to March 17
- 7 theme-based surveys – January 27 to March 31
- 2 Housing and Ancillary Services staff – March 22 to April 1
- 1 Facilities Management staff – March 22 to April 1

Written Submissions

- 12 written submissions were received from groups and individuals

By the Numbers

- More than 3,700 inputs via consultation participation or surveys
- Over 90 facilitated consultation sessions via Zoom
- More than 700 online surveys completed
- 650+ students engaged
- 2,800+ faculty and staff engaged
- 200+ alumni engaged
- 40+ community members engaged

STRATEGIC PLANNING STEERING COMMITTEE

Thank you to the 37 members of the 2020-21 Strategic Planning Steering Committee. Their unwavering dedication, contributions, insights, and guidance during an already challenging time will have a significant impact on the future of Western University.

Kenisha Arora	Michael Milde
Sue Bennett	Eunice Oladejo
Camryn Bonn	JB Orange
Mark Brown	Adam Pacyga
Jason Brown	WG Pearson
Candace Brunette-Debassige	Sarah Prichard
Matt Davison	Matt Reesor
Keith Gibbons	Lesley Rigg
Alison Hearn	Jennifer Robinson
Volker Hocke	Clare Robinson
Sharon Hodgson	Sophie Roland
Andy Hrymak	David Sandomierski
Nicole Kaniki	kirstyn seanor
Dayana Kibilds	Alan Shepard, Chair
Abdel-Rahman Lawendy	David Simmonds
Deishin Lee	Kasey Van Hedger
Christopher Lengyell	Nadine Wathen
Isaac Luginaah	Chris Watling
Beth MacDougall-Shackleton	

The Strategic Planning Steering Committee was established in October 2020. It included 21 members selected through an open nomination process and approved by Western’s Senate and 15 members appointed *ex officio* or elected by other bodies.

(a) Twenty-one members nominated by an open nomination process and approved by Senate:

- Eleven members representing faculty, ensuring representation from every Faculty
- One member representing postdoctoral scholars
- Three members representing staff
- Two members representing research leaders
- Three members representing the University Students’ Council (USC) (in addition to the *ex officio* member listed below) - *These three positions were open for nominations (including self-nominations) for any undergraduate students, including those in second-entry programs (Business, Law, Education, and Medicine & Dentistry).*
- One member representing the Society of Graduate of Students (SOGS) (in addition to the *ex officio* member listed below) - *This position was open for nominations (including self-nominations) for any graduate student.*

(b) Ten appointed or elected members:

- One member elected by Senate (in addition to the *ex officio* member listed below)

- Two Deans appointed by the Provost
- Two members elected by the Alumni Association
- Two members elected by the Board of Governors
- Three members named by the Chair in consultation with the Chair of SCUP and senior leaders, one of whom will represent the London-Middlesex Community

(c) Six *ex officio* members:

- President & Vice-Chancellor (Chair)
- Provost & Vice-President (Academic)
- Vice-President (Research)
- Chair of SCUP
- President of USC
- President of SOGS

ITEM 4.7(b) – Status of the Rotman Institute of Philosophy

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

MOTION: That the Board of Governors approve that the Rotman Institute of Philosophy be established effective June 17, 2021.

EXECUTIVE SUMMARY:

The Rotman Institute of Philosophy supports philosophy in action: engaging with scientists in collaborative research teams to address deep and wicked problems. Part of Western University for over ten years, the Rotman Institute has grown tremendously in terms of faculty participation, partnerships and leveraged funding. The Rotman Institute of Philosophy has not yet formalized its institute status at Western University, limiting the ability to maintain a high level of research activity, and to create a path to long-term sustainability. Becoming a university-level Institute will allow for continuation of the upward trajectory, contributing to Western’s position as a leader in impactful, interdisciplinary research.

Scientists confront deep problems when familiar concepts, or views about how to conduct science itself, no longer lead to progress. Wicked problems arise when a complex challenge must be addressed by integrating scientific knowledge with broader policy goals and societal values. The Institute’s focus on deep and wicked problems aligns with the mandate of several major Canadian funding agencies to support interdisciplinary frontier research. The Institute will enhance Western’s ability to pursue integrative, collaborative research that generates social impact in areas such as the ethical and societal implications of artificial intelligence; ethics and public health policy; and the philosophy of neuroscience.

Within its first decade the Rotman Institute has become a globally recognized research centre for philosophy engaging with the sciences. The vision for the next five years aligns with Western’s core strategic priorities. The Rotman Institute aims to build on its institutional partnerships at Western, and to enhance existing relationships with regional and international Institutes with similar missions. The Institute will build capacity for faculty members to pursue related policy issues based on their work to enhance knowledge mobilization and societal impact for Institute projects.

Alongside external grants (\$10 million generated by nine core members since 2013), the Institute is currently funded by a generous, 15-year philanthropic gift from the Rotman Family Foundation that ends in the 2022/23 academic year. The renewal of philanthropic support will be strongly supported by formalizing institute status – a milestone that has been expressly desired by the Rotman family – as will fundraising efforts with other external sources, such as the Templeton and Trottier foundations.

The Rotman Institute is already enabling world-recognized research that incorporates the tools and independence of mind needed to explore novel approaches to deep problems, and the flexibility and interdisciplinary perspectives to tackle wicked problems. The transition to Western Institute status as outlined in this proposal will build on this impressive track record to achieve long-term vision of exciting and impactful work sustained by an enriching and creative community that is a destination for external

partners. The Institute will continue to fill a unique niche in the spectrum of Western's research strengths by integrating core humanities practice into the development and application of science.

ATTACHMENTS:

[Rotman Institute of Philosophy Proposal for Designation as a Research Institute](#)



ROTMAN INSTITUTE OF PHILOSOPHY

Proposal for designation as a Research Institute

Submitted in fulfillment of procedures for policy MAPP 7.9 --
Establishment, Governance and Review of Research Institutes,
Centres and Groups.



*Prepared by The Rotman Institute of Philosophy
Strategic Planning Committee
May 30, 2021*

Executive Summary

The Rotman Institute of Philosophy supports philosophy in action: engaging with scientists in collaborative research teams to address **deep and wicked problems**. Part of Western University for over ten years, the Rotman Institute has grown tremendously in terms of faculty participation, partnerships and leveraged funding – we now have 50 faculty members, and our core members have quadrupled the amount of external funding they receive each year in the last five years. However, we have not yet formalized our institute status at Western University, limiting our ability to maintain this level of research activity, and to create a path to long-term sustainability. Becoming a university-level Institute will allow us to continue on our upward trajectory, contributing to Western's position as a leader in impactful, interdisciplinary research.

Tackling Deep and Wicked Problems

Scientists confront **deep problems** when familiar concepts, or views about how to conduct science itself, no longer lead to progress. Contributions by Rotman faculty to deep problems in physics include a seminal critical assessment of the nature and aims of cosmology, and proposals for new concepts needed to describe black holes. Rotman faculty have defended novel organizational principles for the structure of the brain to resolve deep problems in cognitive neuroscience. Work on deep problems in these and other areas builds on the independence and flexibility encouraged by a philosophical mindset.

Wicked problems arise when a complex challenge has to be addressed by integrating scientific knowledge with broader policy goals and societal values. The Institute has a particularly strong track record on wicked problems in health policy and medical research, including the formulation of ethical guidelines that enabled novel types of medical research. The diverse contributions Rotman members have made to the

pandemic response, from serving on policy-making bodies to launching a collaborative national research platform, further illustrate the depth of research talent in this domain.

The Institute's focus on deep and wicked problems aligns with the mandate of several major Canadian funding agencies to support interdisciplinary frontier research. We will enhance Western's ability to pursue integrative, collaborative research that generates social impact in areas such as the ethical and societal implications of artificial intelligence; ethics and public health policy; and the philosophy of neuroscience.

International Standing

Within its first decade the Rotman Institute has become a globally recognized research centre for philosophy engaging with the sciences. Western has built a strong tradition in philosophy over the last half century, acknowledged with top global rankings in areas related to the Institute's mandate. The strength of our research community in philosophy enables us to attract excellent faculty, trainees, and collaborators from around the globe. Rotman trainees now hold faculty positions at top universities on three continents, and Rotman faculty have received several international grants and research awards.

Partnerships

Institutional partnerships contribute to our long term vitality and stability, and the Institute has several fruitful partnerships at Western. The Institute has particularly close ties with the Brain and Mind Institute (BMI), reflected in shared membership and overlapping research agendas, that will continue to yield innovative projects and distinctive training opportunities. There are new collaborations developing with the Institute for Earth and Space Exploration, and several research areas with potential for further work. The Rotman Institute stands out from other Institutes at Western in showcasing the value of including the humanities in collaborative, interdisciplinary teams.

We aim to build on these connections at Western, and to enhance existing relationships with regional and international Institutes with similar missions. Institute faculty collaborate with researchers in top departments and institutes around the world, and we aim to transition

from informal, collegial arrangements to long-term partnerships. Doing so will help us to assemble competitive proposals for large-scale, collaborative grants offered by the New Frontiers in Research Fund, Canada Excellence Research Chairs program, National Institutes of Health (USA), and Tri-Council programs (CIHR Project, SSHRC Partnership, NSERC Alliance). The transition to formal institute status will enhance our ability to form lasting partnerships, and increase our competitiveness for these funding programs.

Institute Goals

1. To foster success for Rotman Institute researchers at all levels.
2. To create a research environment that fosters innovative solutions to deep and wicked problems.
3. To provide distinctive interdisciplinary training for students in the sciences and humanities.
4. To integrate philosophical and ethical considerations into scientific research, the development of technologies, and public policy.
5. To inform and engage the public on deep and wicked problems.

Enhancing Western's Strategic Priorities

Our vision for the next five years aligns with Western's core strategic priorities. We will catalyze new research projects with researchers across campus, focussing in particular on building capacity for research addressing wicked problems. Throughout, principles of equity, diversity, inclusion, and decolonization (EDID) will guide research design for Institute projects. We will build capacity for faculty members to pursue related policy issues based on their work to enhance knowledge mobilization and societal impact.

Expanding a Record of Fundraising Success

Becoming a formal institute will enable a path to long-term sustainability. Alongside external grants (\$10 million generated by nine core members since 2013), the Institute is currently funded by a generous, 15-year philanthropic gift from the Rotman Family Foundation that ends in the 2022/23 academic year. The renewal of philanthropic support will be strongly supported by formalizing our institute status – a milestone that has been expressly desired by the Rotman family – as will alternative fundraising efforts with philanthropic organizations including the Templeton and the Trottier Family Foundations.

The Rotman Institute is already enabling world-recognized research activity that incorporates the tools and independence of mind needed to explore novel approaches to deep problems, and the flexibility and interdisciplinary perspectives to tackle wicked problems. The transition to Western Institute status as outlined in this proposal will build on this impressive track record to achieve our long-term vision of exciting and impactful work sustained by an enriching and creative community that is a destination for external partners. The Institute will continue to fill a unique niche in the spectrum of Western's research strengths by integrating core humanities practice into the development and application of science.

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1 Introduction

1.1 VISION AND MISSION

Where we are going (our aspiration)

We integrate scientific and philosophical analysis to address complex and socially relevant questions.

What we do (our purpose)

The Rotman Institute supports projects that merge philosophical inquiry and science to address the most difficult questions facing humanity. What is the origin of the universe? What is consciousness, and where and how does it manifest? When and how is the use of medical or other forms of technology ethical? How should we prepare for the emerging wave of intelligent technologies? How can we create sustainable models of living on this planet? Such questions can be difficult in two ways. Some questions are foundational, and force us to reconsider the nature of scientific inquiry itself.

Science constantly reinvents itself, revising its aims and methods in light of new challenges. The scientific study of consciousness, or the origins of the universe, may have to proceed in unexpected ways. Other questions touch on so many different aspects of human existence that it is impossible to grasp or address them in isolation. Their resolution requires integrating different disciplines and incommensurate values and perspectives. At the Rotman Institute we specialize in addressing the deep and wicked problems that lie at the intersection of science and philosophy. Such questions can only be addressed by marshalling our efforts across disciplinary boundaries and creating transdisciplinary teams and methods.

What guides us (our core values)

The Rotman Institute of Philosophy is committed to ensuring the social relevance of our work. We are committed to breaking down the barriers that prevent communication between different perspectives, whether these arise between disciplines, between the academy and the public, or within society at large. Philosophers are especially well equipped to do this, for by its nature philosophy focuses on broad questions that span several fields, integrates and synthesizes ideas, and investigates normative issues. Because we recognize that addressing deep and wicked problems requires the confluence of multiple perspectives, we are committed to reaching out to and including myriad voices to help our work progress. This includes a commitment to engaging stakeholders

DEEP PROBLEMS

cannot be solved by continuing to apply familiar concepts and methods. These foundational challenges may stem from taking preceding theories, or views about the nature of science, as authoritative and fixed; in other cases, they reflect a mismatch between methodology and research questions. History shows that an ability to reconsider these assumptions, and to revise the aims and nature of inquiry itself, has been crucial to success.

WICKED PROBLEMS

often arise in policy contexts, when a complex challenge has to be addressed by integrating scientific knowledge with broader policy goals and societal values. A clear and unique formulation of the problem itself is controversial, as candidate formulations reflect background values or a disciplinary perspective. Failures in addressing wicked problems often stem from focusing excessively on an aspect of the problem tractable from a single disciplinary or technical perspective.

outside of the academy, to create mutually beneficial relationships with policy-makers, the public and other knowledge users, building on the principles of reciprocity and trust to increase the relevance of our work to society and, specifically, to addressing social inequalities. We are further committed to the principles of equity, diversity, inclusion, and decolonization (EDID) intellectually, socially and practically, which will be reflected in recruiting participants (at all levels) in Institute projects, providing opportunities and mentorship to our members, and integrating EDID principles in research design. Finally, we are committed to instilling the skills and values, and communicating the importance of interdisciplinarity in the next generation of philosophers and scientists.

1.2 BACKGROUND

Western has been home to a flourishing, internationally recognized program in philosophy of science for a half century. Maintaining this research strength has been a long-term strategic priority, reflected in the commitment of faculty lines (including CRCs) and the designation of philosophy of science as a signature research area. Building on this standing and record of research excellence, Western successfully attracted philanthropic support to establish the Rotman Institute of Philosophy in 2008, with a donation from the Rotman Family Foundation (RFF). The Rotman Institute of Philosophy has pursued an agenda that complements and builds on the research strengths of Western's philosophy department, including applied ethics as well as philosophy of science. In the last four years, in particular, the Institute has made it possible for faculty members from across Western to address new research problems as part of collaborative teams. The external review conducted in May 2019 characterizes the Institute's first decade as enhancing and extending Western's position, leading to our current standing as a global leader.

International Standing

The Institute's global stature has enabled us to attract excellent faculty, trainees and research collaborators. Western's philosophy department consistently places near the top of international rankings of anglophone philosophy departments in several sub-fields (for example, tied for second in foundations of physics worldwide in the 2015 *Philosophical Gourmet Report*). Our core faculty lead research collaborations spanning

the globe. The following projects, placement outcomes, and research outputs illustrate our international standing:

- Rotman alumni (PhD and postdoctoral fellows) now hold faculty or research positions in 7 countries, including leading research universities (Harvard, Oxford, UCSD, Australian National University, and Ludwig-Maxmillians Universität (Munich)), and have won early career research awards such as the Marie Curie Fellowship.
- Michael Anderson's EMRG research group has active collaborations (co-authored journal articles) with scholars in Spain, the USA, the Netherlands, and the UK.
- Charles Weijer's current CIHR-funded project (\$780,300, co-PI with Monica Taljaard, Ottawa) on pragmatic clinical trials includes philosophers, doctors, and public health researchers from the UK, the USA, Australia, and France. Weijer has served on various international advisory committees, including most recently the WHO Working Group for Guidance on Human Challenge Studies in COVID-19.
- The Institute hosts two international research projects in foundations of physics funded by the John Templeton Foundation (New Directions in Philosophy of Cosmology, co-PIs: Smeenk and Jim Weatherall, UC Irvine, US \$ 1.37 million; Quantum Information Structures in Spacetime, co-PIs: Carlo Rovelli (Distinguished Visiting Fellow at Rotman, home institution: Université d'Aix-Marseille) and Christodoulou Marios, US \$2.22 million, with collaborators from 13 institutions, including Institute member Francesca Vidotto.)
- International research awards include the Patrick Suppes Prize (awarded by the American Philosophical Association for an outstanding book in philosophy of science, to faculty member Bill Harper), and the Popper Prize (for the best paper published in the *British Journal for the Philosophy of Science*, to postdoc Rachel Brown).

National Leadership

The external review acknowledged that the Rotman Institute's track record of distinctive interdisciplinary research puts it in a "unique position ... across all of Canada," further noting that "There is nothing else quite like it in the country." The Rotman Institute has established its position as a nationwide research leader in several areas, described in more detail below, as illustrated by:

- Reflecting the Institute's standing in health care ethics, faculty have contracted or collaborated with leading public institutions to tackle challenges in health ethics, law, and policy, such as the WHO, Canadian Institute for Health Information, and Ontario's COVID-19 Vaccine Distribution Task Force (to name a few).
- Western has the highest ranked Canadian programs in philosophy of mind and neuroscience and foundations of physics (according to the Philosophical Gourmet).
- Institute faculty in foundations of physics lead research collaborations with collaborators across Canada, including McGill, University of Toronto, Simon Fraser, Waterloo, and the Perimeter Institute.
- Competitive awards to support PhD students, including two Vanier, one Trillium, and seven Bombardier fellowships since 2013.
- National research awards, such as Fellowship in the Royal Society of Canada (Batterman, Weijer).

Since 2013, we have enhanced the national and local standing of the Institute through supporting these projects and sustaining an active research community:

- The Institute has awarded a total of \$142,000 (since 2008) to support early phases of projects leading to external funding. "New Directions in Philosophy of Cosmology" (co-PI: Smeenk), for example, launched with a \$25,000 catalyst grant, garnered \$2.12 million in total funding from the John Templeton Foundation
- From an average of roughly \$460,000 per year in total external funding awarded to core faculty, we have increased to an average of \$1.9 million per year

in 2018-20. In total, core members of the Institute have generated just over \$10 million in external funds in 2013-2020.

- We have increased from 12 to 26 graduate trainees residing in the Institute, with a similar increase in diversity in disciplinary backgrounds, and have funded collaborations with faculty (\$308,000 in support for graduate students, in total).
- We have maintained a cohort of 4-9 postdoctoral scholars, through internal funding and a variety of external awards. This is unprecedented for a philosophy Institute, and alumni have gone on to faculty positions at UCSD, ANU, and Queen's (for example).
- Since 2010 we have hosted 19 scholars for short-term visits to spur collaborations, and 14 long-term visitors (at least one term), including the internationally renowned physicist and best-selling author Carlo Rovelli.

Path Forward

The 2019 review, conducted by Professors Alisa Bokulich and Kathleen Akins, has an unambiguous central message: the Rotman Institute should become a university-level Institute. The reviewers gave 10 itemized recommendations, listed in Appendix C, which have shaped our formulation of this application.

Becoming a university-level Institute is the logical next step, building on our success and allowing us to recruit more leading researchers to contribute to our ambitious vision. Western granted the Institute space for further growth in the WIRB in 2017. This physical move has helped us to become a hub for interdisciplinary research and training. Leading researchers at Western are drawn to the Institute by, as Rob Corless (Distinguished University Professor, Applied Mathematics) put it, "the ability to pursue new questions falling outside their own disciplines, along with the clarity that philosophical thought brings to familiar problems." This has helped Corless to tackle more challenging questions regarding our use of computers in making reliable inferences and discovering new aspects of mathematics. Similarly, the Rotman Institute has supported researchers from across campus in approaching new research questions that require multidisciplinary perspectives, such as the examples listed below.

CURRENT ROTMAN RESEARCH

Examples of some of the research questions currently pursued by collaborative Rotman research teams.

- *How can we ensure scientific practices and methods are appropriate for generating knowledge?*
- *How can we ensure that automated decision systems (based on machine learning and big data) reflect our democratic values, and advance social justice?*
- *How should health authorities balance the promotion of population well-being with individual liberty?*
- *How can we effectively coordinate rapid-response research, and provide actionable advice to policy makers (such as in response to the COVID pandemic)?*
- *What does social justice require for public health policy and practice, particularly when responding to infectious diseases?*
- *Are deep neural nets a better model for the brain than classic neural networks were?*
- *What is the impact of open science publishing and data sharing practices on scientific progress?*
- *What information do organisms use to coordinate with their environments, and how does brain activity reflect this information?*
- *How should the best interests of children who do not have health decision-making capacity be promoted through a 'best interests' standard?*
- *How might we best coordinate an interdisciplinary treatment response to mental illness?*

In the next five years, we will furthermore support the development of research projects of broader scope, and seek funding through large-scale, collaborative grants. As a university-level Institute, the Rotman Institute would be able to much more effectively catalyze the early stages of development of appropriate projects through seed grants; assemble research teams with appropriate expertise and skills; and provide staff support for the development of proposals and management of successful awards.

1.3 INTELLECTUAL AGENDA

Philosophical training sharpens critical thinking skills, such as the ability to detect subtle gaps in standard views, to characterize concepts precisely, and to explore and develop radically new perspectives. Systematic philosophical work integrates insights and methodologies from the humanities and the sciences. This combination of incisive analytical skills and breadth of research questions bridging different traditions accounts for philosophy's enduring vitality and impact.

The Rotman Institute harnesses the distinctive capacities of philosophy, by supporting a specific kind of interdisciplinary work: philosophy in action, engaging with scientists in collaborative research teams to address deep and wicked problems.

Frontier Research in Physics

Frontier scientific research often encounters deep problems that cannot be solved by continuing to apply familiar concepts and methods. Several current Rotman Institute projects contribute to deep problems that arise in frontier research in physics. Chris Smeenk's work assesses the philosophy underlying contemporary cosmology. Enormous progress in cosmology over the past century has raised basic questions: for example, in what sense can we explain the origin of the universe? Answers to such philosophical questions have shaped the development of the field, while at the same time provoking foundational debates among cosmologists. Francesca Vidotto's research in quantum gravity requires rethinking the basic concepts of space and time, in order to develop concrete models of the early universe and black holes and evaluate their further implications. Rob

Corless's interactions with philosophers spurred him to reflect critically on when we can trust the solutions computers give us, leading him to develop an area of applied mathematics called backwards error analysis. More broadly his current work regards computational epistemology, assessing the strengths and limitations of what numerical methods and simulations can contribute to scientific practice.

Deep Problems in Neuroscience

Core members Mike Anderson, Jackie Sullivan, and Chris Viger, pursue deep problems in neuroscience. Decades of work in neuroimaging have led to a series of anomalous findings, indicating potentially significant problems with the foundational assumptions of cognitive neuroscience. Anderson and his group have been developing new theoretical frameworks for understanding the nature and functional architecture of the brain, new mathematical techniques for analyzing and interpreting data, and new uses for existing technologies (including EEG and Virtual Reality). They have also been pushing the field to move away from "brain-centric" investigations toward "organism-centric" approaches to the understanding of cognition and behaviour, which necessitates more intense collaboration across disciplinary boundaries. Progress in understanding the neural underpinnings of cognition and mental illness depends on the ability to integrate discoveries obtained using various distinctive methodologies. It also requires scientists to be transparent about the methods they use and to share their data openly. Sullivan aims to understand the practical challenges associated with developing coherent integrative explanations of cognitive and psychopathological phenomena, and the impact that open science knowledge and data-sharing practices have on accelerating discovery. She collaborates with Western neuroscientists Tim Bussey, Marco Prado and Lisa Saksida, along with researchers from Peking University in Beijing. Viger is developing what he calls the "acquired language of thought hypothesis," correcting an influential philosophical account of the nature of language based on insights from neuroscience. He will further consider the impact of this view for phenomena such as implicit bias, and its implications for more effective critical thinking pedagogy.

Wicked Problems in Policy

We are witnesses to our society's response to an exemplary wicked problem — namely, how to balance public health priorities with other policy goals in a pandemic. The pandemic has highlighted the need for an integrated approach that leverages scientific understanding to design an effective public health response. The differential impacts of both the virus and the public health measures on communities – for example, the effects of sustained school closures on women and low-resource families – make clear the need for prescient and explicit values-based priority setting as part of this process. In this case, the public health and policy communities were not well-positioned to serve this function, as they were fully engaged with the developing crisis, and furthermore did not have the requisite expertise or broad perspective.

This case illustrates a common shortcoming in addressing wicked problems. Wicked problems are often mistakenly treated as one-dimensional, with a feature of the problem more tractable from a given disciplinary perspective considered in isolation. Many traditional philosophical problems are wicked, and philosophers are particularly aware of the pitfalls of oversimplification and failing to integrate different perspectives. Conflicting perspectives on the problem lead to, for example, different metrics to evaluate the success of proposed policy interventions. Philosophical analysis can help to identify assumptions about values reflected in these metrics, which often are not acknowledged as an explicit choice subject to evaluation, debate, and revision.

Addressing climate change and the ongoing biodiversity crisis present two other exemplary wicked problems: it is very difficult to even come to agreement on the nature of the problems, or whether a specific aspect of the problems can be treated effectively in isolation. Any proposed responses have to face complexity, uncertainty, and profound ethical challenges, not to mention the difficulty of communicating the urgency of these policy initiatives to the public. Eric Desjardins' work explores the implications of social-biological entanglement and historical contingency for problems such as biological conservation, climate change mitigation, and sustainability.

Intersection of Health Policy & Medical Research

Addressing wicked problems at the intersection of health policy and medical research has been one of the Institute's strengths since its founding. One of the signature achievements of the Institute's first decade was the formulation of the world's first ethical guidelines for conducting cluster randomized trials, which randomize and assess interventions over intact social units rather than individuals. Weijer was a co-leader of the interdisciplinary team that wrote these guidelines. He currently co-leads a team focusing on formulating ethical guidelines for conducting pragmatic clinical trials, designed to yield more reliable evidence regarding safety, effectiveness, and cost of treatments in real-world settings. Weijer's recent work on challenge experiments has been particularly valuable and has had broad impact, including frequent media appearances and membership on a WHO working group. The second core member working in this area, Anthony Skelton, has sought to clarify how medical interventions continue to impact values and concepts, including achievement, consent and decision-making capacity. He is part of an interdisciplinary team investigating the nature of children's consent in ethics and the law, building in part on his previous work on the nature of well-being. More recently, Skelton has focused on the ethics and policy of mandatory vaccination. Together with associate members Max Smith and Lisa Forsberg he is investigating the conditions under which it is justified to mandate vaccination for health-care workers, and for society more generally.

The Institute has developed a stronger research profile in public health policy with the recent addition of associate members Max Smith and Jacob Shelley, co-directors of the Health Ethics, Law, and Policy (HELP) Lab in the School of Health Studies. Smith has received funding to work on ethical pathways for therapeutics and vaccine R&D in the context of a public health emergency. He has written on many ethical issues relating to the current pandemic, including publication ethics in pandemics and the distribution of scarce medical resources. Smith currently sits on the Province of Ontario's Bioethics Decision-making Table and works with the WHO. Associate faculty member Sarah Gallagher is a co-PI on the CoVivre Initiative (funded by the Trottier Foundation), which aims to: (1) enhance protective measures for at-risk communities, (2) mitigate collateral effects on

mental health and social well-being, and (3) reduce inter-community conflicts associated with the pandemic, focusing on Montréal. We aim to support continued growth of the Institute's research profile in public health policy and research ethics.

Unexpected Consequences of Innovation

Scientific innovations and new technologies can also trigger changes that call for philosophical reflection and analysis. When they are first introduced, successful technologies make something that we were already doing easier. Yet some technologies trigger a transformation, changing the nature of the activity itself in profound ways. Social media companies initially offered tools to maintain contact with friends, for example, but have transformed how most people learn about the world – with enormous unanticipated negative impact on public discourse and trust in institutions. The new capacities for action that technology creates may generate entirely new ethical issues, or require rethinking basic concepts and assumptions. We are witnessing the consequences of failing to prospectively identify and anticipate the ramifications of new technologies.

Within the last three years, the Institute has supported two emerging research projects regarding the implications of scientific innovation and new technologies. The first regards synthetic biology; the developing technical capacity to engineer, design, and build biological systems. Desjardins has collaborated with the synthetic biology group at Western to consider the broader ramifications of this ground-breaking work, specifically regarding its implications for health and environmental issues. These are examples of disruptive technologies where historical contingency and socio-biological entanglement play an important role in guiding both research activities and regulation of their application. The second emerging project regards the ethical and societal implications of Artificial Intelligence (data analytics and machine learning algorithms). Rotman members (in particular Anderson, Jacquelyn Burkell, Carolyn McLeod, Smeenck, and postdoc Bartek Chomanski) have contributed to developing new curriculum at several levels, and creating an interdisciplinary reading group that led to an emerging IDI proposal.

Institute faculty have also led efforts to coordinate and integrate research efforts across diverse fields, and to

develop new ways to put reliable information into the hands of decision makers, community leaders, and the general public, in response to the pandemic. Associate members Gallagher and Mark Daley were co-founders (along with two others) of CanCOVID, a country-wide rapid-response network to facilitate coronavirus research, collaboration, and communication. CanCOVID was mandated by the Office of the Chief Science Advisor and supported with a \$ 1.25 M investment by Innovation, Science and Economic Development Canada as well as Health Canada, to help coordinate scientific evidence needed in the fight against COVID-19.

1.4 PARTNERS

Western Institute for Neuroscience

The Rotman Institute has developed a fruitful strategic partnership with the Brain and Mind Institute (BMI), now part of the Western Institute for Neuroscience, enhanced by co-location in the WIRB. The overlap between members of the two Institutes – with 4 out of 9 core members of the Rotman Institute also members of the BMI – reflects our shared mission. This relationship has led to innovative research projects along with distinctive opportunities for trainees in both Institutes. Several collaborations have allowed researchers to extend to new research topics and enhance impact. For instance, moving forward on the “organism-centric” approach to cognitive neuroscience mentioned above requires devising more realistic environments and tasks, which Anderson and his group pursue in collaboration with the Culham ARI (Actions and Real World Imaging) lab. From 2014-2018, Adrian Owen and Weijer led a neuroethics research group bringing together faculty and trainees from both Institutes to explore ethical questions raised by neuroimaging after severe brain injury. More recently, Sullivan has joined the Translational Cognitive Neuroscience Laboratory (PIs: Bussey and Saksida) as part of a SSHRC-funded project regarding the scientific practice of neuroscience. Anderson’s EMRG research group works particularly closely with several BMI members, in pursuing empirical investigations alongside more philosophical work. The two Institutes have regularly co-sponsored speakers, visiting fellows, and international conferences. Before the onset of the pandemic, the two Institutes regularly hosted coffee breaks and other meetings to stimulate further projects and collaborations. Researchers in the two Institutes have also worked closely together as a result of the

Lab Associates program, a distinctive training initiative described below. In short, maintaining this productive strategic partnership enhances the research and impact of both Institutes.

Institute for Earth and Space Exploration

Several institute members are also members of the Institute for Earth and Space Exploration. Two ongoing collaborations reflect the synergies between the two Institutes. The first is a successful 2020 Western Space seed grant proposal led by Rotman member Smith, co-I Skelton, on “Heath Ethics in Space: Toward a Research Agenda for Space Bioethics.” This project has clear real-world applications for human deep space exploration which have become directly relevant with Canada’s declared partnership with the US in the Lunar Gateway program. Rotman and Western Space are also co-sponsoring the policy forum on Space as a National Asset for Canada (originally planned for June 2020, but delayed by the pandemic until it can be held in person), structured as a pilot model for such events that will use design-thinking inspired workshops led by graduate students to deliver policy white papers on the uses and benefits of space for Canada. The growing use of Earth observations data to characterize climate change effects and monitor emissions and the expansion of artificial intelligence to manage deep space healthcare and operations would be additional fruitful domains for future joint projects with Western Space.

Perimeter Institute for Theoretical Physics

The Institute has informal relationships with a variety of other research institutes in the region and globally. We have jointly hosted conferences and workshops with the Perimeter Institute for Theoretical Physics in Waterloo, and there have been regular contact among faculty members in both Institutes. We have strengthened these connections due to Vidotto’s arrival, because she has close research ties to several faculty members in the Perimeter Institute. We will revisit the possibility of closer ties with the Perimeter Institute and how that could contribute to the Rotman Institute’s research and training goals. We have similar informal connections with several other research institutes globally, typically mediated through research collaborations among individual faculty members. We will aim to establish stronger relationships, supporting further research collaborations and training opportunities, with appropriate counterparts.

2 Contributions to Western's Mission

The Rotman Institute leverages Western's decades-long legacy of research strength in philosophy of science in alignment with the core priorities of the University's Strategic Plan.

Leadership through Interdisciplinary Research

Funding agencies at all levels have prioritized support of interdisciplinary research, and the Rotman Institute's track record in research and training will enhance Western's leadership role in pursuing these initiatives. The focus on deep and wicked problems crosses disciplinary domains and offers versatility and complementarity to other research institutes already established. Perhaps uniquely among existing Western Institutes, humanities and science scholars will be present on every project team. Teams will be further rounded out by scholars from other domains including information and media studies, engineering, and social and health sciences. The Institute membership already encompasses members from eight faculties: interdisciplinarity is inherent in its mission and vision.

Embedding Equity, Diversity, and Inclusion in our Research Culture

Our commitment to EDID principles is reflected in our sustained effort to create a diverse and inclusive research community, and to address obstacles to full participation in this community faced by our trainees and colleagues from under-represented groups. (Specific plans for embedding EDID principles in practice are described in Appendix G below.) The track record of our graduate and postdoctoral alumnae reflects our success

in doing so, in at least one regard: we have consistently exceeded disciplinary norms for participation by people from under-represented groups, in decisions made by the Institute such as hiring of postdoctoral fellows, and invitations to speakers and visiting fellows. Furthermore, EDID principles motivate and shape the design and implementation of several Institute projects. As emphasized above, wicked problems are often rendered more tractable by focusing on a narrow technical issue, while setting aside broader questions and excluding relevant concerns. One developing project on algorithmic impact assessment illustrates this point particularly clearly. Governments have become increasingly invested in developing automated decision making systems, based on machine learning algorithms applied to big data sets. There are many appealing features of these systems (including efficiency and lower cost), but the downstream impacts of their widespread use is challenging to assess and varies across different groups. In particular these systems often perpetuate, rather than correct, historical patterns of discriminatory sorting and exploitation. The IDI project (PI: Luke Stark) supports the design and implementation algorithmic impact assessments, on the model of environmental impact assessments, in order to ensure transparency and accountability to the public.

Mobilizing Knowledge

The primary expansion of the Institute's activities outlined in this proposal will develop further capacity for the application of research in philosophy engaged with science to directly impact policy. Explicitly offering training to faculty in the tools, landscape and language of policy, connecting with organizations with a policy focus, and sponsoring hosting of and attendance at policy forums will enable achievement of this goal. We will build on the expertise of our faculty members who pursue policy impacts. For example, the members of the HELP lab have developed collaborative relationships with a variety of different public health groups, from government agencies to advocacy groups, which has helped them to more clearly identify the needs of different knowledge users. As part of our commitment to EDID principles, we will strive for an inclusive approach to identifying stakeholders and to engaging with them. The project funded by the Trottier Foundation (co-PI: Gallagher), for example, prioritizes communication with communities with low levels of trust in public institutions resulting from historical injustices. We will continue to support policy work in this area, while also developing this expertise

for other groups within the Rotman Institute. We will work with the Knowledge Exchange and Impact Team at Western Research to identify success metrics that align with the Institute's objectives and the objectives of external stakeholders. In addition, we will design outreach activities that inform and engage the public and take research activity out of the academy, to increase the reputation of the Institute and mobilize knowledge for societal benefits.

Going Global

Rotman projects by nature cross national boundaries: problems such as developing ethical frameworks for climate change adaptation and mitigation, exploring the nature and origins of consciousness, and incorporating values into technology design are not specific to one country. Rotman faculty already have strong international collaborations and are being supported by global funding organizations (such as the Templeton Foundation). At present, the Institute is a destination for postdocs from abroad with independent funding, and a destination of choice for senior scholars through our visiting scholars program. The transition to institute status will enhance the Rotman Institute's international stature as a valued partner in projects with global reach.

Preparing Global-Ready Graduates

Training in philosophy of science and ethics develops scholars characterized by their ability to abstract and generalize technical challenges and identify weaknesses in practice that are often blind spots for scientists. As acute and critical observers of the process of science, and questions regarding values implicated in scientific discoveries, they can independently evaluate where scientific tools (such as standard statistical tests or computer algorithms) are inadequate or being inappropriately used. They can recognize that technology applied without prior thoughtful consideration and evaluation can have unintended and inequitable negative consequences. They thrive on dealing with uncertainty and tangled, difficult intellectual challenges that leave many scientists at a loss. In addition to these skills, the value-added for Rotman Institute alumni will be the experiential learning of being embedded in teams tackling deep and wicked problems of global significance. This will put them in direct contact with multidisciplinary networks for their future career development. In addition, the explicit training in the communication practices of

government (e.g., how to distill a complex technical issue into a policy recommendation in a briefing note) will be a valuable skill set for service in the public sector in Canada or abroad.

Partnerships with Impact

The productive interplay between the Rotman Institute, Western Space, and the Western Institute for Neuroscience will powerfully enhance the research potential of each Institute, as described above. The transition to institute status will also enhance our ability to move from informal arrangements, mediated by interactions among individual faculty members, to long-term partnerships with regional and international partners with similar missions.

Opportunities for Philanthropic Support

Philanthropic organizations have mobilized in the wake of the pandemic and other large-scale crises to fill in gaps where the machinery of government does not allow agile experimentation to find innovative and effective solutions to difficult problems. The type of work that will be supported by the Rotman Institute fits within this mandate; projects led by Rotman faculty have already been identified as serving the mission of philanthropic organizations (including the Templeton and the Trottier Family Foundations). Elevation to Institute status will increase the competitive advantage for Institute-led projects by reducing the risk to foundations that projects will not have sufficient support to follow-through on their proposals.

3 Goals

The Institute will pursue five goals related to research, teaching, and societal impact. For each goal we characterize how the creation of a university-level Institute adds value, enabling us to pursue more ambitious objectives and enhance our contribution to Western's mission. Appendix E describes in more detail the outputs, outcomes and mechanisms associated with each of these goals, summarized in Table 3.

3.1 RESEARCH

To foster success for Rotman Institute researchers at all levels.

We have already established the Rotman Institute as a premier research destination, with a critical mass of active researchers and trainees in several research areas, and a positive, collaborative research environment. We will build on this success and take the Rotman Institute to the next level by: increasing the capacity to create global, interdisciplinary collaborations; recruiting top junior scholars; maintaining a global Rotman research network; increasing the diversity of Institute membership and ensuring a positive workplace environment.

To create a research environment that fosters innovative solutions to deep and wicked problems.

The Rotman Institute will catalyze interdisciplinary projects, through connecting researchers with diverse expertise and removing barriers to effective collaboration. Our vision is to establish the Rotman Institute as the hub of a dynamic research network. Nodes in this network, consisting of researchers with relevant expertise, will form around specific challenges, then disperse as the project draws to a close and their members form new nodes. We will select the projects with the greatest potential for impact, and seek support for a longer period of focused collaborative research

through large-scale grants or philanthropic fundraising. To achieve this vision we will: increase capacity to identify challenges and recruit members for interdisciplinary research teams, and enhance development of long-term interdisciplinary research teams.

3.2 TRAINING

To provide distinctive interdisciplinary training for students in the sciences and humanities.

Since its founding the Institute has offered distinctive training modeled on the sciences, with graduate students joining collaborative research groups alongside faculty members and postdocs. Participating in a truly interdisciplinary research environment adds value to graduate training in other senses as well, by developing professional skills through collaboration, communication with diverse audiences, and networking across disciplines. This broad training has served Rotman graduates well, in particular for those who have put their skills to use in the business world and the public sector. Our success in graduate recruitment and placement record reflects the value added by this training, in terms of research output and leadership skills. We will build on existing training initiatives over the next five years in pursuing two objectives: building capacity of trainees to pursue problems across disciplines, and integrating trainees at all levels into interdisciplinary research teams.

3.3 SOCIETAL IMPACT

To integrate philosophical and ethical considerations into scientific research, the development of technologies, and public policy.

Rotman faculty members are well-positioned to make distinctive contributions to wicked policy problems, through integrating ethical considerations and advocating for a more inclusive approach. We will develop the capacity for Institute faculty to engage with policy work through training and networking (with local and international partners), as well as raising the profile of Rotman faculty working in these areas.

To inform and engage the public on deep and wicked problems.

Building on a variety of successful activities, including an annual public lecture series, active social media presence, and regular contributions from Institute faculty in venues such as The Conversation, we aim to reach a larger audience. We will seek more opportunities for a productive mutual exchange rather than merely dissemination, and provide training and incentives for Institute members at all levels to pursue public outreach.



4 Membership

The Institute's success will depend on maintaining a committed group of core faculty, complemented by a dynamic faculty cohort that joins the Institute to pursue specific research projects. Flexibility and openness to new members will be crucial to maintaining the vitality of the Institute and catalyzing new projects. We have recruited new associate faculty members from across Western as the Institute's work has extended into new areas. The Rotman Institute currently has 50 faculty members, including nine core members and 41 associate members from a variety of disciplinary backgrounds. Sixteen associate members have primary appointments at other universities or Institutes. We propose two changes to existing practices. First, we will expand the cohort of core faculty, from 9 to around 15-20, to reflect the level of participation and engagement of several associate members, while also refining the benefits and obligations of membership. Second, we will create a category of "external associate" members to more accurately characterize the obligations and responsibilities of our members from outside Western.

The Rotman Institute is committed to equity, diversity, inclusion, and decolonization (EDID) in our membership, as an essential part of creating the intellectual

environment needed to achieve our goals. We strive to meet Canadian Research EDID standards by supporting equitable funding opportunities, promoting diversity, and increasing inclusive participation in research and institute decision-making. To facilitate the continuous renewal of ideas and approaches, we will recruit members for both permanent and rotating membership and residence at the Institute. As we manage this expansion we will, consistent with our core values, seek to increase the representation of people from groups currently un- or under-represented at the Institute. We seek diversity along multiple different axes, including race or ethnicity, gender, sexual identity, and career stage.

4.1 ALTERNATIVE WORKLOAD AGREEMENTS

No alternative workload arrangements are proposed for Institute faculty members. Researchers who contribute to governance, either as Director or Associate Director, should receive accommodation for their service workload through their home Department or Faculty. The Director's position is expected to require 30-40% of their workload, requiring (at least) one full course teaching release; currently the Associate Director receives a half-course teaching release.

4.2 OPPORTUNITIES FOR FACULTY GROWTH

The Rotman Institute aims to enhance Western’s ability to pursue integrative, collaborative research with greater social impact. One essential step towards reaching this goal is to hire more researchers with the appropriate training, skills, and orientation to take the lead in this style of work. Decisions about faculty hiring are made by departments and Deans, not Institutes. Our role is to help identify opportunities and recruit excellent new faculty

members. In that spirit, we have identified three areas where additional faculty resources would have immediate impact: the ethical and societal implications of artificial intelligence; ethics and public health policy; and the philosophy of neuroscience. If we have an opportunity to assist in recruiting new faculty, we will prioritize EDID goals. We acknowledge the importance, as emphasized in Western’s action plan for Canada Research Chairs, that the research areas for any searches should be construed broadly to ensure a diverse applicant pool.

Figure 1. Faculty & department affiliations of core and associate faculty members at Western University

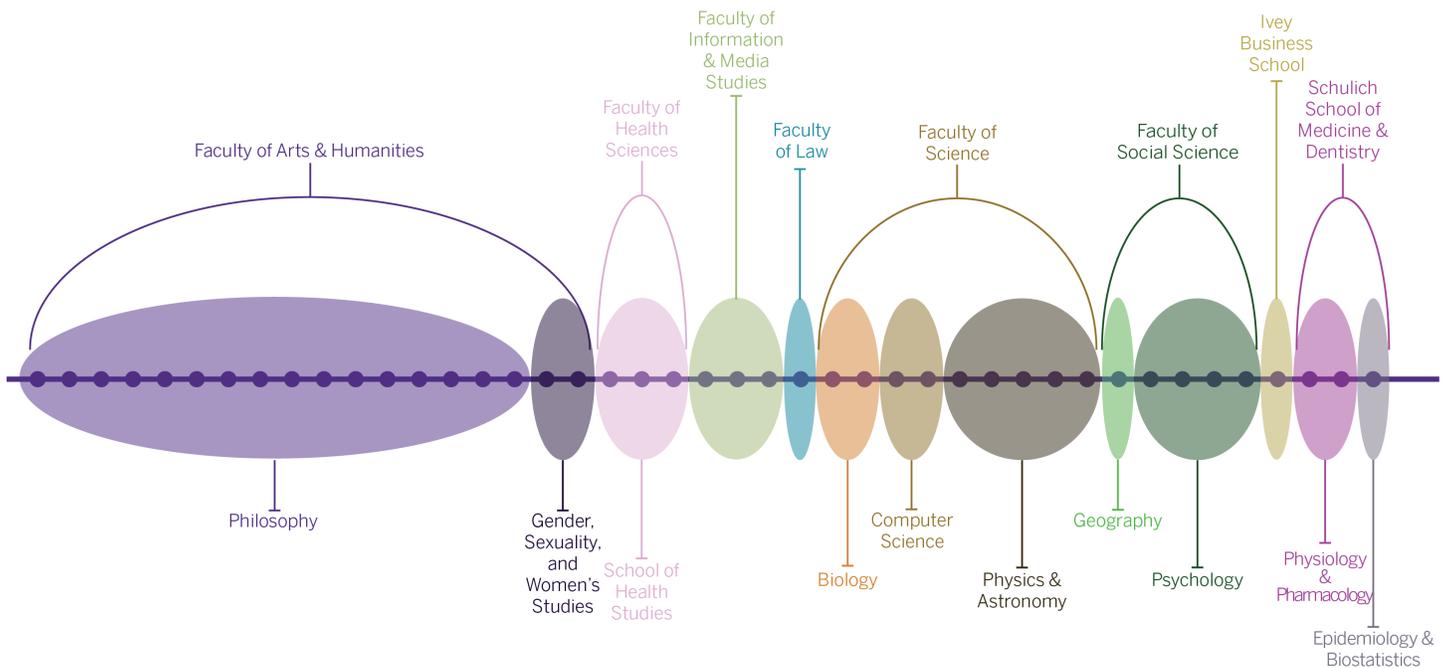
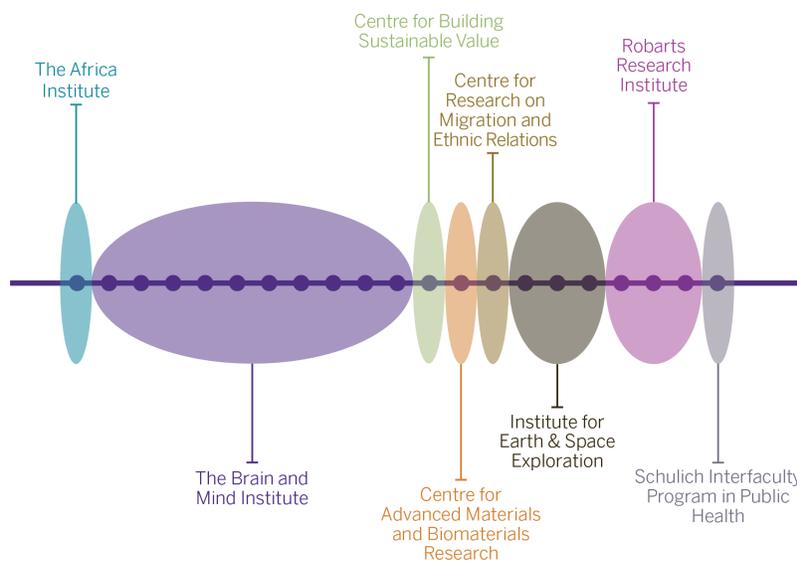


Figure 2. Western Research Centres & Institutes that include Rotman core and associate faculty members



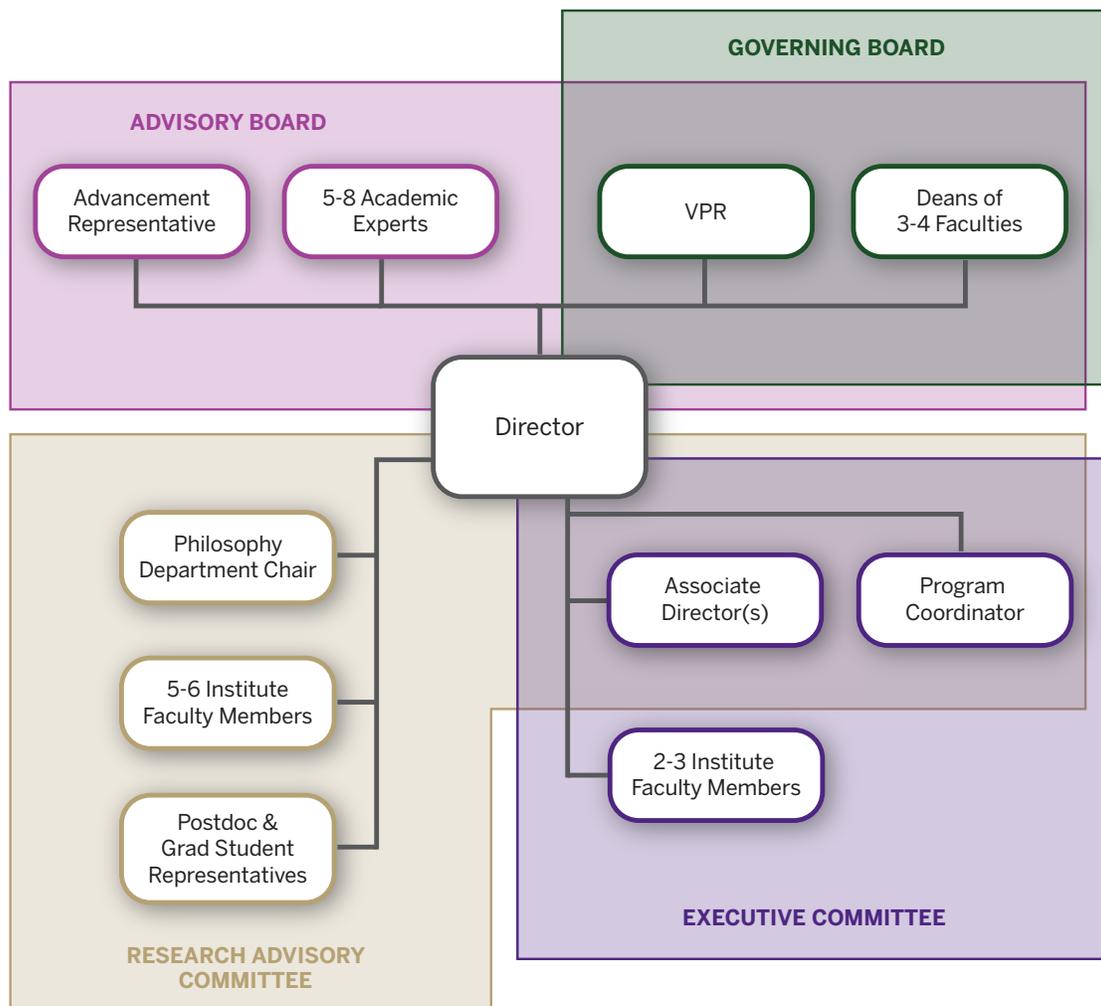
5 Governance

The executive team for the Institute will include a Director (faculty), one or more Associate Directors (faculty), and administrative officer(s) (staff). The Director will have primary responsibility for fulfilling the Institute’s Vision and Mission, including managing the budget and setting strategic priorities. The Director will oversee the team, assigning specific portfolios and duties to the Associate Director(s) and the staff members.

The Director will report directly to the Vice-President Research (or designate), and to the Institute’s Governing Board. The mandate of the Governing Board, chaired by the Vice-President Research (or designate), will include sign-off authority on Institute programs, annual approval of the budget, and review of vision and strategy and metrics for evaluating success. The Director will act as the liaison with the Governing Board and the Advisory Board, whose mandate is to provide advice on strategic priorities. The Director will chair two committees that meet regularly during the academic year: an Executive Committee that will provide oversight for day to day operations, and a Research Advisory Committee that will provide insight and guidance to the Director and Executive Committee from the research community.

The governance structure is depicted in the organizational chart below, with further information about the mandates, responsibilities, and selection process for administrative officers and committees in Appendix F.

Figure 3. Proposed Organizational Chart



6 Financing and Support

6.1 MANAGEMENT OF FUNDS

The Director will oversee and manage Institute funds, based on a budget approved by the Governing Board. The budget will be reviewed and approved annually by the Governing Board, based on input from and consultation with all Institute faculty. The new budget proposal will be presented alongside a financial report for the previous year. The Institute will comply with Western University's guidelines for the use of funds and reporting and auditing requirements.

Faculty members of the Institute will not receive direct remuneration from the Rotman Institute. Staff members will be paid from the Institute's budget in accordance with Western University's HR policies, managed by Western Research. Membership on the Executive Committee, Research Advisory Committee, and the roles of Director and Associate Directors are voluntary, and performed as part of the Members' service workload.

6.2 CURRENT AND PROPOSED FUNDING

The Institute currently has an annual discretionary budget of just under \$500,000. Our proposed budget supports continued growth from this starting point to annual expenditures of roughly \$540,000 by 2025-26. The projected expenditures and sources of funding are listed in the accompanying tables, with further detail regarding expenditures provided in Appendix D.

The generous donation from the RFF covers roughly 80% of the Institute's expenditures until the end of the original donor agreement in 2023. We propose an additional \$215,000 from Western Research and the faculties during this period.

After 2023, we have divided our projected expenses into core expenses, essential to the operations of the Institute, and funding for research initiatives and knowledge mobilization. We propose to use internal funds from Western Research and the faculties to cover the core expenses, in particular personnel and operating expenses. Doing so will provide continuity and stability to the research community, and support the preparation of competitive and innovative proposals for external grants. The funding rate increases to an average of \$177,400 per year from Western, with \$51,700 from Faculty commitments and \$126,700 from Western Research. This level of funding will be sufficient to sustain the core activities of the Institute past 2023. For the sake of concreteness, the budget model assumes that we will continue to support research initiatives and knowledge mobilization at the same scale (with modest growth). To do so we will need to bring in additional funding of just over \$250,000 per year.

6.3 PLANS TO SECURE ADDITIONAL FUNDING

In order to successfully implement the goals outlined above, the Rotman Institute will actively seek further sources of revenue. We will continue to accelerate grant funding awarded to individual members. We will target large collaborative grants (such as the New Frontiers in Research Fund competitions, SSHRC partnership grants, and similar opportunities), and leverage current funds to support competitive applications for these programs. We will continue to work closely with Western's development team to pursue philanthropic support, including seeking a more diverse array of funding possibilities in addition to the RFF.

The current budget projects external support continuing at a more modest scale than our current funding from the RFF. Philanthropic funds would allow us to continue to pursue our current approach to supporting the research community, with internal funds available to recruit new members and catalyze new projects. In particular, we would be able to continue to support faculty members at early career stages, and implement practices that align with our EDID goals. If we are unsuccessful in obtaining these funds at this scale, we will rely on grants awarded to individual faculty members, teams, and large-scale collaborations as a source of support for postdoctoral fellows and staff positions. Since we have already secured philanthropic support for Years 1-2, this would be necessary beyond Year 2.

Table 1: Projected Expenditures

(See Appendix D for a more detailed breakdown and description of expenses in each of these categories.)

Projected Expenditures	2021 - 22	2022 - 23	2023 - 24	2024 - 25	2025 - 26	Total
Personnel	\$131,166	\$135,101	\$139,154	\$143,328	\$147,628	\$696,376
Research Initiatives	\$289,349	\$285,922	\$282,517	\$290,992	\$299,722	\$1,448,502
Knowledge Mobilization	\$44,056	\$45,378	\$46,739	\$48,142	\$49,586	\$233,901
Operating Expenses	\$41,217	\$42,310	\$43,471	\$44,667	\$45,899	\$217,563
	\$505,788	\$508,710	\$511,881	\$527,129	\$542,835	\$2,596,342

Table 2: Funding by Source

(RFF and Existing Funding includes funds from the 2008 agreement and other sources, including income from an endowment extending in perpetuity. See Appendix D for further details.)

Funding By Source	2021 - 22	2022 - 23	2023 - 24	2024 - 25	2025 - 26	Total
RFF & Existing Funding	\$406,498	\$392,997	\$49,000	\$49,000	\$49,000	\$946,495
Western Research	\$65,457	\$80,990	\$156,049	\$160,622	\$165,333	\$628,452
Western Faculties	\$33,833	\$34,722	\$60,007	\$63,277	\$66,646	\$258,485
External Funding	\$ -	\$ -	\$246,825	\$254,229	\$261,856	\$762,910
	\$505,788	\$508,710	\$511,881	\$527,129	\$542,835	\$2,596,342

7 Staffing Requirements

To pursue the projects and initiatives described above, Institute members will need to be supported by a team of dedicated staff. The external review highlighted the need for staff support as their first, and most forceful, recommendation. Our staff needs will increase with our growth and transition to Institute status. Existing funding from the RFF is sufficient to support one administrative assistant position for the first two years. We will continue to seek opportunities to use external funds and philanthropic sources for these positions, but we seek base budget funding to ensure continuity of funding to fulfill the following three roles:

- **Program Coordinator:** responsibility for day-to-day operations of the Institute; provide budget and financial oversight; support Director in decisions regarding strategy and implementation; preparation of reports; assist with identification of funding opportunities and preparation of grant applications; and other tasks as assigned by the Director and Governing Board.
- **Communications and Outreach Coordinator:** tracking of research impact; develop strategies for proactive engagement with stakeholders; knowledge mobilization activities related to grants; general public events and outreach; poster design and advertising events; organization for academic workshops and conferences; posting videos and other content; website, social media, and other forms of communication.
- **Administrative Assistant:** logistics and travel arrangements for Visiting Scholars, participants in Institute events; event planning and scheduling; record-keeping; general secretarial duties; office support for Director, Associate Directors, and core faculty.

The Institute currently has two staff members (down from three) filling these roles, with one person handling the second and third portfolios due to decreased demand during the pandemic. We expect to need three full-time positions within the next five years, due to the anticipated growth of the Institute and return to an active event series and Visiting Scholar program as the pandemic comes to an end. Depending on further growth, we anticipate further staff needs associated with project management and support for large grants – a “grants wrangler” who could assist in preparing large-scale grants as well as managing the activities and reporting duties. Some of these needs could be addressed through support from existing staff positions at Research Western, or creating staff positions serving all of the university-level Institutes. Funding for these positions will allow research grant expenditures and philanthropic investments to go directly to research and training expenses, while signaling the University’s support to potential donors.

Physical Requirements

8.1 CURRENT SPACE

Prior to moving into the Western Interdisciplinary Research Institute (WIRB) at the end of 2017, the Institute had office space for seven faculty members, six postdoctoral fellows and 13 graduate students. Our new space in WIRB includes 33 desks in an open, collaborative workspace, 18 individual offices, a conference room, and a smaller meeting room. Since moving into this space we've increased our number of resident members and have seen an increase in the number of members coming to us from departments outside of philosophy. Since 2017, all fifteen of the new affiliate faculty members who have joined the Institute have arrived from departments other than philosophy, or with cross-appointments to other departments.

Restrictions due to COVID-19 changed our use of the space in 2020, but prior to that our members had taken full advantage of the new space allocated to us. By 2019 our resident graduate students, whose numbers had increased to 31, were occupying nearly all the desks in our open workspace. A few of the remaining desks were utilized by undergraduate research assistants working with core faculty members. Nine offices were given to our core faculty members, three to postdoctoral fellows (two per office), and two to staff members. Remaining offices were used by visiting fellows or were set aside as spaces for affiliate faculty to use as a swing space outside of their home department.

8.2 FUTURE SPACE NEEDS

Given the rate at which the Rotman Institute is attracting new graduate students and faculty members, as well as the continued success and expansion of our postdoctoral fellow and visiting fellow programs, we expect to outgrow our current space within the next five years. In particular, we expect to fill our current office allocation for faculty (including shared office space, and space for visiting fellows) by 2023.

Table 3: Summary of goals, outcomes, and mechanisms

GOALS	OBJECTIVES	OUTCOMES	MECHANISMS
1. To become a premier destination for researchers working on interdisciplinary projects at the intersection of philosophy and the sciences	1.1 Increase capacity to create interdisciplinary collaborations with global research teams	Annually host a number of short-term visiting external fellows in various areas, and 2-4 long-term visitors (for visits from one semester to a year)	Funding for visiting fellows, office space
		Develop partnerships with research institutes/ centres with complementary strengths.	Faculty/ trainee exchange programs; co-sponsorship of events; joint grant applications
	1.2 Recruit top junior scholars to join the Institute	Maintain an active research community of 6-10 postdocs	Individual research grants, Banting, SSHRC / NSERC postdoc programs
	1.3 Maintain a global Rotman research community	Establish alumni network of Rotman visitors, postdocs, and graduate students	Regular communications about ongoing projects and opportunities; alumni conferences; events at professional meetings
	1.4 Increase diversity of Institute membership and maintain a positive workplace climate	Representation at or above disciplinary norms	Implement training/ oversight to maintain positive climate; emphasize EDID goals in recruitment and planning
2. To create a research environment that fosters innovative solutions to deep and wicked problems.	2.1 Increase capacity to identify pressing problems and recruit members for interdisciplinary research groups	Host annual workshops and conferences to explore new topics	SSHRC Connection grants; support for smaller local workshops
		Develop local networks to explore new problems, establish collaborations	Reading groups, events in shared research space, communications; seed funds for early phase of research. Outreach within the Western community to become the hub (via website and events) for connecting researchers in different departments and faculties.
		Provide incentives for Western faculty to create new projects, join collaborative teams	Institute seed grants, other Western internal grants; dynamic membership policy
	2.2 Enhance development of long-term interdisciplinary research teams	Select 2 new projects per year for initial support, in light of the longer timeframe needed for the development of interdisciplinary projects	Institute seed grants
Support applications for two large team-based grants within five years		New Frontiers in Research (Tri-council); SSHRC Partnership / NSERC Alliance	

GOALS	OBJECTIVES	OUTCOMES	MECHANISMS
3. To provide distinctive interdisciplinary training for students in the sciences and humanities.	3.1 Build capacity of trainees to pursue problems across disciplines	Distinctive graduate training programs (in 3 areas?)	Co-taught seminars across fields; Lab Associates program
		Advocate for, and support the development of, 2-year MA programs with substantial interdisciplinary training component	
	3.2 Participation in collaborative research teams	Integrate postdocs into research groups with faculty from different disciplines	Co-supervision of postdocs by Institute faculty from different disciplines
		Graduate students from different fields integrated into research projects	Institute funding for graduate student research
4. To integrate ethical considerations into scientific research, the development of technologies, and related policy.	4.1 Increase capacity for Institute faculty to impact public policy	Co-sponsor policy-oriented workshops	NSERC Alliance grants, MITACs
		Training for faculty members pursuing policy work	
	4.2 Establish partnerships with private and public institutions with ongoing need for expert advice on best practices	Support teams of philosophers and (social) scientists to develop recommendations / best practices on specific issues	NSERC Alliance grants
5. To anticipate and respond to societal consequences of scientific and technological changes, and to lead public discourse on these issues.	5.1 Prospectively identify new deep and wicked problems	Visits from leading scholars from diverse fields; active speaker series including public-facing events	Speaker series, annual conferences
	5.2 Host regular public-facing events	Attendance targets for public events in London	Staff support to organize speaker series, London public library talks
		Pursue other audiences (revisit collaborations with Ideas)	Staff support for outreach efforts; training
	5.3 Lead public discourse on relevant topics	Regular contributions from Institute faculty in a variety of venues (The Conversation, op-eds, The Agenda, etc.)	Communications training for faculty and trainees, incentives to recognize the value of public-oriented work

Appendices

APPENDIX A: MEMBERSHIP POLICY

Faculty Membership

Faculty members from Western are appointed as members of the Institute for a three-year term, with the approval of the Executive Committee, as either core or associate members. This status can be reviewed, at the member's request, before the end of the three-year term. Members of the Institute with a faculty appointment at Western will continue to report to the appropriate Dean and Chair with respect to their academic responsibilities. The Institute's existing membership policy includes more detailed specifications of obligations and responsibilities for members of different types; this will be revised in consultation with Research Western, based in part on the practices adopted in other Research Institutes at Western, with major anticipated changes highlighted below.

Prospective members may nominate themselves or be nominated by existing members. Nominations will be voted upon by the Executive Committee, on the basis of scholarly excellence, or comparable achievements in relevant areas, and evidence of commitment to the Rotman Institute's vision and mission.

The Institute's 50 current members, from 15 departments and eight faculties at Western, are listed in Appendix B below, with further details regarding their affiliations and research interests. We anticipate continued growth in the faculty membership in the next 5 years. Since 2017 we have added 15 new associate members, all from outside philosophy, and we expect continued growth to meet or exceed this rate. We plan to increase the number of core members to 15-20, in part to more accurately reflect the level of involvement of several associate faculty members. (The Institute space has 14 offices, but several new members from other faculties prefer to share office space rather than have a second office.) We will maintain a dynamic faculty complement: the membership policy is designed to encourage

members to move fluidly between the core and associate categories, reflecting their level of participation in Institute projects.

Core Membership

Core members lead or actively participate in one or more Institute research projects and contribute directly to fulfilling the vision and mission of the Institute. Each core member negotiates a Letter of Understanding with their home department and the Director, in consultation with the Executive Committee. Decisions about initial appointments and renewal will be made by the Executive Committee, with renewal assessment based on obligations specified in the Letter of Understanding. The main obligation of core members will be to pursue interdisciplinary research projects that advance the Institute's vision and mission, and actively contribute to the intellectual life of the Institute in a variety of ways. Core members will be given office space (as available), staff support, and access to competitively awarded Institute funds to support these projects. A more complete list of obligations and benefits is included in the Institute's membership policy, which will hold unless explicitly modified in the Letter of Understanding.

Associate Membership

Associate members include individuals who have contributed to the Institute's activities in a variety of ways, ranging from regularly attending Institute sponsored events to collaborating on Institute projects. The Executive Committee may grant associate members various forms of support, such as temporary office space in the Institute space or staff support, in order to facilitate their contributions. Associate members will not generally be eligible to apply for internal research funding, although the Executive Committee can at its discretion open funding calls to core and associate members. Appointments as associate members are made by the Executive Committee based on scholarly excellence, or comparable achievement in relevant areas, and evidence of commitment to the Rotman Institute's vision and mission.

External Associate Membership

The Institute currently includes several associate members at other universities or institutes who have contributed to the Institute in a variety of ways,

typically through collaboration on research projects and co-supervising trainees. (These individuals were granted membership to overcome practical obstacles to research and training aims, but few former visiting fellows or collaborators have become members.) We propose creating a new membership category for external members, primarily to support ongoing research collaborations. Scholars from other institutions, and individuals from outside the academy, who contribute to Institute projects will be invited to become external associate members. These members may be granted temporary office space in the Institute, and other forms of support, at the discretion of the Executive Committee, in order to facilitate their contributions. They will not generally be eligible to apply for internal research funding. New members can be nominated by existing members, or they can contact the Director directly, with appointments made by the Executive Committee based on scholarly excellence, or comparable achievement in relevant areas, and evidence of commitment to the Rotman Institute’s vision and mission.

Trainee Membership

The Rotman Institute will train the next generation of scholars to engage deep and wicked problems from an interdisciplinary perspective, informed by rigorous philosophical thought. Postdoctoral fellows and graduate students are involved centrally in the work of the Rotman Institute and contribute to its vitality in a variety of ways. Postdoctoral fellows will be given office space and staff support, and will be (co-)supervised by a core faculty member. They will take an active role in Institute research projects, and also contribute to the intellectual life of the Institute in various ways, such as organizing reading groups, participating in workshops and events, and helping to prepare grant applications. There are two categories of graduate student membership: resident members, who will be given office space in the Institute, and non-resident members. Resident members apply to join the Institute for a one-year term and will be evaluated based on fit with the Rotman Institute and scholarly profile.

APPENDIX B: CURRENT FACULTY MEMBERS

Table 4: Current Core Faculty Members

Core Faculty Members	Title & Affiliation	Research Areas
Michael Anderson	Rotman Canada Research Chair in Philosophy of Science; Professor, Department of Philosophy	Philosophy of Neuroscience Theoretical and Computational Neuroscience Embodied Cognition
Rob Corless	Emeritus Distinguished University Professor; Department of Applied Mathematics, Philosophy, and Computer Science	Scientific Computing Symbolic Computing Reliability of Numerical Methods for Dynamical Systems
Eric Desjardins	Associate Director, Associate Professor; Department of Philosophy	Philosophy of Biology Philosophy of Science Environmental Philosophy
Anthony Skelton	Associate Professor; Department of Philosophy	History of Ethics Normative Ethics Practical Ethics
Chris Smeenk	Director, Professor; Department of Philosophy	Philosophy of Science History of Science Philosophy of Physics
Jacqueline Sullivan	Associate Professor; Department of Philosophy	Philosophy of Neuroscience Philosophy of Mind Philosophy of Science
Francesca Vidotto	Assistant Professor; Department of Applied Mathematics, and Department of Philosophy	Quantum Gravity Cosmology Foundations of Physics
Chris Viger	Associate Professor; Department of Philosophy	Philosophy of Mind Philosophy of Psychology Philosophical Issues in Cognitive Science
Charles Weijer	Professor; Department of Philosophy, Department of Medicine, Department of Epidemiology and Biostatistics	Bioethics Research Ethics

Table 5: Current Associate Faculty Members

Associate Faculty Members	Title & Affiliation	Research Areas
Pauline Barmby	Professor; Department of Physics & Astronomy	Galaxies
Bipasha Baruah	Professor; Canada Research Chair in Global Women's Issues; Department of Women's Studies and Feminist Research	Gender and Development Women and Work Social, Political and Economic Inequality
Jacquelyn Burkell	Associate Professor; Faculty of Information and Media Studies	The role of cognition in interactions between people and technology
Mark Daley	Professor; Department of Computer Science, Special Advisor to the President on Data Strategy	Natural Computing Convergence Science & Research Computational Neuroscience & Neuroinformatics
Sarah Gallagher	Professor; Department of Physics and Astronomy	Galaxies & Black Holes Science Policy & Open Science Evidence-based Decision-making
Melvyn Goodale	Distinguished University Professor; Canada Research Chair in Visual Neuroscience; Founding Director - Brain and Mind Institute	Visual Neuroscience Action and Perception
William Harper	Professor Emeritus; Department of Philosophy	Evidence in Science Game Theory Kant's empirical realism
Benjamin Hill	Associate Professor; Department of Philosophy	History of Early Modern Philosophy Epistemology
Ingrid Johnsrude	Professor, Joint Appointment with Psychology and School of Communication Sciences and Disorders; Director - Brain and Mind Institute	Cognitive Neuroscience Speech and hearing Neuropsychology
Stefan Köhler	Professor; Department of Psychology, Brain and Mind Institute	Human Memory Cognitive Neuroscience Human Brain Mapping
Marc-André Lachance	Professor Emeritus; Department of Biology	Evolution, biodiversity and systematics of ascomycetous yeasts
Sheila M. Macfie	Associate Professor; Department of Biology	Mechanisms of metal-tolerance in plants
Carolyn McLeod	Professor and Chair; Department of Philosophy	Ethics Applied Ethics (esp. bioethics) Feminist Philosophy
Gerry McKeon	Professor Emeritus; Department of Applied Mathematics	Quantum Field Theory Gravity Elementary Particle Physics
Angela Mendelovici	Assistant Professor; Department of Philosophy	Philosophy of Mind Intentionality Consciousness & Representation
Nouri Najjar	Assistant Professor; Ivey School of Business	Air Pollution Regulation Climate Change Policy Environmental Economics
John Nicholas	Professor Emeritus; Department of Philosophy	Philosophy of Science Pragmatist Epistemology Philosophy of Perception
Elyseé Nouvat	Assistant Professor; School of Health Studies	Global health & Humanitarian healthcare Research ethics Palliative care across cultures

Associate Faculty Members	Title & Affiliation	Research Areas
Adrian Owen	Professor of Cognitive Neuroscience & Imaging, The Brain and Mind Institute	Cognitive and Behavioural Neuroscience Clinical and Veterinary Neuroscience
Joanna Redden	Assistant Professor, Faculty of Information and Media Studies, Western University	Datafication Governance & Social Justice Artificial Intelligence
Jacob Shelley	Assistant Professor; Faculty of Law, School of Health Studies & Schulich Interfaculty Program in Public Health	Health Law & Policy Health Ethics Public Health & Chronic Disease Prevention
Bhagirath Singh	Director, Centre for Human Immunology; Professor, Department of Microbiology and Immunology, Robarts Research Institute	Type 1 Diabetes Regulation of Autoimmunity Immunology of peptide antigens
Maxwell Smith	Assistant Professor; School of Health Studies, Faculty of Health Sciences	Bioethics & Social Justice Public Health & Health Policy Moral and Political Philosophy
Luke Stark	Assistant Professor, Faculty of Information and Media Studies, Western University	Applied Ethics Machine Learning Artificial Intelligence
John Thorp	Associate Professor; Department of Philosophy	Ancient Philosophy Free Will Philosophy of Religion
Tony Weis	Associate Professor; Department of Geography	Agriculture and Food Systems Political Ecology

Table 6: Current External Associate Faculty Members

External Associate Faculty Members	Title & Affiliation	Research Areas
Robert W. Batterman	Professor; Department of Philosophy (University of Pittsburgh)	Philosophy of Science History of Science Philosophy of Physics
Tim Bayne	Professor; Department of Philosophy (Monash University)	Philosophy of Mind Cognitive Science Consciousness
Isra Black	Lecturer, York Law School, University of York	Healthcare Law Normative jurisprudence Moral philosophy
Samantha Brennan	Professor, Department of Philosophy; Dean, College of Arts (University of Guelph)	Moral and Political Philosophy Normative and Applied Ethics Feminist Philosophy
Lisa Forsberg	British Academy Postdoctoral Fellow, Faculty of Law, University of Oxford	Philosophy of medical law Normative and practical ethics Philosophy of criminal law
Doreen Fraser	Associate Professor; Department of Philosophy (University of Waterloo)	Philosophy of physics, philosophy of science, applicability of mathematics, analogies, history of physics (especially 17th, 19th and 20th Centuries)
Charles M. Heilig	Lead Methodologist - Tuberculosis Trials Consortium (Centres for Disease Control & Prevention)	Clinical Trial Methodology Research Ethics Mathematical Statistics

External Associate Faculty Members	Title & Affiliation	Research Areas
Elisa Hurley	Executive Director, Public Responsibility in Medicine and Research (PRIM&R)	Moral Philosophy Bioethics Research ethics
Henrik Lagerlund	Professor; Department of Philosophy (Stockholm University)	Medieval Philosophy Ancient and Early Modern Philosophy Metaphysics, Mind, Language
Andrew McRae	Research Director - Division of Emergency Medicine Division of Emergency Medicine (University of Calgary)	Emergency Medicine Clinical Epidemiology Bioethics
Markus Müller	Institute for Quantum Optics and Quantum Information, Vienna (Perimeter Institute for Theoretical Physics)	Foundations of Quantum Mechanics Quantum Information Theory Physics of Information
Mark Perry	Professor; School of Law (University of New England)	Open Innovation Intellectual Property Rights Biotechnology Law
Stathis Psillos	Professor; Department of Philosophy and History of Science (National and Kapodistrian University of Athens)	Philosophy of Science Metaphysics History of Philosophy
Carlo Rovelli	Professeur de classe exceptionnelle, Department of Physics, Aix-Marseille University; Adjunct Professor, Department of Philosophy, Western University	Loop quantum gravity Relational quantum mechanics History and philosophy of science
Lee Smolin	Founding and Senior Faculty Member (Perimeter Institute for Theoretical Physics)	Cosmology Foundations of Quantum Mechanics Elementary Particle Theory

APPENDIX C: ITEMIZED RECOMMENDATIONS FROM 2019 REVIEW

1. Receive further staff support, funded centrally.
2. Apply to become a university-level institute.
3. Reach mutual understanding with the Department of Philosophy on several issues (enumerated in the report) related to graduate training, service, and co-sponsorship of events.
4. Expand the IAC to include more members, more closely aligned with Institute strengths, and clarify the ongoing role of the IAC.
5. Distribute internal administrative work, currently borne by the Director, to the Associate Director and core members.
6. Diversify sources of funding, with the following aims: (i) raising funds to support graduate students; (ii) supporting staff positions; (iii) collaborating in multi-year, multi-institution grants; (iv) using “seed grants” to develop innovative new ideas; (v) developing community and industrial partnerships.
7. Develop two-year interdisciplinary MA programs, and add an additional year of support for interdisciplinary PhD programs.
8. Provide training to enhance outreach and knowledge translation.
9. Increase diversity of the core faculty, including hiring a new CRC if possible.
10. Provide training regarding climate issues, and designate a contact person to handle complaints.

APPENDIX D: BUDGET

The budget estimates are based on moderate growth through the five year period, with annual expenditures to support Institute research increasing from \$506,000 up to \$543,000. During the first two years, existing funds and philanthropic support from the RFF fund cover nearly 80% of projected expenses, with a total request to Western Research and the faculties for \$215,000 over two years (primarily for staff supports and operating expenses). The estimated contribution from Western Research and the faculties increases for the last three years of the planning period, to an average of \$224,000 per year total (averaging \$63,000 from faculties, and \$161,000 from Western Research per year). Internal Western funding will be used primarily to cover staff resources and operating expenses. We will seek to supplement internal funding as far as possible through external grants and recouping indirect costs. The budget reflects a distinction between core expenses to be supported by Western and other priorities that will be the target of our fundraising efforts. We have projected external support continuing at a slightly more modest level as funding from the current RFF donation to illustrate how much we will need to raise to continue on our current trajectory. Here we will describe this proposed budget, contingency plans, and projected expenses in more detail.

Funding Sources:

The budget includes the following five funding sources:

1. **RFF & Existing funding:** This includes three separate components.
 - a. A donation from the RFF governed by the 2008 agreement, with the budget specified in Schedule E. We have simplified the budget categories for presentation here, but can provide details about how Schedule E maps onto this budget on request. We have not included funds provided by the RFF for a faculty position in the department of philosophy, totaling \$292,653 (over two years), as this is not part of the Institute's discretionary budget. The faculty of Arts and Humanities will fully fund this faculty position after the end of the agreement. There is substantial carry-forward from RFF funds devoted to visiting speakers, fellows, and conferences (particularly over the

last year). These funds will be used for the first two years to maintain a higher level of postdoc hiring and for seed grants awarded to members; if pandemic-related travel disruptions continue, we will shift more of the funds for speakers / visitors / conferences to support these priorities.

- b. Smeenk's JTF grant (ending summer 2021) has funded one administrative position and some operating expenses (such as computers for staff) for the last two years and will partially fund the position for 2021-22.
 - c. Endowment income: the RFF contributed a \$1 million endowment prior to the 2008 agreement establishing the Institute. This endowment is attached to the Rotman CRC. The income from this endowment, estimated at \$49,000 per annum, is used to fund (partially) a postdoctoral fellowship.
2. **Western funding:** we have broken internal funding down into two categories, indicating commitments from the Deans under the heading Western faculties (in aggregate, without breaking down contributions from individual faculties), and the proposed contribution from Western Research.
 3. **External funding:** our fundraising target. For the sake of definiteness, the budget specifies the funds needed for modest Institute growth over the five-year period.

Table 7 highlights the contrast between the sources of secure funding, and the aspirational external funding. The highlighted cells are expenditures we aim to cover through fundraising, which would allow us to continue to pursue research initiatives and knowledge mobilization at the same scale.

APPENDIX D: BUDGET (continued)

Fundraising Priorities and Contingency Plans

We will continue to work in partnership with University Advancement in pursuing further funding from the RFF, while also seeking to identify other potential donors. The generous donation from the RFF has been used to support the Rotman research community as a whole, helping faculty to develop innovative new projects and to recruit talented trainees and collaborators. If we are unable to secure this funding going forward, we will shift more fully to a model of grant-funded research support, with research groups supported by grants awarded to individuals or teams. The funding requested from Western will be sufficient to maintain the core operations of the Institute, with the rest of our research and knowledge mobilization activities supported through grants.

We aim to diversify our funding sources by supporting large scale collaborative grant proposals, with colleagues at Western or at other partner institutions. As noted above, we will work closely with the team at Western Research to identify the best funding opportunities, and use the Institute's existing resources to support teams of faculty developing these proposals. In addition to large grants, we also expect to see more self-funded visitors who choose the Rotman Institute as a research destination -- we have already hosted several sabbaticants and Tri-Council postdocs, for example.

Finally, working with University Advancement we have tentatively identified a number of areas of growth with potential to attract philanthropic support: investment in early career faculty (including support for recruitment/retention and catalyst funding to support new research projects); support to remain globally competitive in attracting the best trainees (graduate students and postdocs); and investment in knowledge mobilization activities.

Expenses:

1. Personnel
 - a. Two staff positions: both UWOSA positions, pay scales based on current staff.
2. Research Initiatives
 - a. Postdoctoral Fellows: up to four postdoctoral fellows, with annual salary set at the SSHRC rate (currently \$45,000 per annum plus benefits).
 - b. Expenditures for Visiting Fellows based on pre-pandemic year (2019), will be reallocated to postdocs / seed grants while pandemic related restrictions continue.
 - c. External partnership: support for developing large collaborative grants with partner institutions. Seed grants: used to support early stages of research, typically summer support for graduate students (7 awards for summer 2020; 10 awards for summer 2021; awards range from \$2,500 to \$5,000).
3. Knowledge Mobilization
 - a. Expenditures for conferences, speaker series, workshops; again based on 2019, unclear when these will return to pre-pandemic levels.
4. Operating Expenses
 - a. Office supplies and IT expenses: technical support to continue to be provided by the Faculty of A&H, expenses only for staff computers and phone lines.
 - b. Support for faculty in administrative roles: total of 1.5 teaching buyouts (nominally 1.0 for Director, .5 for Associate Director).
 - c. Advisory Board meetings: estimate for annual meetings, with resumption of face-to-face meetings, and other Institute- related travel.

Table 7: Projected Expenditures - detail view

(Cells highlighted in lavender correspond to expenditures that will be incurred only if external funding is available.)

Projected Expenditures	2021 - 22	2022 - 23	2023 - 24	2024 - 25	2025 - 26	Total
Personnel	\$131,166	\$135,101	\$139,154	\$143,328	\$147,628	\$696,376
Operations Manager	\$70,683	\$72,803	\$74,988	\$77,237	\$79,554	\$375,265
Administrative Assistant	\$60,483	\$62,297	\$64,166	\$66,091	\$68,074	\$321,111
Research Initiatives	\$289,349	\$285,922	\$282,517	\$290,992	\$299,722	\$1,448,502
Rotman CRC postdoc (endowed) + Western funded postdocs	\$204,349	\$198,372	\$82,432	\$84,905	\$87,452	\$657,509
Externally funded postdocs	\$ -	\$ -	\$109,909	\$113,206	\$116,602	\$339,717
Visiting fellows (Short and long-term)	\$50,000	\$51,500	\$53,045	\$54,636	\$56,275	\$265,457
External Partnerships & Seed grants	\$35,000	\$36,050	\$37,132	\$38,245	\$39,393	\$185,820
Knowledge Mobilization	\$44,056	\$45,378	\$46,739	\$48,142	\$49,586	\$233,901
Events (Annual Speaker Series, Conferences & Workshops)	\$44,056	\$45,378	\$46,739	\$48,142	\$49,586	\$233,901
Operating Expenses	\$41,217	\$42,310	\$43,471	\$44,667	\$45,899	\$217,563
Office supplies, printing, IT support, web server, staff computers, phones & software licenses	\$8,167	\$8,268	\$8,408	\$8,552	\$8,701	\$42,096
Director / Associate Director(s) teaching releases	\$25,050	\$25,802	\$26,576	\$27,373	\$28,194	\$132,994
IAC meetings & other Institute-related travel	\$8,000	\$8,240	\$8,487	\$8,742	\$9,004	\$42,473
	\$505,788	\$508,710	\$511,881	\$527,129	\$542,835	\$2,596,342

APPENDIX E: GOALS AND METRICS

The following outlines more concrete objectives, outcomes, and mechanisms for each of the goals listed in the body of the proposal, and summarized in Table 3. We acknowledge the difficulty of evaluating progress in reaching each of these goals, but will work closely with Research Western in refining this roadmap for the next five years and identifying appropriate metrics.

Research

To foster success for Rotman Institute researchers at all levels.

- a. *Increase capacity to create interdisciplinary collaborations with global research teams:* we will continue to bring the world to Western through a consistent, and consistently sought-after, Visiting Scholars program. We have a successful program for short-term visitors, but reaching our research goals will require longer-term collaborations. We will expand from short to long-term visitors with the goal of hosting four visitors each year for a period of six months to one year each. We will continue to use the short-term visitors program to develop new collaborations, with the aim of bringing those collaborators back for longer stays. For established collaborations, the cost of these visits will be covered by grants, but we will offer competitively awarded funding for visitors helping to launch new projects.

We will develop formal and informal partnerships with other research institutes to complement our strengths and extend our reach. We will continue to work with existing partners, as described above. We will also seek to establish new project-based relationships with Canadian and regional partners, as well as international centres such as the Max Planck Society in Germany, the Centre for Philosophy of the Sciences at Australian National University (whose Director is a Rotman alumna), and The Center for Philosophy of Science at the University of Pittsburgh (USA). These partnerships will build on our existing collaborations described above. Collaborations will include faculty and trainee exchange programs, co-sponsorship of events, joint grant applications, joint scholarly outputs, and other joint research activities.

- b. *Recruit top junior scholars:* the Rotman Institute has maintained an active postdoctoral program since its inception, with as many as 9 postdoctoral fellows at one time and an average of 4 per year. A sustained group of postdocs of this size is extremely rare in humanities-based Institutes. We have recruited excellent junior scholars to these positions, because of our reputation as a productive research environment for early career scholars and outstanding placement record. Funding postdocs has proven to be an extremely effective way to build research capacity, develop collaborative ties through co-supervision across distinct fields, and build the Institute's reputation. Achieving sustainability of this program is thus a high priority. As we grow, our aim is to expand our postdoctoral program to support 6-10 scholars per year, for two-three year terms. We will seek dedicated funding to support this program, while continuing to pursue competitive fellowships such as the SSHRC / NSERC postdoc programs, the Banting fellowship and other international grant schemes.
- c. *Maintain a global Rotman research community:* The Institute already has an extensive annual program of events that will be opened to the broader community outside of Western, including the public and other key stakeholders such as policymakers, in a more proactive way to further cement Institute's national and international standing. Activities involving visitors, postdocs, and graduate students will continue to build a research community that stretches beyond the time spent at the Institute. Our connection to our extended community will be strengthened further through regular communications about ongoing projects and opportunities, alumni conferences, events at professional meetings, and other activities that aim to constitute an alumni network.
- d. *Increase diversity of Institute membership and maintain a positive workplace climate:* The Institute's success depends on supporting a diverse research community. Our commitment to EDID goals has been reflected in our choices for speakers, postdocs, visiting fellows, and participants in Rotman conferences, which consistently include representation by women and other under-represented groups at or above the disciplinary

norms for philosophy. We must do better, however, with regard to the diversity of our core and associate faculty. We will seek to increase the diversity of Institute membership, and continue to maintain a positive workplace climate, as we grow over the next five years. We will do so by formulating clear EDID goals for recruitment and long-term planning, and implementing appropriate training and oversight (such as creating a standing climate committee).

To create a research environment that fosters innovative solutions to deep and wicked problems.

- a. *Increase capacity to identify challenges and recruit members for interdisciplinary research groups:* We will build on several existing methods for identifying challenges. We have run a successful annual conference series that has brought together scholars from diverse disciplinary backgrounds, to discuss topics such as “Rethinking the Taxonomy of Psychology,” “Knowledge and Models in Climate Science,” and the so-called “replicability crisis.” These conferences have been truly interdisciplinary, including philosophers and, typically, a majority of participants from other disciplines. As our membership expands, we will prioritize focusing on deep and wicked problems that arise in scientific practice in diverse research domains. We will supplement these conferences with smaller workshops and a variety of types of outreach within the Western community: reading groups, events in the shared research space, and communication regarding Institute events and funding opportunities. These efforts will be accompanied with incentives to encourage Western faculty members to participate in developing new projects and join research teams. The membership policy is designed to facilitate joining the Institute as a core member in order to participate fully in a research project, taking advantage of the shared physical space in the WIRB.
- b. *Enhance development of long-term interdisciplinary research teams:* Interdisciplinary grants require a longer timeframe for development, as a research group refines their formulation of the research problem and the contributions to be expected from different domains. The Institute also needs to counter strong incentives to continue working within a discipline, rather than pursuing riskier

interdisciplinary projects. In light of these obstacles, the Institute will offer competitively awarded internal seed grants to support the early stages of work on a new project, providing support for trainees to work on projects, visits from research collaborators, and small focused workshops. The Institute aims to support further development of at least two novel larger-scale collaborations within the next five years, through staff support, hiring of postdoctoral fellows, visiting fellows, and hosting of focused workshops and conferences.

Training

To provide distinctive interdisciplinary training for students in the sciences and humanities.

- a. *Build capacity of trainees to pursue problems across disciplines:* In 2012, the Institute started the Lab Associates program in collaboration with colleagues in BMI. Faculty and postdocs provided philosophy graduate students with training in neuroscience to prepare them to join a research group in the BMI. They then joined a particular research group for a year or more, and the direct experience shaped their philosophical project and approach to academic research. This distinctive opportunity has helped to attract excellent graduate students in this area. Institute faculty now regularly teach interdisciplinary graduate seminars with colleagues in BMI, and host reading groups with a mix of faculty, postdocs, and graduate students from different fields. The co-location of the BMI and the Rotman Institute in the WIRB has been particularly fruitful for these training programs, and will continue to yield collaborative projects. We will build on this model of value-added training opportunities for other areas of Institute research, such as foundations of physics. We will regularly offer interdisciplinary seminars to prepare students and postdocs to participate in active research projects. We will also continue to develop similar opportunities for science students. We have offered reading groups targeting science students, for example focusing on the foundations of statistics and methodology in the life sciences, organized in conjunction with the replicability crisis conference. Going forward we will provide focused philosophical training to support participation of science students in Institute projects, and to enhance their own

research. Finally, the Institute has added value by developing new curriculum for MA level courses, such as a course in ethical and societal implications of AI currently co-taught by an Institute postdoc. We will continue to do so in appropriate areas. We will further advocate for the development of 2-year MA programs for interdisciplinary training in relevant fields, although these will be housed within the appropriate departments rather than the Institute itself.

- b. *Integrate trainees into collaborative research teams:* The Institute's vision for graduate and postdoc training prioritizes active participation, as early as is feasible, in problem-based interdisciplinary research. In addition, we will provide training on knowledge mobilization and opportunities to work with, network with, and tailor research communications to external stakeholders. Joining research groups has been particularly valuable for graduate students, who benefit from interactions with peers and postdocs in the group in addition to faculty supervision. We will fund graduate students to contribute to Institute research projects through the summer, through grants held by members along with internal seed grants awarded for new projects. The postdocs both contribute enormous energy to these projects, while also benefiting in terms of developing leadership skills and extending their areas of research expertise. Several Institute postdocs have been co-supervised by faculty from different disciplines, effectively mediating and strengthening a collaboration. As described above, the success of the postdoctoral program, as reflected in our recruitment of top junior scholars and our placement record, illustrates the value added by the Institute's research environment.

Societal Impact

To integrate philosophical and ethical considerations into scientific research, the development of technologies, and public policy.

- a. *Increase capacity for Institute faculty to impact public policy:* Effective capacity-building requires both training and networking. The federal policy training component (for students, postdocs, and faculty) will be developed in partnership with organizations such as the Canada School of Public Service and the Institute on Governance. Within Western, the

Ivey School of Business and the Western Law School are natural partners, and the role of Western as a key local institution can be leveraged to connect with the City of London. Training partnerships can be enhanced by joint activities such as conferences and built out into collaborative networks for sharing expertise and determining the routes for effective knowledge mobilization from research to policy.

- b. *Characterize deep and wicked problems more fully to assemble necessary and diverse expertise:* The deficiencies in anticipating and mitigating negative outcomes from policy choices such as public health measures or reliance on artificial intelligence algorithms are often obvious in retrospect, and could have been avoided if the appropriate expertise and stakeholder consultation occurred early enough. With the Institute focus on the ethics of science and technology, members are well-positioned to take on the role of determining who should be at the table and engaged in developing equitable solutions to wicked problems. To achieve this, we will co-sponsor public-policy oriented workshops with concrete deliverables such as whitepapers and briefing notes. Such activities will be delivered in partnership with local and national organizations such as the Institute for Research on Public Policy, the Canadian Medical Association, and the Canadian Science Policy Conference to explore and flesh out the relevant issues and interests in wicked problems.
- c. *Raise the profile of Institute faculty with expertise relevant to deep and wicked problems:* Institute faculty should be recognized and sought-after as members of expert panels constituted to advise government at all levels. The Institute website and social media will highlight Institute faculty who can contribute to discussions on wicked problems and make their work accessible to those outside of academia, including policymakers. Support for Institute faculty to participate in public policy forums (such as the Canadian Public Policy Conference) and communications training in writing opinion pieces and speaking to the media (such as delivered by Informed Opinions) will further raise the profile of Western faculty in the public-policy sphere. Tracking of scholarly and professional activities to support performance metrics and evaluation will leverage Western Research's scholarly impact support.

To inform and engage the public on deep and wicked problems.

a. *Lead public discourse on relevant topics:* The Institute's research is communicated to the public in a number of ways, many of which provide the opportunity for productive mutual exchange. Institute faculty are regular contributors in a variety of public venues, such as The Conversation, op-eds, The Agenda, etc. Visitors and members of the Institute are engaged in conferences and lecture series addressed to the public. The Institute's ongoing public lecture series, in collaboration with the London Public Library, has been particularly well attended and fruitful. The institute also aims to renew its past collaboration with CBC's Ideas.

The Institute aims to further increase attendance at established events, and generally extend the audience for Institute events. In part this will happen naturally as we expand and diversify Institute membership and research topics and increase our presence in public policy discussions. We will also begin to offer Institute members (especially early-career faculty, post-docs and graduate students) training in public communication. We have recently developed and will seek to expand a program of incentives for public outreach and research dissemination in venues such as podcasts, blog posts, and relevant social media communication.



APPENDIX F: GOVERNANCE

Director

Selection: The Director will be chosen through a selection committee, chaired and selected by the VPR, that includes broad representation from the Institute's membership, and the Deans (or designates) of the faculties most heavily invested in the Institute. The Director will be appointed to a renewable five-year term. The selection process will usually coincide with a review of the Institute's progress in fulfilling its vision and mission, at five-year intervals as described in MAPP 7.9.

Responsibility: The achievement of the Institute's Vision and Mission will constitute the Director's primary responsibility, all within the greater context of their university appointment.

Report: The Director will report to the VPR, who has responsibility for oversight of the strategic plan and the Institute's budget.

Associate Directors

Selection: Associate Directors will be Institute faculty members at Western, chosen by the Director of the Institute in consultation with the Executive Committee. (There is currently one Associate Director, but we may add further positions as the Institute continues to grow.) Associate Directors will be appointed to three-year, renewable terms.

Responsibility: The Associate Directors will take leadership of a particular portfolio. Currently the Associate Director is responsible for aspects of knowledge mobilization and training: planning and organizing the Institute annual speaker series, issuing invitations to guest lecturers, overseeing postdoctoral fellows, and reviewing applications for graduate student members. This portfolio for each Associate Director will be chosen in consultation with the Director and Executive Committee, leading to a letter of understanding specifying their duties and expectations.

Report: The Associate Directors will report to the Director and to the Executive Committee.

Governing Board

Membership: The Governing Board will consist of the Vice-President Research (or designate), Director of the Institute (*ex officio*), administrative staff (*ex officio*, non-voting), the Dean of Arts and Humanities (or designate), and the Deans (or designates) of the two or three most invested faculties (as reflected in, for example, representation among Institute faculty).

Responsibility: The mandate of the Governing Board will include sign-off authority on Institute programs, annual approval of the budget, and review of vision and strategy and metrics for evaluating success.

Meeting Arrangements: The committee will be chaired by the VPR, with meetings at least once annually. The Board is expected to meet three times per year, with more frequent meetings to be scheduled as necessary. Minutes from the meetings will be submitted to the VPR's office.

Executive Committee

Membership: The Executive Committee, chaired by the Director, will also include administrative staff (non-voting), and Associate Director(s). Two or three faculty members of the Institute will be elected to serve for three-year renewable terms. (The number of elected members will be adjusted to ensure an odd number of voting members.) The Governing Board will review the composition of the Executive Committee after two years.

Responsibility: The mandate of the Executive Committee will be to provide oversight on the day-to-day operations of the Institute, including, but not limited to: management of administrative personnel (including hiring); allocation of funds and budget oversight; the planning and hosting of conferences, workshops, speakers series at the Institute; and the administration of other Institute initiatives and activities (such as training programs). The Executive Committee will have voting authority on faculty membership (appointments and renewals).

Meeting Arrangements: The Executive Committee will meet on a regularly scheduled basis at least once each month during the academic year, and at such other times as may be requested by the Director. The Executive Committee reports to the VPR. Minutes of the meetings will be provided to the Governing Board.

Research Advisory Committee

Membership: The Research Advisory Committee, chaired by the Director, will consist of the following *ex officio* members: Director of the Institute, administrative staff (non-voting), Associate Director(s), and the Chair of the Department of Philosophy (or designate). The remaining members will be elected from among Institute faculty and trainees: five or six faculty members of the Institute, a postdoctoral fellow representative, and a graduate student representative from the Institute. (The number of elected members will be adjusted to ensure an odd number of voting members.) Faculty members will be elected to three-year renewable terms, and trainees will be elected to one-year terms. These terms will be staggered with one or two members rotating off the committee each year. Of the elected faculty members, at least two will have primary academic appointments in a faculty other than Arts & Humanities. The Governing Board will review the composition of the Research Advisory Committee after two years, to ensure that stakeholders at Western have appropriate representation on the committee.

Responsibility: The mandate of the Research Advisory Committee will be to provide input from the broader research community, leading to recommendations to the Executive Committee. The Research Advisory Committee will provide advice to the Executive Committee and the Director on topics including, but not limited, to: research priorities; the selection of visiting scholars; the recruitment and appointment of postdoctoral fellows to the Institute; the training programs; promoting leadership in informed public debate of policy issues related to science; and promoting public engagement on issues in science. A subset of the Research Advisory Committee (excluding the graduate student representative and the postdoctoral representative) will have voting authority on evaluation of internal grants and research awards.

Meeting Arrangements: The Research Advisory Committee will meet on a regularly scheduled basis monthly or bi-monthly during the academic year, and at such other times as may be necessary. The Committee reports to the Governing Board, and minutes of the meetings will be provided to the Governing Board.

Advisory Board

Membership: The Institute’s Advisory Board will be constituted of between five to eight distinguished and respected academic experts of international stature in disciplines relevant to the Institute’s Vision and Mission. (The Institute currently has an International Advisory committee, with members listed in Table 8, with a similar mandate. Current members will form the core of the new Advisory Board.) *Ex officio* members of the board from Western will include: the VPR (or delegate), a representative from advancement, the Director of the Institute, and the Deans (or designates) of the three or four most invested faculties (as reflected in, for example, representation among Institute faculty).

The Director, Deans’ representatives, and VPR will all at times have the right to invite senior guests to participate in Advisory Board meetings as will benefit the strategic deliberations of the Institute. The President and Vice Chancellor may attend any meeting of the Advisory Board as she/he/they wishes.

Selection: Committee members will be appointed by the President of the University for a term of three years, renewable. Members will be invited based on consensus of the Research Advisory Committee and in consultation with the VPR and Director. At least two current members of the Advisory Board will be consulted at the initial stage of each relevant search constituted at any time in the future for Advisory Board appointments.

Responsibility: The mandate of the Advisory Board will be to provide advice to the Director and the Governing Board on potential new directions and programs of the Institute, and to give input on educational issues as requested by the Director, which may include the periodic review of the Vision and Mission of the Institute. The Advisory Board will maintain minutes of its meetings or records of its advice or input as appropriate, which will be distributed at a minimum to members of the Advisory Board and to the Governing Board. The Chair of the Advisory Board will be an external member selected by the Advisory Board.

Meeting Arrangements: The Advisory Board will meet on a regularly scheduled basis of at least once each calendar year and at such times as may be requested by the Director. The Advisory Board will be afforded the opportunity to meet with faculty members, students, and administrative officers (such as the President and Provost of the University) at reasonable times, and the aforesaid persons will be afforded access to members of the Advisory Board. The Advisory Board reports to the Governing Board, and minutes of the meetings will be provided to the Governing Board.

Out-of-pocket expenses of Advisory Board members reasonably incurred by them in the performance of their duties including travel and accommodation expenses (it being anticipated that the majority of the Advisory Board members will be leading international figures based in foreign locations) will be paid through expendable funds available to the Institute.

Table 8: Current Advisory Board Members

Advisory Board Members	Title & Affiliation	Research Areas
Alan Bernstein	President and CEO of the Canadian Institute for Advanced Research; President Emeritus, Canadian Institutes of Health Research; Executive Director, Global HIV Vaccine Enterprise	Embryonic development Hematopoietic stem cells Cancer
Jane Maienschein	Professor and Director of the Center for Biology and Society, Arizona State University	History and Philosophy of Biology Bioethics and Biopolicy Embryology, Genetics, and Cytology
Julian Savulescu	Professor and Uehiro Chair in Practical Ethics; Director of the Oxford Uehiro Centre for Practical Ethics, Oxford University	Practical Ethics Medical Ethics Human Enhancement
C. Kenneth Waters	Tier I Canada Research Chair in Logic and Philosophy of Science, University of Calgary	Philosophy of Evolutionary Biology Philosophy of Science Scientific Metaphysics

APPENDIX G: EMBEDDING EDID PRINCIPLES IN INSTITUTE PRACTICES

The Institute is committed to implementing proactive measures to address systemic barriers to recruitment and participation in our research community, focusing on the four groups identified in the Employment Equity Act (women, Indigenous Peoples, persons with disabilities and racialized minorities). (However, we acknowledge that this neglects important differences in representation among specific groups that fall under these headings.) Here we will briefly describe our plans to ensure that Institute decision making -- including recruitment of faculty members and graduate students, internal research awards, and hiring of postdocs -- will be informed by EDID principles and exemplify best practices.

Currently the Institute slightly exceeds disciplinary norms for representation among these groups within philosophy, although this is no cause for celebration. Data from the Canadian Philosophical Association shows that philosophy is a remarkably homogeneous discipline. Representation among faculty members in philosophy at Canadian universities is as follows: women -- 30 %; persons with disabilities -- 2 %; and racialized minorities -- 9 %. Indigenous Peoples are absent from the professoriate and women of colour make up only 2 % of faculty. Among faculty members of the Institute, 32 % are women and 9 % racialized minorities. We have been more successful in promoting diversity through our speaker series and events, and our visiting fellows program, where we have far exceeded these norms. We also have higher representation among our trainees: our postdocs (since 2011) are 36% women and 14% racialized minorities, and our grad students (the current cohort) are 32% and 25%, respectively. Until now, however, we have not tracked the representation of Indigenous Peoples, persons with disabilities, or specific groups within "racialized minorities".

As a first step, we will monitor diversity and inclusion at the Institute --- for example, by conducting an anonymous annual survey of all members to understand recruitment, retention, and any obstacles to participating fully in the research life of the Institute. All data collection will be done in consultation with Western Research, who will help design the survey or develop other methods of assessment. We will develop an Institute wide statement of EDID principles within the first six months of the

Institute's existence, focusing on the measures we will take to create an inclusive research community and to address decolonization. We will formulate explicit goals and metrics to evaluate our progress, and gather the data needed for these metrics. Here we describe our current plans, which we will further refine in close consultation with Western Research and the Office of Indigenous Initiatives.

The Executive Committee will either receive training with regard to EDID best practices or strike a further committee to advise on these matters. In either case, the goal is to recognize and counteract structural inequity and implicit/explicit biases, with regard to a variety of Institute decisions. We will further aim to identify barriers to research productivity, such as inequitable distribution of service work or other burdens placed on members of under-represented groups. EDID training and resources will be developed with Western Research (Mariam Hayward, Knowledge Exchange and Impact Manager; and Manager of Equity, Diversity, Inclusion & Decolonization in Research – a new position at Western Research), working with our own dedicated knowledge mobilization staff.

We will pursue the following specific steps to enhance the diversity of our trainees. First, we will counter inequities in the recruitment process itself, by following the best practices outlined in "Creating an Equitable, Diverse and Inclusive Research Environment: ..." by the Canada Research Chairs Program. With training from Western Research staff, the Institute will encourage members to identify bias in any job postings, include appropriate diversity and inclusion statements, and establish clear and consistent criteria for evaluating candidates. The Institute's staff will work with Western's Equity Office and HR to review the language of job postings, and to develop strategies to reach under-represented groups. Second, we will pursue the possibility of targeted funding (such as summer research awards for graduate students) specifically for applicants from under-represented groups, in consultation with Western Research and the Office of Indigenous Initiatives.

We will support Institute members to incorporate and reflect EDID best practices as part of managing their research groups, and in their grant applications. Western Research will help faculty members set achievable short and long term EDID goals, to be included in training and mentorship plans. We will organize mentorship activities for early career faculty and postdocs, designed in particular to address the needs of members from under-represented groups.



APPENDIX H: INTELLECTUAL PROPERTY AND COMMERCIALIZATION

Ownership and/or Commercialization of Intellectual Property

The Institute does not have special arrangements with members (faculty, staff, or students) with respect to intellectual property created through work undertaken at the Institute. Core members of the Institute will acknowledge their affiliation in publications or other research outputs, and the recipients of internal research awards will also acknowledge funding support. Members will follow all guidelines set out by the Senate and the UWOFA Collective Agreement.

Private Sector Contract Research

The Institute does not have special arrangements with respect to private sector contract research. Members of the Institute who engage in contract research will comply with Western University guidelines for overhead charges on research contracts.

ITEM 4.7(c) – Update on Western Research Parks

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

L. Rigg[Lesley], Vice-President (Research) will provide an update on Western Research Parks.

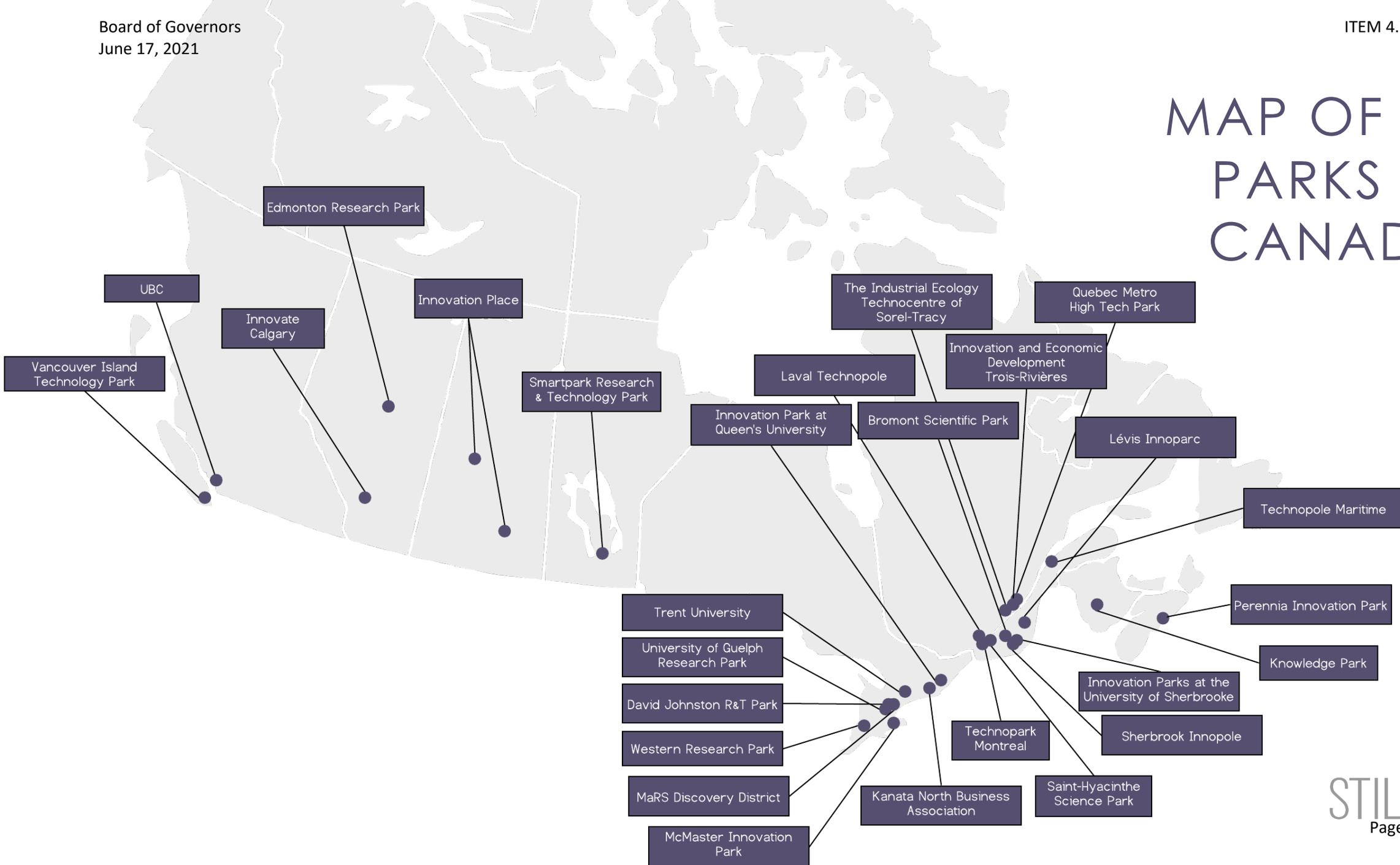
ATTACHMENT(S):

[Western Research Parks Presentation](#)

WESTERN RESEARCH PARKS

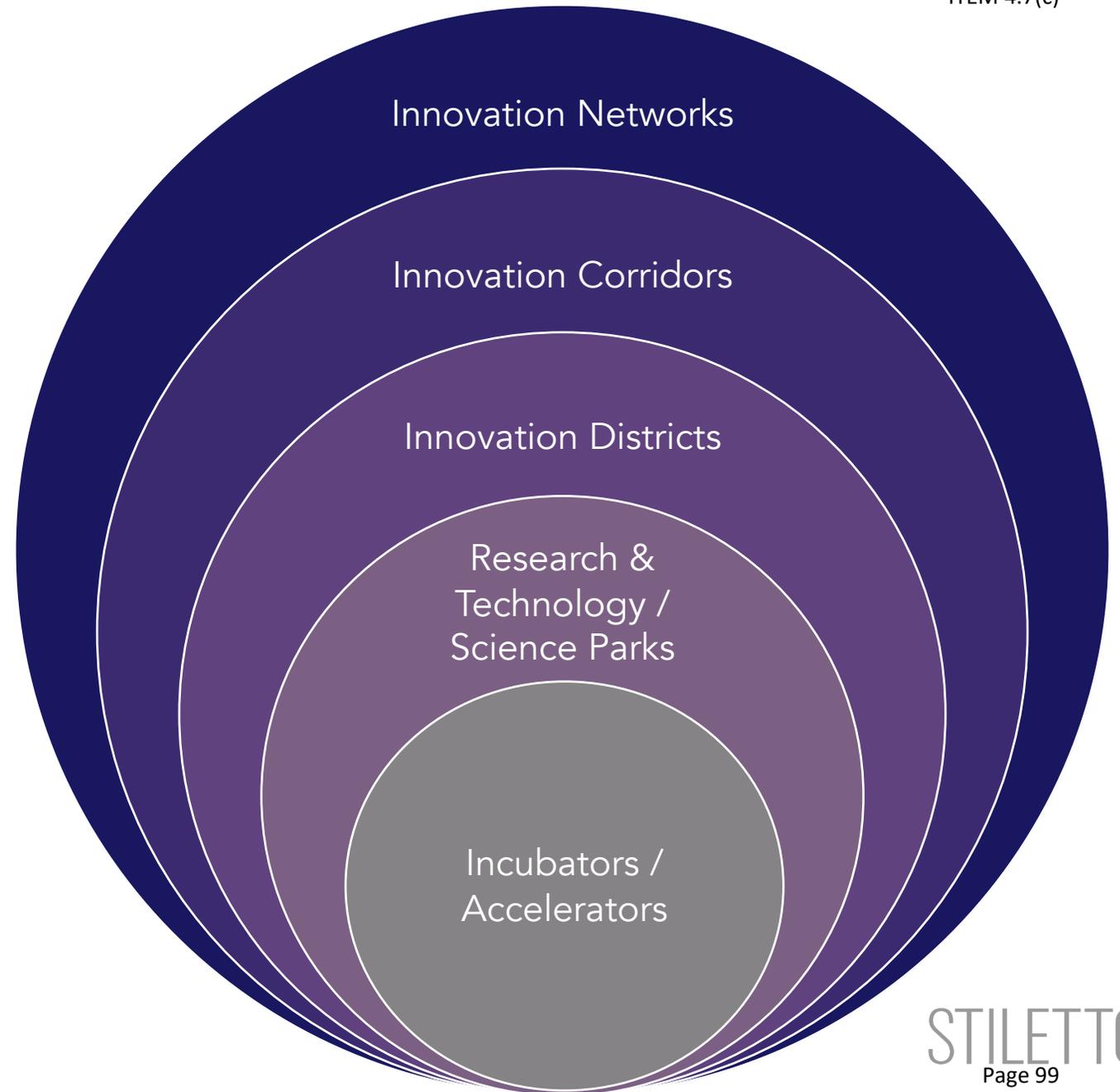
Strategic Plan Update
June 2021

MAP OF R&T PARKS IN CANADA

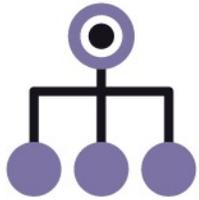


THE INNOVATION ECOSYSTEM CASCADE

Clusters stimulate innovative activity through the promotion of intensive interactions, infrastructure-sharing, and knowledge exchange



PROPRIETARY SIX COMPONENTS FOR CLUSTER, PARK & INNOVATION DISTRICT DEVELOPMENT



**MULTI-LEVEL
GOVERNMENT
AND UNIVERSITY
SUPPORT**



A CHAMPION



**DEFINED MARKET
DEMAND**



**UNIQUE
VALUE
PROPOSITION**



**STRATEGIC
SECTOR(S) FOCUS**



**MANAGEMENT
DEDICATION TO
SUPPORTING
TENANT GROWTH**

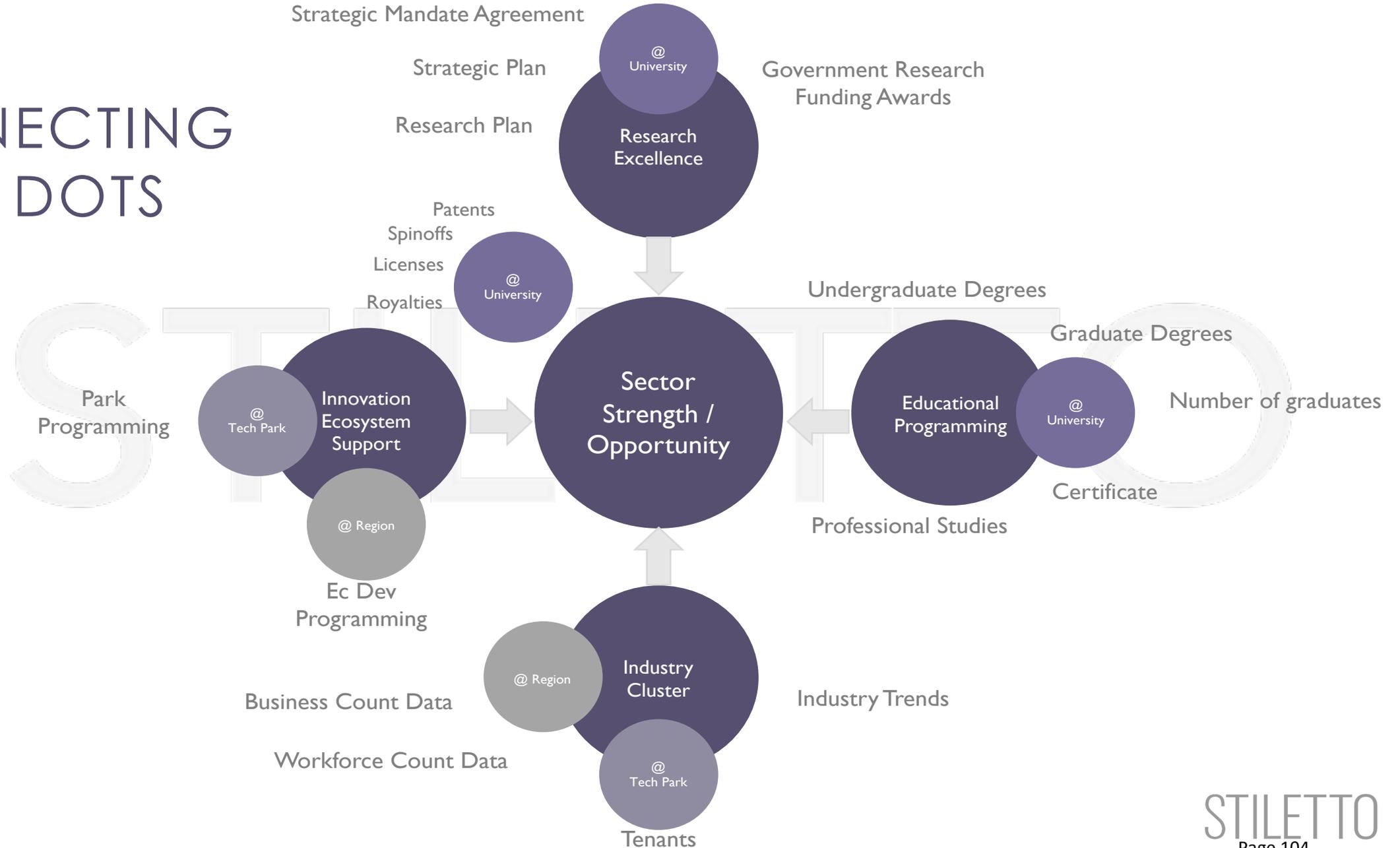
PROGRESS UPDATE

	Material Collection & Review	DRAFT SWOT Analysis	Asset Mapping	Secondary Research & Data Collection	Analysis/Sector Focus Potential	Stakeholder Outreach	Market Demand Assessment	Park Visioning & Concept Narrative	Strategy Framework	Action Planning & Roadmap	Report Consolidation
Status	COMPLETED	COMPLETED	COMPLETED	COMPLETED	IN PROGRESS	IN PROGRESS	UPCOMING	IN PROGRESS	IN PROGRESS	IN PROGRESS	UPCOMING
Details	Gather and review necessary information from the client	Prepare a draft SWOT analysis to better understand opportunities and gaps	Includes: research assets, infrastructure assets, park assets, programming assets	Best practices and trends in the identified sectors and target markets	Overlay information pertaining to institutional and park assets, business counts, workforce and programming trends	Conduct outreach to key stakeholders	Confirm market demand based on target sector potential	Develop overall narrative based on key strengths and potential market positioning	Develop overall framework for the successful implementation of the strategy	Develop action plan to mobilize activities over the next five years	Consolidate the materials into a report summarizing the findings and recommended next steps
Timing	COMPLETED	COMPLETED	COMPLETED	COMPLETED	April – June	February – June	June	May – June	May – June	June-July	June – July

PROGRESS TO DATE

- Stakeholder Engagement:
 - Hosted approximately 31 meetings with over 97 participants
 - Conducted a tenant survey receiving 27 responses
- Secondary Research:
 - Analyzed over 6,800 data points for asset mapping
 - Analyzed over 8,000 data points for business and workforce count
 - Analyzed over 5,000 data points for the Western enrolment analysis

CONNECTING THE DOTS



GOVERNMENT AND
INDUSTRY FUNDING TO
WESTERN UNIVERSITY,
BY THEME (2015-20)

	Government Funding		Industry Funding		ITEM 4.7(c) Enrolment Data	
10 themes	Funding (\$)	%	Funding (\$)	%	Total Enrolment	%
Health	\$163.1 m	55%	\$9.8 m	34%	48,426	26.3%
Social Sciences / Arts	\$23.5 m	8%	\$0.2 m	1%	38,143	21.2%
Other Engineering	\$22.9 m	8%	\$5.8 m	20%	9,431	5.2%
Biology	\$19.6 m	7%	\$0.3 m	1%	7,458	4.1%
Materials	\$16.0 m	5%	\$3.6 m	13%	2,160	1.2%
Foundational Science	\$15.0 m	5%	\$1.5 m	5%	4,472	2.5%
Earth and Planetary Science	\$12.3 m	4%	\$3.2 m	11%	1,537	0.9%
Economics / Business	\$9.8 m	3%	\$0.8 m	3%	11,269	6.3%
IT / Computer Science	\$7.5 m	3%	\$0.7 m	2%	2,862	1.6%
Environmental Sustainability	\$6.6 m	2%	\$2.8 m	10%	2,875	1.6%
Total	\$296.2 m	100%	\$28.7 m	100%	128,634	71.5%

WHAT WE HAVE HEARD AND LEARNED

1. Alignment with sectors
2. Strength in research
3. Desire and interest from the community for greater alignment and collaboration
4. Strong champion (Alan) to represent the Parks
5. Need for an increase in collaboration between community, industry, and university (faculties, departments, students, etc.)
6. Expand/establish park amenities and programs to create a value proposition
7. Need for clarity on sector focus efforts
8. Creation of a clear and compelling narrative to highlight the parks vision and identity
9. Need for processes and systems in place to enable operational improvements

WESTERN RESEARCH PARKS DRAFT RECOMMENDATION FRAMEWORK

- **Collaboration**
 - Community, Institution, Local, Global
- **Connectivity**
 - Students, Faculty, Institution
- **Collision**
 - Meeting space, food services, networking
- **Communication**
 - Branding all parks as “Discovery Parks”, institution and public awareness campaign
- **Content**
 - Programming, specialized facilities

 **OUTPUTS**

 **OUTCOMES**

 **IMPACTS**

 **RESULTS**

ALIGNMENT WITH WESTERN STRATEGIC VISION

1. Greater Impact
2. People, Community and Culture
3. Western's Place in the World



NEXT STEPS

	Material Collection & Review	DRAFT SWOT Analysis	Asset Mapping	Secondary Research & Data Collection	Analysis/Sector Focus Potential	Stakeholder Outreach	Market Demand Assessment	Park Visioning & Concept Narrative	Strategy Framework	Acc Planning Road	Report & Consolidation
Status	COMPLETED	COMPLETED	COMPLETED	COMPLETED	IN PROGRESS	IN PROGRESS	UPCOMING	IN PROGRESS	IN PROGRESS	IN PROGRESS	UPCOMING
Details	Gather and review necessary information from the client	Prepare a draft SWOT analysis to better understand opportunities and gaps	Includes: research assets, infrastructure assets, park assets, programming assets	Best practices and trends in the identified sectors and target markets	Overlay information pertaining to institutional and park assets, business counts, workforce and programming trends	Conduct outreach to key stakeholders	Confirm market demand based on target sector potential	Develop overall narrative based on key strengths and potential market positioning	Develop overall framework for the successful implementation of the strategy	Develop action plan to monitor activities over the next five years	Consolidate the materials into a report summarizing the findings and recommended next steps
Timing	COMPLETED	COMPLETED	COMPLETED	COMPLETED	April – June	February – June	June	May – June	May – June	June – July	June – July

DISCUSSION

CONTACT

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Vice President Research

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Laura O'Blenis

President & CEO

laura@thinkstiletto.com

STILETTO

ITEM 5.0 – Unanimous Consent Agenda

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

Recommended: That the items listed on the consent agenda be approved or received for information by the Board of Governors by unanimous consent.

EXECUTIVE SUMMARY:

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.

ITEM 5.1(a) – New Scholarships, Awards, and Prizes

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

New Scholarships, Awards, and Prizes recommended by the Senate are approved by the Property & Finance Committee on behalf of the Board of Governors in accordance with the Property & Finance Committee Terms of Reference. The following new scholarships, awards and prizes were approved at the June 1, 2021 Property & Finance Committee meeting.

ATTACHMENT(S):

[New Scholarships, Awards, and Prizes](#)

ITEM 5.1(a) – New Scholarships and Awards

John Dobson Foundation Founders Award (Any Undergraduate Program)

Awarded annually to full-time undergraduate students in Year 2 of any degree program based on demonstrated engagement with entrepreneurship activities at Western and academic achievement. Applications can be obtained online through the Morrisette Institute for Entrepreneurship's website and must be submitted with a one-page statement that describes the applicant's entrepreneurship activities. Applications will be open to students at the end of Year 1, with an application deadline of April 30. Recipients will be confirmed in the fall once they register in Year 2. A committee in the Morrisette Institute for Entrepreneurship will select the recipients. The award will continue in Years 3 and 4, provided that the recipient maintains full-time status and continues engagement with entrepreneurship activities at Western, as determined by the Morrisette Institute for Entrepreneurship. The award value will increase to \$10,000 in Year 4, as long the recipient progresses to leadership of entrepreneurship activities, as determined by the Morrisette Institute for Entrepreneurship. If a recipient does not maintain the award, a replacement student will be selected from the same cohort. This award was established with a generous gift from the John Dobson Foundation.

Value: 5 at \$20,000 (\$5,000 in years 2 and 3, and \$10,000 in year 4)
Effective Date: 2021-2022 to 2027-2028 (the last new recipients will be selected in 2025-2026)

Doug McGregor HBA Award (Ivey)

Awarded to a student entering HBA Year 1 at the Ivey Business School who has graduated from a high school in the City of London or Middlesex County and has demonstrated financial need. This award will continue in HBA Year 2 provided that the student maintains a 70% average and demonstrates financial need. Online financial assistance applications are available through Student Center and must be submitted by September 30th. The Ivey HBA Scholarship Committee will make the final selection of the recipient after the Office of the Registrar assesses financial need.

Value: 1 at \$5,000, continuing
Effective Date: 2021-22 to 2025-26 academic years inclusive, with final HBA1 recipient selected in the 2024-2025 academic year

Reg Jackson HBA Entrepreneurship Award (Ivey)

Awarded annually to a full-time student entering the HBA program at the Ivey Business School, based on academic achievement, community leadership, interest in entrepreneurship and/or family business, and who has demonstrated financial need. Where possible, preference will be given to a student from the St. Mary's or Stratford communities, or from Huron or Perth counties. Online financial assistance applications are available from Western's Student Center and must be submitted by September 30th. The HBA Awards Committee will select the recipients after the Office of the Registrar assesses financial need. The award will be renewed for HBA2 provided the student remains a full-time student and continues to meet the award criteria. This award was established with a generous gift from Reg Jackson, HBA '96.

Value: 2 at \$5,000, continuing
Effective Date: 2021-2022 to 2026-2027 academic years inclusive, with final HBA1 recipients selected in the 2025-2026 academic year

Dr. Alexis N. Peters Award for Student Athletes (Athletics)

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 any Mustang Varsity Team. Preference will be given to a graduate student. If there is no eligible graduate student, preference will be given to a fourth year undergraduate student. As per OUA and U SPORTS 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 U SPORTS regulations. The Western Athletic Financial Awards Committee will select the recipient. This committee will base its decision on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Dr. Alexis N. Peters (RN, BA 1990, MA 1992, PhD 1999).

Value: 1 at \$1,500

Effective Date: 2021-2022 to 2025-2026 academic years inclusive

Dr. Alexis N. Peters completed her PhD at Western focusing on the health and well-being of elite athletes. She then went on to teach at Mt. Royal University in Calgary for 20 years. Her students, who she deeply cared for, fondly nicknamed her “Dr. P” given her passion, humour and dedication to teaching. As a result, she was honoured with the SAMARU “Teaching Excellence Award” in 2018. Dr. P’s research often resonated with “student athletes” who reached out to her as they moved forward from their “sport identity.” Dr. P sincerely hopes that this award will help student athletes to pursue excellence in achieving the other goals and dreams that are also a very important part of their lives.

Bill Hunter Football Award (Athletics)

Awarded to a full-time undergraduate and 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 Men's Football Team. Candidates must be in compliance with current OUA and U SPORTS regulations. As per OUA and U SPORTS 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 recipients basing its decision on its evaluation of academic performance/potential (20%) and the written recommendation from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Mr. Bill Hunter (BA Honours 1973).

Value: 1 at \$1,500

Effective Date: 2021-2022 to 2025-2026 academic years inclusive

Barratt Football Award (Athletics)

Awarded annually to a full-time undergraduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a contribution as a member of the Men's Football Team. Preference will be given to a student in the DAN Department of Management & Organizational Studies, enrolled in either the Accounting or Finance modules. Candidates must be in compliance with current OUA and U SPORTS regulations. As per OUA and U SPORTS 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 basing its decision on its evaluation of academic performance/potential (20%) and the written recommendation from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Mr. Jeff Barratt (BACS 2002).

Value: 1 at \$1,500

Effective Date: 2021-2022 to 2025-2026 academic years inclusive

Donald B. McMillan Honours Thesis Award in Biology (Science)

Awarded annually to the fourth year student in an Honours Specialization in Biology who presents the best honours thesis during the Annual Thesis Day presentation held each April. A committee in the Department of Biology will evaluate the final thesis submissions and grant the award based on their selection of the best thesis. This award was established with a generous gift from Lone Jensen in memory of her husband Dr. Donald B. McMillan (MSc 1953).

Value: 1 at \$5,000

Effective Date: 2021-2022 academic year

Donald McMillan earned his PhD from the University of Toronto and taught in the Department of Zoology at Western University until his retirement in 1994. During his time at Western, he was a mentor and friend to both students and colleagues. He loved teaching and inspired many young students to make science their life's work. Besides contributing many publications with his students in prominent journals, Donald published two books: Fish Histology, Female Reproductive Systems and an Atlas of Comparative Vertebrate Histology (co-authored by Richard Harris). In addition to vertebrates, Don's passions included Bach, opera, cycling, the glories of the natural world, and his cottage by the Fundy shore in Back Bay, New Brunswick.

James Family Hockey Award (Athletics)

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 U SPORTS regulations. As per OUA and U SPORTS 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 made possible by a generous gift by Mr. Michael James and his family.

Value: 1 at \$3,500

Effective Date: 2021-2022 to 2025-2026 academic years inclusive

Heffernan Family Football Award (Athletics)

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 Men's Football Team. Preference will be given to a student who graduated from a London high school, in particular St. Thomas Aquinas Catholic Secondary School. Candidates must be in compliance with current OUA and U SPORTS regulations. As per OUA and U SPORTS 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 basing its decision on its evaluation of academic performance/potential (20%) and the written recommendation from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Mr. Christian Heffernan (BA 2004, BEd 2008) and his family.

Value: 1 at \$1,500

Effective Date: 2021-2022 to 2025-2026 academic years inclusive

Kathy Obright Graduate Award in Physical Therapy (Health Sciences)

Awarded annually to a graduate student completing first year of the Master of Physical Therapy program who demonstrates a collaborative and supportive learning approach with classmates, as well as an exemplary aptitude in Orthopedics. Nominations from other students, faculty and staff must be made by May 31st to the Administrative Office of the School of Physical Therapy. The recipient will be selected by the Student Affairs Committee in the School of Physical Therapy. At least one representative must be a current member of the School of Graduate and Postdoctoral Studies. This award was established by a generous gift from family, friends and colleagues in memory of Professor Kathy Obright (MSc Physical Therapy, 1995), a former Faculty member in the School of Physical Therapy.

Value: 1 at \$1,000

Effective Date: May 2021

Kathy grew up in Owen Sound and loved sports. Her interest in athletic injuries led her to the Kinesiology program at the University of Waterloo, the Physical Therapy Program at the University of Toronto and the Master's Program in Physical Therapy at Western. Kathy began teaching at Western in 1989 and over her 30 year career received many prestigious teaching awards, including the Edward G. Pleva Award, Western's highest teaching award, as well as the Ontario Physiotherapy Association's Education Award. Kathy had a career-long interest in orthopedics. She loved to share her knowledge with her students and always went the extra mile to ensure they were supported to become well-rounded, highly competent Physical Therapists. Kathy died in June 2020 at the age of 61.

Dr. David P. Christie Memorial Award (Schulich School of Medicine & Dentistry)

Awarded annually to an undergraduate student entering Year 1 of the Doctor of Dental Surgery (DDS) program, based on academic achievement and demonstrated financial need. Candidates must complete an admission financial assistance application form, available online through Student Center, by April 1st. The recipient will be selected by the Office of the Registrar. This award was established by Mrs. Susan Christie and friend Mr. Tim Paziuk in memory of Dr. David Paul Christie (MA Psychology 1977, DDS 1980).

Value: 1 at \$1,600

Effective Date: 2021-2022 academic year

After graduating from Western University in Dentistry, Dave and Susan Christie moved to Victoria, where Dave set up his dental practice. He retired in 2000 but remained active in the dental community, mentoring new practicing dentists. He was a consultant on Dental Practice Transitions and was the Public Liaison for the Victoria District Dental Society for over 30 years. He was passionate about life, his family, his friends and his career. Dave died in 2020 at the age of 69.

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

Awarded annually to a student in any year of the Doctor of Medicine (MD) program, based on academic achievement and demonstrated financial need. Preference will be given to a student who has been involved in their community. Online financial assistance applications are available through Student Center and must be completed by September 30th. In addition, candidates must submit an online application to the Undergraduate Medical Education Office by October 31st outlining their community involvement. The recipient will be selected by the Undergraduate Medical Education Awards Committee in the Schulich School of Medicine & Dentistry after the Office of the Registrar has assessed financial need. This award was established with a generous gift from Cheri (BSc 1987, BEd 1988) and Arnold Drung, and their sons, Jeremy (BMSc 2016, MD 2020), Benjamin (BMSc 2018), and Jacob.

Value: 1 at \$2,500

Effective Date: 2021-2022 to 2025-2026 academic years inclusive

Law Class of 1982 Award (Law)

Awarded annually to an undergraduate student in Year 2 or Year 3 in the Faculty of Law, based on a minimum 70% average, and demonstrated financial need. Online financial assistance applications can be accessed through Student Center and must be submitted by September 30th. Preference will be given to a student who is active in campus activities that support the well-being of other students. Candidates must submit a one-page statement outlining their involvement in campus activities to the Dean's Office in Law by September 30th. The Scholarship/Awards Committee in the Faculty of Law will select the recipient after the Office of the Registrar assesses the financial need. This award was established by a generous gift from the Law Class of 1982 in honour of their 35th reunion year, and in memory of the classmates they have lost over the years.

Value: 1 at \$1,000

Effective Date: 2021-2022 academic year

Dr. Shayne Plosker Northern Ontario Bursary (Schulich School of Medicine & Dentistry)

Awarded annually to a 1st or 2nd year medical (MD) student, based on demonstrated financial need. Preference will be given to a student from northern Ontario. Online financial assistance applications are available through Student Center and must be completed by October 31st. The Office of the Registrar will select the recipient. This bursary was established with a generous gift from Dr. Shayne Plosker.

Value: 1 at \$1,500

Effective Date: 2021-2022 to 2025-2026 academic years inclusive

Dr. Shayne Plosker was born in Kenora, ON, where he lived until entering first year Natural Sciences at Western. In 1982, he graduated from Western's Medical School and completed his Residency in Obstetrics and Gynaecology at Western in 1987. Dr. Plosker treasures his childhood in Northern Ontario, recognizes the hardships and distances that challenge students from that area, and is forever grateful for the opportunities that medical training at Western provided to him.

Paul Woolford Founders Award (Any Undergraduate Program)

Awarded annually to full-time undergraduate students in Year 2 of any degree program based on demonstrated engagement with entrepreneurship activities at Western and academic achievement. Applications can be obtained online through the Morrissette Institute for Entrepreneurship's website and must be submitted with a one-page statement that describes the applicant's entrepreneurship activities. Applications will be open to students at the end of Year 1, with an application deadline of April 30. Recipients will be confirmed in the fall once they register in Year 2. A committee in the Morrissette Institute for Entrepreneurship will select the recipients. The award will continue in Years 3 and 4, provided that the recipient maintains fulltime status and continues engagement with entrepreneurship activities at Western, as determined by the Morrissette Institute for Entrepreneurship. If a recipient does not maintain the award, a replacement student will be selected from the same cohort. Only one student will hold this award during any year. This award was established by generous gifts from Mr. Paul Woolford's many family and friends in his memory.

Value: 1 at \$20,000 (\$5,000 in years 2 and 3, and \$10,000 in year 4)

Effective Date: 2021-2022 to 2023-2024 academic years inclusive (value to be reviewed for 2024-2025)

Paul Woolford was a Partner at KPMG and a critical part of the Ivey Business School's nationally recognized Quantumshift™ program for high growth entrepreneurs across Canada. Paul was an ardent supporter of entrepreneurship and continuing education for entrepreneurs.

James Robert Borbridge and Aileen Borbridge Bursary (Music)

Awarded annually to a full-time student entering any Music program in the Don Wright Faculty of Music, based on demonstrated financial need. Online financial assistance applications are available through Student Center and must be submitted by October 31st. The Office of the Registrar will select the recipient. This bursary was established with a generous bequest from the Estate of Mr. James Robert Borbridge. James and Aileen Borbridge's hope was that students with music potential, who might not have been able to attend Western due to financial restraints, receive the support they need.

Value: 1 at \$4,000

Effective Date: 2021-2022 academic year

Lesley Mounteer Award in Student Leadership (Engineering)

Awarded annually to a full-time undergraduate student in Year 3 or higher of any program in the Faculty of Engineering, based on a minimum 70% average, who has shown exceptional leadership skills through involvement in extra-curricular activities in the Undergraduate Engineering Society or other engineering clubs/teams. A one-page statement outlining the student's leadership skills and involvement must be completed with an online application through the Engineering Undergraduate Services website (<http://www.eng.uwo.ca/undergraduate>) by September 30th. The recipient will be selected by the Scholarship and Awards Committee in the Faculty of Engineering. This award was established by Alumni and friends in honour of Lesley Mounteer and her many contributions to better the lives of engineering students.

Value: 1 at \$2,000

Effective Date: 2021-2022 academic year

For twenty-six years, Lesley tirelessly supported engineering student leaders to be the best versions of themselves and to drive Western Engineering forward. Lesley was someone you could always turn to for help, support and guidance. Lesley retired from her position as Director of External Services in Engineering at Western in 2021, but her legacy will continue on in this award.

Norm Duke Industrial Award in Geology (Science)

Awarded annually to an undergraduate student entering third or fourth year of an Honours Specialization in Geology – For Professional Registration, based on a minimum 70% average, participation in field work through course work and a strong interest in pursuing a career in the Geology industry. Preference will be given to a student who is involved in sports. Candidates must submit a one-page statement outlining their interests and involvement by September 30th to the Departmental Office of Earth Sciences. The recipient will also be offered a paid summer internship with Millennial Silver, Mr. Jason Kosec's company. A representative from Millennial Silver will be invited to sit on the committee but the Department of Earth Sciences will select the recipient in the fall. The recipient is not obligated to participate in the internship. This award was established by a generous gift from Mr. Jason Kosec (BSc 2014) in honour of Norm Duke.

Value: 1 at \$12,000

Effective Date: 2021-2022 to 2025-2026 academic years inclusive

Dr. Norman Duke joined the Department of Earth Sciences in 1983. During his time at Western, Dr. Duke's work focused on conducting regional metallogenic analysis. His areas of field study include the Archean Superior and Slave cratons, the Proterozoic Southern, Churchill, Bear and Grenville provinces, and the Phanerozoic Appalachian and Cordilleran orogens. Dr. Duke is widely respected for his contributions to the field of economic geology, receiving the Duncan R. Derry Award, the highest award bestowed by the Mineral Deposits Division of the Geological Association of Canada. Dr. Norman Duke's teachings and field courses had immeasurable impact to the many students he taught during his tenure, helping to inspire the next generation of geologists and earth scientists.

Dr. George L. Frederick & Mrs. Amelia Frederick Bursary (Schulich School of Medicine & Dentistry)

Awarded annually to a first-year student entering the Bachelor of Medical Science program, based on demonstrated financial need. Online financial assistance applications are available through Student Center and must be completed by October 31st. The Office of the Registrar will select the recipient. This bursary was established with a generous gift from Mrs. Amelia Frederick on behalf of her and her husband, Dr. George L. Frederick (MSc 1953).

Value: 1 at \$2,000

Effective Date: 2021-2022 academic year

Dr. George L Frederick was able to complete his university degrees through the generosity of scholarships. He was passionate about his varied and changing career. It started with animal research in Ottawa, led to a one year research sabbatical at Cambridge University in the UK, then to human toxicology, and ended with Health and Welfare Canada, Bureau of Dangerous Drugs. He was very proud of earning international recognition in his career. All this was facilitated by the loving support of his wife Amelia Frederick. George died in 2020 at the age of 89. Amelia has established this bursary in memory of George to create opportunities for other motivated students. She wishes the recipients well in their academic studies and professional career.

Dr. George L. Frederick & Mrs. Amelia Frederick Scholarship (Schulich School of Medicine & Dentistry)

Awarded annually to a student entering third year in an Honours Specialization in Interdisciplinary Medical Sciences in the Bachelor of Medical Science program, based on academic achievement (minimum 80% average). The Director of IMS, Associate Dean of BMSUE and the BMSUE Coordinator, within the Schulich School of Medicine & Dentistry, will select the recipient. This scholarship was established with a generous gift from Mrs. Amelia Frederick on behalf of her and her husband, Dr. George L. Frederick (MSc 1953).

Value: 1 at \$2,000

Effective Date: 2021-2022 academic year

Dr. George L Frederick was able to complete his university degrees through the generosity of scholarships. He was passionate about his varied and changing career. It started with animal research in Ottawa, led to a one year research sabbatical at Cambridge University in the UK, then to human toxicology, and ended with Health and Welfare Canada, Bureau of Dangerous Drugs. He was very proud of earning international recognition in his career. All this was facilitated by the loving support of his wife Amelia Frederick. George died in 2020 at the age of 89. Amelia has established this bursary in memory of George to create opportunities for other motivated students. She wishes the recipients well in their academic studies and professional career.

Milos and Kveta Novak Engineering Entrance Scholarship (Engineering)

Awarded annually to a full-time undergraduate student entering first year in the Faculty of Engineering, based on academic achievement (minimum 80% average). The Office of the Registrar will select the recipient. This scholarship was established through a generous estate gift from Kveta Anna Novak.

Value: 1 at \$4,000

Effective Date: 2021-2022 academic year

Kveta (Kitty) Anna Novak (nee Jiraskova) travelled throughout the world as an Executive Chef with her husband Professor Milos Novak. Professor Novak taught in the Faculty of Engineering at Western from 1968 to 1990. He was considered one of the foremost world experts in dynamics of civil engineering structures and foundations. He made important contributions to earthquake engineering and wind engineering. Kveta died in 2020, predeceased by Milos in 1994.

Dr. Cathy MacLean Award in Rural Medicine (Schulich School of Medicine & Dentistry)

Awarded annually to full-time students completing Year 4 in the Doctor of Medicine (MD) program, who have been accepted into a Family Medicine Rural/Regional Residency Training Program. Preference will be given to students who have expressed an interest in establishing a practice in Rural Ontario. Candidates must submit an online application outlining their interest in Rural Family Medicine and practicing in Rural Ontario by March 31st. The Office of Distributed Education in consultation with the Department of Family Medicine will select the recipients with the approval of the Undergraduate Medical Education Awards Committee. This award was established by a generous donation from Dr. Stephen Jones, in honour of Dr. Cathy MacLean.

Value: 2 at \$10,000

Effective Date: 2021-2022 academic year

Dr. Stephen Jones completed his Medical degree at McGill University and went on to complete his residency in Family Medicine at Western. He credits his mentor, Dr. Cathy MacLean, for his success. Dr. Jones spent his career in Family Practice in rural southwestern Ontario and is hoping others will be inspired to follow in his footsteps.

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

Awarded annually to a student completing Year 4 in the Doctor of Medicine (MD) program, who is planning to specialize in Rheumatology. Preference will be given to female students. Students must submit an online application which includes a statement outlining their demonstrated interest in Rheumatology to the Undergraduate Medical Education Office by March 31st. The Department of Rheumatology will select the recipient with the approval of the Undergraduate Medical Education Awards Committee. This award was established by a generous gift from Dr. Dhar Dhanda, Mrs. Harv Dhanda and their family, in memory of Dr. Dhanda's mother, Gurmej Kaur Dhanda, who passed away from the effects of scleroderma, an autoimmune rheumatic disease. Dr. Dhar Dhanda is a proud Western Alumnus who completed his Medical Degree in 1997 and Ophthalmology Residency in 2002.

Value: 1 at \$2,500

Effective Date: 2021-2022 to 2030-2031 academic years inclusive

Hotel Dieu 1888 Presidents Legacy Award (Schulich School of Medicine & Dentistry)

Awarded annually to a full-time student in Year 2 of the Doctor of Medicine (MD) program, Schulich School of Medicine & Dentistry, Windsor Campus, based on demonstrated academic achievement, leadership and volunteer involvement in the community. Candidates are asked to submit an online application to the Undergraduate Medical Education Office outlining their community involvement, along with a letter of reference from the community representative by March 31st. The recipient will be selected by the Associate Dean, Windsor Campus with the approval of the Undergraduate Medical Education Awards Committee. This award was established by the Professional Medical Staff Association of the former Hôtel Dieu Grace Hospital in Windsor, ON.

Value: 1 at \$1,480

Effective Date: 2021-2022 academic year

Halina Robinson Award in Science (Science)

Awarded annually to an undergraduate student in any year in the Faculty of Science, based on a minimum 70% average and demonstrated financial need. Online financial assistance applications are available through Student Center and must be submitted by September 30th. The Office of the Registrar will select the recipient. Preference will be given to a student who is the first member of their family to attend University. This award was established with a generous gift from Mrs. Halina Czajkowska-Robinson.

Value: 1 at \$1,000

Effective Date: 2021-2022 academic year

Halina Maria Czajkowska-Robinson was born in 1927. She was the daughter of a Polish military officer and wrote a book describing her experiences in Poland before and during World War II, "Heaven, Hell and Purgatory: A Canadian Memoir of a Happy Polish Childhood, Nazi Horror, and Swedish Refuge". She details that, after fleeing Zamosc for Warsaw in late 1940, she attended an underground school and later witnessed the destruction of the Warsaw Ghetto. She and her mother were arrested during the Warsaw Uprising in 1944, transported to Auschwitz, and from there deported to Bergen-Belsen. After the liberation of Bergen-Belsen in 1945, they were sent as displaced persons to Sweden, where Halina studied and became a Chemical Engineer. Resettled in Canada, she found work in a university laboratory, where her important observation led to the recognition of the first vinca alkaloid as a cure for childhood leukemia.

Dr. James Russell Robinson Award in Science (Science)

Awarded annually to undergraduate students in any year in the Faculty of Science, based on academic achievement, and demonstrated financial need. Online financial assistance applications are available through Student Center and must be submitted by September 30th. The Office of the Registrar will select the recipients. This award was established with a generous gift from Mrs. Halina Czajkowska-Robinson in memory of her husband Dr. James Russell Robinson (BSA 1948, MScA 1949, PhD 1953).

Value: 1 at \$1,000

Effective Date: 2021-2022 academic year

James Russell Robinson joined the Royal Canadian Armed Forces in 1941 where he trained as a radio technician and research technician during WWII. Following medical retirement from the RCAF he returned to university and graduated as a specialist in organic chemistry. As a Research Scientist with Agriculture Canada he authored more than 40 scientific papers from 1953 to 1985. After retiring, he published several critical studies concerning the history of radar, e.g. "Radar Intelligence and The Dieppe Raid" and "Radar Officers of The Royal Canadian Air Force 1940-1946". He has provided on-going funding for a collection of books at The Weldon Library, U.W.O. all relative to Radar technology and history. Dr. Robinson died in 2010 at the age of 89.

Dr. David Gilbert Memorial Award in Dentistry (Schulich School of Medicine & Dentistry)

Awarded annually to an undergraduate student entering Year 1 of the Doctor of Dental Surgery (DDS) program, based on academic achievement and demonstrated financial need. Candidates must complete an admission bursary application, available online through Student Center, by April 1st. The recipient will be selected by the Office of the Registrar. This award was established by Kathleen Wilkinson (BA 1975) and Gregory Gilbert (BA 2008) in 2020 to honour the 20th anniversary of the passing of their husband and father, Dr. David Gilbert (DDS 1977).

Value: 1 at \$1,500

Effective Date: 2021-2022 to 2025-2026 academic years inclusive

Olga and Dmetro Maykut Memorial Bursary (Schulich School of Medicine & Dentistry)

Awarded annually to a student in Year 3 or 4 of the Doctor of Medicine (MD) program, based on demonstrated financial need. Online financial assistance applications are available through Student Center and must be completed by October 31st. The recipient will be selected by the Office of the Registrar. This bursary was established with a generous gift from Dr. Robert J. Maykut (MD '84) and Mr. Timothy S. Maloney in memory of Dr. Maykut's late parents, Olga and Dmetro Maykut, and for the all sacrifices they made for his education.

Value: 1 at \$1,800 (with review of value in final year)

Effective Date: 2021-2022 to 2025-2026 academic years inclusive

Dr. Robert J. Maykut trained in Respiratory Medicine at Western and was an Associate Professor of Medicine at St. Joseph's Health Centre in London, Ontario until late 2000. His career took him to New York State to become the Program Director of Internal Medicine Clinical Clerkship Training at the Binghamton Clinical Campus, affiliated with Upstate Medical University. Several years later, Dr. Maykut joined the Clinical Development and Medical Affairs division of Novartis Pharmaceuticals Corporation, where he contributed to research endeavours on therapeutic products for asthma, COPD and Cystic Fibrosis-related pulmonary disease. Dr. Maykut retired in 2016 and lives with his husband in Key West, Florida.

Physical Education Class of 1970 Bursary in Kinesiology (Health Sciences)

Awarded annually to a student in 2nd, 3rd or 4th year of an Honours Specialization in Kinesiology, based on demonstrated financial need. Online financial assistance applications are available through Student Center and must be submitted by October 31st. The Office of the Registrar will select the recipient. This bursary was established through generous donations from the Physical Education Class of 1970.

Value: 1 at \$1,500

Effective Date: 2021-2022 to 2025-2026 academic years inclusive

Sweitzer Family Bursary (Any Undergraduate Program)

Awarded annually to an undergraduate student, in any year of any program, based on demonstrated financial need. Preference will be given to an Indigenous student (First Nations, Inuit or Métis). Online financial assistance applications are available through Student Center and must be submitted by October 31st. The Office of the Registrar will select the recipient. This bursary was established with a generous gift from Frances Sweitzer (BA 1966) and her husband Jim Sweitzer.

Value: 1 at \$2,000

Effective Date: 2021-2022 to 2025-2026 academic years inclusive

Margaret Kesson Pearen Memorial Bursary (Schulich School of Medicine & Dentistry)

Awarded annually to a 3rd or 4th year Medical Science or Neuroscience student, based on demonstrated financial need. Preference will be given to a student who is the first in their family to attend post-secondary school. Online financial assistance applications are available through Student Center and must be completed by October 31st. The Office of the Registrar will select the recipient. This bursary was established with a generous gift from Nicole Balan and Richard Pearen in memory of Margaret Kesson Pearen.

Value: 1 at \$1,000

Effective Date: 2021-2022 academic year

Margaret graduated in 1967 from the faculty of Pharmacy at the University of Toronto with the John Roberts Scholarship for the highest marks in her graduation year. She was the first in her family to attend university, having received an entrance scholarship. Her career was devoted to direct patient care within a community pharmacy setting, as a community pharmacist, owner and manager. Margaret was a devoted wife, mother, and daughter. Margaret believed in giving back in the spirit of volunteerism and charitable giving. Margaret died suddenly of an aggressive glioblastoma brain tumor in 2020.

Donna Deaken Graduate Scholarship (Engineering)

Awarded annually in even years to a full-time Master's student in the Faculty of Science (including the Masters of Environmental & Sustainability) who is conducting research studies related to environmental protection and in odd years to a full-time Master's student in the Faculty of Engineering, who is conducting research studies related to aviation, aerospace or environmental protection. Candidates must demonstrate strong academic achievement (minimum of 78% average or equivalent) and research merit. Preference will be given to female students who are Canadian citizens or permanent residents with demonstrated financial need. Candidates must submit a one-page statement detailing their

research, academic achievement and their financial need, if applicable, to the respective Dean's Office in the Faculty of Science or the Faculty of Engineering by September 30th. The Graduate Scholarship Committee in Science or the Graduate Scholarship Committee in Engineering will select the recipient. At least one representative of the selecting committee must hold membership in the School of Graduate and Postdoctoral Studies. This award was established with a generous bequest from the Estate of Miss Donna Marie Deaken (BSc Honors 1964).

Value: 1 at \$19,200
Effective Date: May 2021

Donna worked at the Ontario Centre of Forensic Sciences and later moved to the Xerox Research Centre of Canada as Head of the Department of Occupational Health and Safety. Donna was an expert skier and ski instructor, keen pilot and member of the Ninety-Nines, Inc. International Organization of Women Pilots. After retirement, she taught English as a Second Language and travelled extensively. Donna died in 2017 at the age of 76.

Drs. Vipin and Bhooma Bhayana Award in Family Medicine (Schulich School of Medicine & Dentistry)

Awarded annually to a student completing Year 4 in the Doctor of Medicine (MD) program, who is planning to specialize in Family Medicine and work with marginalized communities. Candidates must submit an online application which includes a statement outlining their demonstrated interest in Family Medicine, and working with marginalized communities, to the Undergraduate Medical Education Office by March 31st. The Department of Family Medicine will select the recipients with the approval of the Undergraduate Medical Education Awards Committee. This award was established by a generous gift from Dr. Bhooma Bhayana (MD 1985) and Dr. Vipin Bhayana.

Value: 1 at \$1,000
Effective Date: 2021-2022 academic year

Dr. Edward James Middleton Graduate Bursary (Schulich School of Medicine & Dentistry)

Awarded annually to graduate students enrolled in a Master's Biochemistry or Physiology and Pharmacology program, based on research merit and demonstrated financial need. Preference will be given to students who have been accepted into a Doctor of Medicine (MD) program and have taken a leave to pursue a Master's degree in Biochemistry or Physiology and Pharmacology. Graduate students must submit a one-page statement outlining their research studies and financial need to their respective Department of Biochemistry or Physiology and Pharmacology by October 31st. The Graduate Scholarship Committees in Biochemistry and Physiology and Pharmacology, in cooperation with the Scholarship Committee in the Schulich School of Medicine & Dentistry, will select the recipients. This bursary was established with a generous bequest from the Estate of Dr. Edward James Middleton (PhD 1959 from Rutgers University, MSc 1955 and BSc 1952 from Western).

Value: 3 at \$9,000
Effective Date: May 2021

Ronald J. Truant Award in Psychiatry (Schulich School of Medicine & Dentistry)

Awarded annually to a full-time Doctor of Medicine (MD) student entering year 4, who has excelled in their Psychiatry rotations and who shows potential to complete their residency in Psychiatry. While preference will be given to students of the Windsor Campus, this award is open to all 4th year MD students of the Schulich School of Medicine & Dentistry. The recipient will be selected by the Department of Psychiatry with the approval of the Undergraduate Medical Education Awards Committee. This award was established by Mrs. Noella J. Truant in memory of her husband, Ronald J. Truant.

Value: 1 at \$1,000

Effective Date: 2020-2021 academic year

Ron became a Chartered Accountant in 1976. In 1980 he began working as an International Consultant starting with an Education Development Project in Nigeria. He went on to serve both as a Trustee and as a Board Member of the Windsor Catholic High School Board. He also served as an Instructor for the Faculty of Business, University of Windsor, from 1978 to 1984. Ron was involved in Healthcare having served on many Boards particularly as Chair of Windsor Regional Hospital and as a Board Member of Hotel Dieu-Grace Healthcare. He was an astute businessman, forward thinker and a visionary who provided great leadership and direction. Healthcare and Education were his passion. Ron died in 2016 at age 65.

KPMG Equity, Diversity and Inclusion HBA2 Award (Ivey)

Awarded annually to full-time HBA2 students at the Ivey Business School with a minimum 70% average who exhibit enthusiasm, demonstrate behaviours, and act intentionally to foster a safe community that embraces equity, diversity, and inclusion. The recipient will be nominated by their peers and selected by the HBA Scholarship Committee, with input from Ivey Faculty and members of the HBA Association. These awards were established with a generous gift from KPMG Foundation.

Value: 2 at \$7,500

Effective: 2021-2022 to 2023-2024 academic years inclusive

ITEM 5.1(b) - Report of the Investment Committee

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

The Investment Committee is a subcommittee of the Property & Finance Committee, responsible for establishing the investment policy, objectives and strategy, appointing managers and investment consultants, and periodically reviewing the portfolio performance. This report is provided quarterly for information to the Property & Finance Committee and the Board of Governors.

As at March 31, 2021, the University had \$2.46 Billion (2020 - \$1.98 Billion) in assets under management (“AUM”) across the short-term portfolio, mid-term portfolio (“MTP”), and the operating and endowment fund (the “Fund”). The Fund comprises approximately 68% of the AUM.

The Fund is managed for long-term performance with 5 and 10 year returns of 9.8% and 9.4%, respectively, and has met its objectives over these periods. The endowed portion of the Fund pays an annual allocation for each endowment’s individual intended use at the University.

Most recently, the Investment Committee and Management have been involved in implementing the strategic asset mix changes that were approved in June 2020. The investment office has funded mandates in global low volatility equity, global equity, private debt and renewable energy. Implementation of the strategic asset mix has now shifted towards planning for an expanded private equity mandate (to be completed in 2021).

Management has also engaged with Mercer, the University’s investment consultant, to help guide the future development of the Responsible Investing (RI) Strategy. The development work will continue throughout 2021. As part of this activity, measuring our carbon footprint will now be completed annually. The 2020 carbon footprint analysis shows carbon emissions from public equity holdings have decreased 30% year-over-year in the Fund, and by 36% in the MTP. Moreover, the Fund has had a 65% decrease in carbon emissions from public equity holdings since 2015.

ATTACHMENT(S):

[Report of Investment Committee including Appendix 1](#)

Report of the Investment Committee

This report outlines the market value of the assets under management and the recent activities of the Investment Committee. In addition, the performance of the Mid-Term Portfolio and Operating & Endowment Fund are provided.

Total Investments:

The following chart summarizes the total market value of investments held at March 31, 2021:

Asset Portfolio	Market Value
Short-Term Portfolio	597.4
Mid-Term Portfolio	189.6
Operating Portfolio:	
Obligations	518.2
Surplus	<u>207.7</u>
Total Operating Portfolio	<u>725.9</u>
Endowment Portfolio	946.8
Total Operating & Endowment Fund	1,672.7
Jarislowky Fraser Seg. Investment	2.9
Total Investments	2,462.6

Update on Investment Committee Activities:

- As reported in the September 30 update, Management conducted and completed manager searches for global low volatility equity, global equity, private debt and renewable energy mandates. All mandates were approved by the Investment Committee, and have been funded. Each Investment Manager was new to the Fund and has been onboarded accordingly.
- As part of the strategic asset mix implementation, the Investment Committee has continued its work, through a working group, to review its private equity program in light of the increased target allocation to 12.5%. This work is underway and expected to be complete in 2021.
- The Investment Committee recommended updates to its Terms of Reference, which were approved in April 2021. The changes focused on membership, allowing up to six members (previously five) to be appointed by the Property & Finance Committee, on the recommendation of the Investment Committee. The revision was in response to the increasing complexities of the investment portfolios and the need for the Investment Committee to continue to attract members with investment expertise. Management has begun the process of investigating potential new members for consideration by the Investment Committee.
- Management has successfully onboarded a new staff member. Tahir Aziz, Investment Associate, has joined the investment office, effective April 5, 2021. Tahir joins Western from the Investment Management Corporation of Ontario (IMCO) and is a CPA, working towards his Chartered Financial Analyst (CFA) designation.

- Management is currently working on a liquidity analysis framework to support the University actions through future market liquidity challenges, such as was experienced in the market during the onset of the COVID-19 global pandemic. In addition, Management is implementing the dedicated investment line of credit to help manage short-term liquidity in the Fund (approved in 2020).

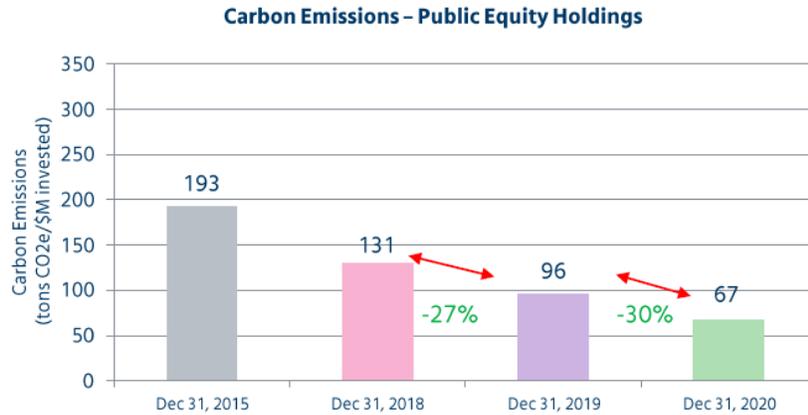
Responsible Investing Strategy

Current activities

- Over the past year there has been a marked shift towards the concept of Responsible Investing (RI) and Environmental, Social and Governance (ESG) factors in capital markets.
- Western has a RI Policy in the Statement of Investment Objectives, Policies and Governance (the third-generation language was approved in 2020), however, further development of a RI Strategy is desirable.
- Management has engaged with Mercer, the University's investment consultant, to help guide the development of the RI Strategy; we expect this work to be completed in the second half of 2021.
- The RI Strategy development requires (1) a review of our current activities, commitments and measurements, (2) knowledge of industry and peer best practice, and (3) setting future expectations of our RI practices. Environmental factors, such as climate change, will be a specific consideration in the strategy, however, social and governance factors will also shape our long-term strategy.
- Work is underway to document our current position(s), relative to our commitments, peer and industry best practice. The resulting analyses will inform the next steps in the RI Strategy development and help Management and the Investment Committee set the pathway to achieve near term goals.
- Measurement (and monitoring) of RI metrics in the O&E Fund and MTP will form part of RI Strategy. Management has engaged Mercer to measure the carbon footprint. In addition, Management is considering other measurements, such as the portfolio's alignment with the UN Sustainable Development Goals (SDGs). Annual measurement will assist the Investment Committee and Management in tracking progress of the portfolios over time.

Recent highlights

- June 2020 – Western signed the “Investing to Address Climate Change” Charter. This sets out aspirational pledges for responsible investing practices.
- June 2020 – Western commits up to 10% of the O&E Fund (approx. \$140-150 Million) for Sustainable Investments. In September, 2020, the first allocation of 2.5% was made under this commitment.
- December 2020 – work commences with Mercer on the RI Strategy.
- May 2021 - preliminary results of the Carbon Footprint for O&E Fund. Year-over-year, carbon emissions from public equity holdings have reduced 30% and by 65% since 2015. In addition, the MTP public equity carbon emissions have declined by 36% since 2019 (not shown).



Financial Performance Metrics

Mid-Term Portfolio:

Performance

The performance related to the Mid-Term Portfolio at March 31, 2021 is as follows:

Account/Group	Ending Market Value CAD	Ending Weight	Policy Weight	% Rate of Return							Inception to Date	Inception Date
				One Month	Three Months	One Year	Three Years	Five Years	Ten Years			
University of Western Ontario	189,671,119	100.00		0.87	-0.48	12.04	-	-	-	5.14	08/08/2019	
Policy Index UWO				0.45	-0.20	12.82	-	-	-	6.83	08/08/2019	
Excess Return				0.42	-0.28	-0.79	-	-	-	-1.69	08/08/2019	
FTSE 91-Day T-Bills + 300 bps				0.27	0.77	3.24	-	-	-	3.95	08/08/2019	
Excess Return				0.59	-1.24	8.80	-	-	-	1.19	08/08/2019	

Source: Northern Trust Monthly Financial Reporting

Objectives

The main objective of the Mid-Term Portfolio is to outperform the FTSE 91-Day T-Bill Index by 300 basis points over a 3 to 5 year period.

As at March 31, 2021, the portfolio achieved its objective since inception. The portfolio does not yet have a three year track record to assess performance over the mid-term. The original contribution to the Mid-Term Portfolio was \$175 Million in 2019.

Operating & Endowment Fund:

Performance

The annualized performance of the Operating & Endowment Fund (the “Fund”) was as follows:

Asset Class	1 Year March 2021	5 Year March 2021	Since Inception
Fixed Income	5.7%	3.9%	7.3%
Equities:			
Canadian	44.1	9.9	9.0
US	41.8	14.0	10.3
International	26.2	8.6	6.7
Global	-	-	-
Private Equity	39.8	19.8	20.9
Real Estate	4.8	8.3	8.4
Infrastructure	16.6	10.3	11.1
Absolute Return	4.6	7.8	8.0
Currency Hedging	8.1	N/A	0.7
Money Market & Cash	1.5	1.8	1.5
Total Fund Return	28.3%	9.8%	8.7%
Benchmark Return	24.4%	8.9%	8.1%
Total Fund Real Return	25.5%	7.9%	6.6%

Additional Operating & Endowment Fund performance detail can be found in Appendix 1 to this report.

Objectives

The objectives of the Operating & Endowment Fund are as follows:

Real return

One of the Fund objectives is to maintain the purchasing power of the Fund after payout over the long-term. (i.e. to earn an amount after payout, over the rate of inflation, as measured by the Consumer Price Index). Inflation has averaged 1.8% per year for the five-year period.

For the five years ending March 31, 2021, the annualized real return was 7.9%.

Value added

A second Fund objective is to earn the return produced by the asset mix policy based on the return of the market indices plus a premium to reflect active portfolio management.

Over the five years ending March 31, 2021, the actual annualized return for the Fund was 9.8% and the return generated by the market indices for the portfolio was 8.9% (benchmark return).

Asset Mix

The table below provides the classification and market value of the assets held in the Operating & Endowment Fund at March 31, 2021:

	Market Value	Target Asset Mix			Actual Asset Mix
		Minimum	Target	Maximum	
Equities					
<i>Canadian</i>	290,438,185	7.5%	12.5%	17.5%	17.4%
<i>US*</i>	149,217,492	2.5%	7.5%	12.5%	8.9%
<i>EAFE*</i>	119,030,734	2.5%	7.5%	12.5%	7.1%
<i>Global*</i>	327,808,818	15.0%	20.0%	25.0%	19.6%
<i>Private</i>	173,358,878	7.5%	12.5%	17.5%	10.4%
Total Equities	1,059,854,107	52.5%	60.0%	67.5%	63.4%
Fixed Income					
<i>Core Fixed Income</i>	96,783,478	0.0%	5.0%	10.0%	5.8%
<i>Commercial Mortgages</i>	90,493,722	0.0%	5.0%	10.0%	5.4%
<i>Private Debt</i>	47,732,267	0.0%	5.0%	10.0%	2.8%
Total Fixed Income	235,009,467	7.5%	15.0%	22.5%	14.0%
Real Assets					
<i>Real Estate</i>	77,408,176	5.0%	10.0%	15.0%	4.6%
<i>Infrastructure</i>	182,920,367	5.0%	10.0%	15.0%	10.9%
Total Real Assets	260,328,543	12.5%	20.0%	27.5%	15.5%
Diversifiers					
<i>Cash & Money Market</i>	61,285,039	0.0%	0.0%	10.0%	3.7%
<i>Absolute Return Strategies, Market Neutral Strategies</i>	48,316,109	0.0%	5.0%	10.0%	2.9%
Total Diversifiers	109,601,148	2.5%	5.0%	12.5%	6.6%
SSgA Dynamic Strategic Hedging	7,912,911				0.5%
Grand Total	1,672,706,176				100.0%

*the Global Equities Target Asset Mix of 20% was previously allocated equally to US and EAFE Equities.

Appendix 1

The tables below provide performance data on the Operating & Endowment Fund at March 31, 2021

Total Fund Real Returns - For Rolling Periods Ending March 31, 2021

	1 Yr	2 Yrs	3 Yrs	4 Yrs	5 Yrs	6 Yrs	7 Yrs	8 Yrs	9 Yrs	10 Yrs	20 Yrs
Total Fund	28.3%	10.9%	9.4%	8.8%	9.8%	8.2%	9.0%	10.1%	10.1%	9.4%	7.2%
CPI	2.2%	1.5%	1.7%	1.8%	1.8%	1.7%	1.6%	1.6%	1.5%	1.6%	1.8%
Real Return	25.5%	9.2%	7.6%	6.8%	7.9%	6.4%	7.3%	8.3%	8.4%	7.7%	5.3%

	. 2021	. 2020	. 2019	. 2018	. 2017	. 2016	. 2015	. 2014	. 2013	. 2012	. 2011
Total Fund	28.3%	-4.2%	6.5%	6.9%	14.0%	0.4%	14.1%	17.7%	10.4%	3.2%	10.0%
CPI	2.2%	0.9%	1.9%	2.3%	1.6%	1.3%	1.2%	1.5%	1.0%	1.9%	3.3%
Real Return	25.5%	-5.0%	4.6%	4.5%	12.2%	-0.8%	12.7%	16.0%	9.3%	1.3%	6.5%

Asset Class – Performance Summary for Periods Ending March 31, 2021

	Market Value	3 Mo	1 Yr	3 Yrs	5 Yrs	10 Yrs	SI Return	SI Date
Total Fund	\$1,672,702,619	5.1%	28.3%	9.4%	9.8%	9.4%	8.7%	31-Dec-92
Total Fund Benchmark		<u>2.5%</u>	<u>24.4%</u>	<u>8.2%</u>	<u>8.9%</u>	<u>8.0%</u>	<u>8.1%</u>	31-Dec-92
Excess Return		2.6%	3.9%	1.2%	0.9%	1.4%	0.6%	

Asset Class – For Rolling Periods Ending March 31, 2021

	. 2021	. 2020	. 2019	. 2018	. 2017	. 2016	. 2015	. 2014	. 2013	. 2012	. 2011
Total Fund	28.3%	-4.2%	6.5%	6.9%	14.0%	0.4%	14.1%	17.7%	10.4%	3.2%	10.0%
Total Fund Benchmark	<u>24.4%</u>	<u>-4.4%</u>	<u>6.4%</u>	<u>6.9%</u>	<u>13.1%</u>	<u>-1.7%</u>	<u>11.5%</u>	<u>14.6%</u>	<u>10.1%</u>	<u>2.3%</u>	<u>11.1%</u>
Excess Return	3.9%	0.2%	0.2%	0.0%	0.8%	2.2%	2.5%	3.2%	0.3%	0.9%	-1.0%

Source: Mercer Investment Monitoring Review

ITEM 5.1(c) - Semi-Annual Ratio Report on Non-Endowed Funds

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

The semi-annual report presents the quarterly activity of the non-endowed funds and monitors the ratio of investments to obligations against the target ratio of 1.08. As at March 31, 2021, the ratio is 1.49 and exceeds the target ratio.

ATTACHMENT(S):

[Semi Annual Ratio Report on Non-Endowed Funds
Quarterly Values](#)

Semi-Annual Ratio Report on Non-Endowed Funds

The attached report shows the non-endowed fund activity from 1999/2000 to March 31, 2021. The period ending March 31, 2021 has been utilized to capture recent market activity, as information as at April 30, 2021 is not yet available. The balance in the Undistributed Investment Returns Account at March 31, 2021 was \$207.8 million. At March 31, 2021 the 12-quarter moving average of non-endowed investments to the obligations of the portfolio was 1.49 (column 10), well above the target ratio of 1.08.

- ❑ Net returns (column 1) amounted to \$37.3 million for the period.
- ❑ Allocations to accounts (column 2), represents income distributed to the non-endowed funds. The non-endowed rate is based on the 30-day Treasury Bill rate less administrative and management fees of 0.42%. The rate is adjusted quarterly and is applicable to non-endowed fund balances with the exception of Robarts. The non-endowed rate for the period January to March was 0%. In the case of Robarts, in accordance with the operating agreement, the long-term portion of their fund balance earned the rate of return generated by the Operating & Endowment portfolio.
- ❑ The allocation to the operating budget (column 3) for fiscal 2021 is zero as approved by the Board.
- ❑ Other Allocations (column 4) for the period ending March 31, 2021 were zero.
- ❑ The non-endowed investments increased \$36.3 million (column 6).
- ❑ The total market value of the non-endowed fund's portion of the externally managed portfolio at March 31, 2021 amounted to \$725.9 million (column 7).
- ❑ The obligations of the portfolio amounted to \$518.2 million at March 31, 2021 (column 8).
- ❑ The ratio of investments to obligations stood at 1.40 (column 9) at March 31, 2021.

Western University Non-Endowed Funds: Quarterly Values										
Quarter	Net Returns (1)	To Accounts (2)	Allocations To Operating Budget (3)	Other (4)	Change in amount Owed (5)	Net Change (6)	Total Investments (7)	Total Obligations (8)	Ratio of Investments to obligations (9)	Ratio of Investments to obligations Average for 12 Quarters (10)
1999/2000	2.4	(0.6)	(1.5)	(0.3)	4.0	4.0	88.0	74.3	1.18	1.23
2000/2001	0.9	(0.8)	(2.1)	(0.2)	5.9	3.7	113.7	101.0	1.13	1.16
2001/2002	0.8	(0.7)	(1.5)	0.0	5.9	4.6	127.0	125.5	1.01	1.10
2002/2003	(2.6)	(0.3)	(0.3)	0.0	0.4	(2.7)	120.6	132.3	0.91	1.02
2003/2004	6.3	(0.5)	0.0	0.0	1.3	7.1	140.7	135.5	1.04	0.99
2004/2005	2.9	(0.4)	0.0	0.0	3.6	6.2	157.7	141.1	1.12	1.03
2005/2006	7.0	(0.7)	0.0	0.0	2.9	9.3	199.4	160.4	1.24	1.13
2006/2007	7.6	(1.2)	(1.3)	0.0	6.2	11.4	236.9	179.1	1.32	1.22
2007/2008	0.4	(1.0)	(1.6)	(0.3)	2.7	0.2	258.7	197.7	1.31	1.29
2008/2009	(12.2)	0.3	0.0	(0.2)	(2.5)	(14.6)	213.3	197.7	1.08	1.24
2009/2010	10.5	(0.7)	0.0	(0.6)	(3.6)	5.7	219.1	181.2	1.21	1.20
2010/2011	6.9	(0.5)	0.0	(0.4)	(1.0)	5.1	234.5	174.5	1.34	1.22
2011/2012	1.2	(0.2)	0.0	(0.4)	9.9	10.6	260.9	194.4	1.34	1.30
2012/2013	10.7	(0.8)	0.0	(0.9)	3.7	12.7	315.1	223.7	1.41	1.37
2013/2014	15.4	(1.0)	0.0	(1.6)	8.8	21.6	384.4	240.4	1.60	1.46
2014/2015										
Q1	13.2	(0.2)	0.0	0.0	1.9	14.9	436.6	263.0	1.66	1.48
Q2	6.8	(0.2)	0.0	0.0	(3.7)	2.9	439.5	259.3	1.69	1.50
Q3	22.8	(0.3)	0.0	0.0	(14.5)	8.0	447.5	244.8	1.83	1.54
Q4	14.0	(2.8)	0.0	(3.5)	5.2	12.9	460.4	250.0	1.84	1.59
2015/2016										
Q1	12.7	(0.1)	0.0	0.0	14.6	27.2	487.6	264.6	1.84	1.63
Q2	(9.6)	(0.1)	0.0	0.0	2.2	(7.5)	480.1	266.8	1.80	1.66
Q3	(6.8)	0.0	0.0	0.0	(1.9)	(8.7)	471.4	264.9	1.78	1.69
Q4	6.6	0.0	0.0	(1.9)	40.8	45.5	516.9	305.7	1.69	1.71
2016/2017										
Q1	25.9	0.0	0.0	0.0	14.9	40.8	557.7	320.6	1.74	1.73
Q2	9.9	0.0	0.0	0.0	(1.8)	8.1	565.8	318.8	1.77	1.75
Q3	22.3	0.0	0.0	0.0	(15.1)	7.2	573.0	303.7	1.89	1.76
Q4	27.5	(3.3)	0.0	(0.2)	(17.3)	6.7	579.7	286.4	2.02	1.80
2017/2018										
Q1	0.7	0.0	0.0	0.0	(5.5)	(4.8)	574.9	280.9	2.05	1.83
Q2	23.6	(0.1)	0.0	0.0	(11.5)	12.0	586.9	269.4	2.18	1.87
Q3	16.4	(0.1)	0.0	0.0	(16.6)	(0.3)	586.6	252.8	2.32	1.91
Q4	0.8	(2.4)	0.0	(49.9)	47.2	(4.3)	582.3	300.0	1.94	1.92
2018/2019										
July 2018 Q1	21.8	(0.5)	0.0	0.0	5.5	26.8	609.1	305.5	1.99	1.93
October 2018 Q2	(19.2)	(0.5)	0.0	0.0	(7.5)	(27.2)	581.9	298.0	1.95	1.94
January 2019 Q3	10.7	(0.6)	0.0	0.0	(15.2)	(5.1)	576.8	282.8	2.04	1.97
April 2019 Q4	34.6	(4.3)	0.0	(4.4)	1.3	27.2	604.0	284.1	2.13	2.00
2019/2020										
July 2019 Q1	5.1	(0.9)	0.0	(255.0)	259.9	9.1	613.1	544.0	1.13	1.95
October 2019 Q2	15.6	(1.8)	0.0	0.0	(4.3)	9.5	622.6	539.7	1.15	1.90
January 2020 Q3	31.6	(1.9)	0.0	0.0	(13.9)	15.8	638.4	525.8	1.21	1.84
April 30 2020 Q4	(50.2)	6.6	0.0	(4.9)	(12.3)	(60.8)	577.6	513.5	1.12	1.77
2020/2021										
July 2020 Q1	38.1	(0.7)	0.0	0.0	21.6	59.0	636.6	535.1	1.19	1.70
October 2020 Q2	4.3	0.0	0.0	0.0	(2.4)	1.9	638.5	532.7	1.20	1.62
January 2021 Q3	64.6	0.0	0.0	0.0	(13.5)	51.1	689.6	519.2	1.33	1.53
March 2021 Q4	37.3	0.0	0.0	0.0	(1.0)	36.3	725.9	518.2	1.40	1.49

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

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

Notes:

- (1) Net investment returns, including changes in unrealized capital gains, net of consulting and investment management fees. This total includes returns on internally managed funds and other sundry investment earnings less overdraft interest and interest paid to employee benefit accounts.
- (2) Allocations from the fund to all accounts and associated companies, except the Operating budget and Other allocations (column 4)
- (3) Allocations to the Operating budget.
- (4) July 2019 allocated \$250.0 to MSOF and \$5.0 million to internal endowed Athletics Coaching Matching Fund
- (4) April 2018 special allocations: \$30.0 to set up sinking funds related to the debenture issues; \$20.0 to capital
The above amount is netted by the year end mark-to-market adjustment on the RBC SWAP interest agreement and the cost to carry related to unused debenture proceeds (0.1).
- (4) The April 2019 amount is related to a year end mark-to-market value adjusted on the RBC SWAP interest agreement (1.1) as well as the cost to carry related to unused debenture proceeds (3.3).
- (4) The April 2020 amount is related to a year end mark-to-market value adjusted on the RBC SWAP interest agreement (1.3) as well as the cost to carry related to unused debenture proceeds (3.6).
- (5) The change in the amount owed to other funds for the quarter is the net cash flows into the accounts less any transfers to Western's bank account.
- (6) Quarterly net change, is the sum of columns (1) to (5) and is the change in the value of the fund in column (7), which is the change in the market value of investments during the quarter.
- (7) Total non-endowed externally managed funds. Endowed funds are not included.
- (8) Total of the non-endowed externally managed funds that are owed to University accounts and other creditors.
- (9) The ratio of column (7) to column (8).
- (10) The average of this ratio over the previous 12 quarters. The Board target for this ratio is an average of 1.08.

ITEM 5.1(d) – 2020-21 Operating Budget Update as at April 30, 2021

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

Operating budget updates are provided semi-annually to the Board of Governors as part of the financial reporting outlined in the Property & Finance Committee Terms of Reference. The Operating budget update outlines updated figures to the budget as approved by the Board of Governors in April of each year and highlights any changes that have occurred to revenues, expenditures, and the operating reserve.

ATTACHMENTS:

[2020-21 Operating Budget Update as at April 30, 2021](#)

2020-21 Operating Budget Update (Year-End)

As at April 30, 2021

The attached table provides the (preliminary unaudited) year-end update on the University's 2020-21 Operating Budget – and compares the updated figures to the budget as presented to the Board of Governors in April 2021. Major changes are as follows:

Revenues (lines 7 to 12)

- a. Recoverable Salaries (line 7) – which is funding from the hospitals and is a direct flow through to the Medical School – is higher by \$0.8 million.
- b. Application Fee Revenue (line 8) is higher by \$1.0 million. At budget time, our estimate was based on preliminary information from the Ontario Universities Application Centre.
- c. Revenue from Royalties & Licences (line 9) is higher by \$5.0 million largely due to a \$3.6 million inflow associated with specific agreements in the Robarts Research Institute.
- d. Miscellaneous Revenues (line 10) – which includes a number of line items – is higher by \$4.8 million primarily due to higher-than-estimated foreign exchange gains (\$1.4 million), GST 211 recoveries (\$0.6 million), and investment income (\$1.8 million).
- e. The net result is that total operating revenue is \$12 million higher than the original budget (line 12).

Expenditures (lines 13 to 17)

- f. The Royalties & Licences revenue (\$3.6 million) deriving from programs in the Robarts Research Institute flows directly back to Robarts (line 13).
- g. As noted above, Recoverable Salaries (line 14) flow directly to the Medical School's budget.
- h. Employee Benefit Costs (line 15) were lower by \$3.8 million – largely due to the uncertainties/impact associated with the global pandemic.
- i. The net result is that total operating expenditures are \$1.1 million higher than the April 2021 budget (line 17).

Operating Reserve (line 6)

- j. As a result of the above changes in revenue and expenditures, the Operating Reserve is \$73.6 million – which is \$10.9 million higher than shown in the April 2021 budget.

Western University
2020-21 Operating Budget Update (Year-End)

as at April 30, 2021

(\$000)

<a> Summary

		As presented to the Board <d>	(Preliminary) Actual	Increase/Decrease	
				\$	%
1	Revenues 	807,329	819,320	11,991	1.49%
2	Expenditures <c>	843,005	844,112	1,107	0.13%
3	Surplus / (Deficit)	-35,676	-24,792	10,884	
4	Operating Reserve -- Beginning of Year	98,400	98,400	0	
5	Surplus / (Deficit)	-35,676	-24,792	10,884	
6	Operating Reserve -- End of Year	62,724	73,608	10,884	

** Revenue Changes**

7	Other Revenues: Recoverable Salaries			788	
8	Other Revenues: Application Fees			996	
9	Other Revenues: Royalties & Licences			5,047	
10	Other Revenues: Miscellaneous Revenues			4,762	
11	All Other			398	
12	Total Revenue Changes			11,991	

<c> Expenditure Changes

13	Medicine & Dentistry: Robarts -- Royalties & Licences			3,584	
14	Recoverable Salaries			788	
15	Employee Benefit Costs			-3,762	
16	All Other			497	
17	Total Expenditure Changes			1,107	

<d> The 2020-21 projected budget was presented to the Board in April 2021.

ITEM 5.1(e) – Ancillary Financial Report as at April 30, 2021

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

The Ancillary Financial Report is provided to the Board of Governors semi-annually as part of the financial reporting outlined in the Property & Finance Committee Terms of Reference. The Ancillary Financial Report provides updates to the projected fiscal 2020-21 financial results and year-end reserve positions for Student Fee-Funded Units, Ancillaries, Academic Support Units, and Associated Companies and provides a brief description of any major variances that have occurred.

ATTACHMENT(S):

[Ancillary Financial Report as at April 30, 2021](#)

Western University

**Preliminary Financial Results for 2020-21
Student Fee-Funded Units, Ancillaries, Academic Support Units and Associated
Companies**

For Information

Table 1 compares the 2020-21 preliminary financial results for Student Fee-Funded Units, Ancillaries, Academic Support Units, and Associated Companies to the projected results presented to the Property & Finance Committee and Board of Governors in April 2020. This table also reports the preliminary closing reserve balances as at April 30, 2021. The numerical references noted beside the comments refer to the corresponding line numbers on Table 1. Detailed revenue and expense statements for these operations will be included in the supplementary data which will be distributed with the final 2020-21 audited financial statement package.

Brief highlights are as follows:

Student Fee-Funded Units

Student Fee-Funded Units are supported in whole or in part, by non-tuition-related compulsory ancillary fees. These units were able to adapt procedures and programs to continue supporting students in a manner that was both safe and effective. The challenge was greater for units that rely substantially on physical facilities to deliver their programming, such as varsity sports and recreational programming. Unavoidable service reductions were necessary in these areas to keep students, faculty, and staff safe. To be reflective of the physical constraints, in 2020-21, the University refunded summer term fees for Recreation and refunded 50% of fall and winter term fees for all units in the Sport & Recreation Pillar. For this reason, all units in the Sport & Recreation Pillar are reporting deficits for the year. These deficits are net of backstop funding allocated from the Operating Budget, to partially mitigate the impact of lower ancillary fee revenue and ensure the continued fiscal health of the operation through the retention of adequate closing reserve balances.

Ancillary Units

23. *Family Practice Clinic and Workplace Health Services: 2020-21 financial results - \$226,400 deficit*

The deficit for this unit was higher than anticipated primarily due to a sharp drop in medical billings, attributed to work-at-home arrangements for faculty and staff and a change in compensation arrangements for physicians. The current deficit and financial structure of this unit will be reviewed as part of the 2021-22 planning process.

24. *Housing: 2020-21 financial results - \$15,865,800 deficit*

The deficit for Housing was greater than projected due to the closure of Residences before the end of the winter term, resulting in the partial rebate of residences fees and the payment of incentives for those students that agreed to move out early. The reserve for this unit is more than sufficient to cover the shortfall.

25. *Retail Services: 2020-21 financial results – \$2,599,200 deficit*

The deficit for Retail Services is the result of service closures due to Covid-19. The deficit was lower than projected due to the first phase of a multi-year recovery plan implemented to eliminate the cumulative deficit over a three-year period.

26. *Parking Services: 2020-21 financial results – \$2,510,500 deficit*

The deficit for Parking Services is the result of the suspension of parking fees in recognition of restricted campus access. The reserve for this unit is sufficient to cover the shortfall.

Academic Support Units

29. Animal Care & Veterinary Services: 2020-21 financial results - \$368,000 surplus

The surplus for Animal Care & Veterinary Services was higher than projected due to additional grants from the Federal Canada Research Continuity Emergency Fund and lower capital costs for caging.

Associated Companies

37. Western Research Park (incl. Windermere Manor, ADEISS, & AMP): 2020-21 financial results - \$1,117,000 deficit

The deficit for the combined operations of the Research Park is the result of the closure of Windermere Manor due to Covid-19. The deficit was lower than anticipated primarily due to the recovery of accommodation costs for sheltered hospital workers and a positive market value adjustment associated with an outstanding debt arrangement. The cumulative deficit for this unit will be resolved as part of the debt restructuring planned for implementation in Fiscal 2021-22.

38. Ivey School of Business Foundation: 2020-21 financial results - \$1,630,000 deficit

Covid-19 travel restrictions have negatively impacted revenues for the Ivey conference centers and the Ivey Academy. However, the deficit was lower than projected due to effective cost containment measures.

39. Ivey Business School Asia Limited: 2020-21 financial results - \$108,000 deficit

The deficit for Ivey Business School Asia Limited was slightly higher than anticipated due to the impact of Covid-19 related restrictions on executive education program participation.

Table 1

Western University

**Student Fee-Funded Units, Ancillary Units, Academic Support Units, and Associated Companies
2020-21 Preliminary Results Summary (\$ 000)**

	2020-21 Projected			2020-21 Preliminary Actuals			% Change		Reserve Balances at April 30, 2021	
	Revenues	Expenses	Rev-Exp	Revenues	Expenses	Rev-Exp	Revenues	Expenses	Operating	Capital
1 A - Student Fee-Funded Units										
2 <i>Student Experience Fee-Funded Ancillary Units</i>										
3 <i>Sport & Recreation Pillar</i>										
4 Recreation	2,209.2	3,773.5	-1,564.3	2,696.5	3,267.1	-570.6	22.06%	-13.42%	120.3	928.5
5 Sport	3,425.3	3,770.1	-344.8	3,980.2	4,060.0	-79.8	16.20%	7.69%	62.2	
6 Spirit & Connection (Thompson Recreation & Athletic Centre)	525.4	727.7	-202.3	562.0	770.8	-208.8	6.97%	5.92%	51.3	469.9
7 Spirit & Connection (Spirited Activities & Events)	130.2	224.1	-93.9	127.7	257.3	-129.6	-1.92%	14.81%	11.1	
8 <i>Wellness & Well-being Pillar</i>										
9 Health & Wellness	5,761.4	5,602.6	158.8	6,082.7	6,020.1	62.6	5.58%	7.45%	1,132.1	980.0
10 Wellness & Equity Education	526.3	412.7	113.6	538.6	427.4	111.2	2.34%	3.56%	161.6	200.0
11 Student Support & Case Management	346.3	245.1	101.2	355.2	238.0	117.2	2.57%	-2.90%	127.2	82.6
12 <i>Leadership & Learning Pillar</i>										
13 Academic Support & Engagement	1,674.0	1,667.6	6.4	1,713.4	1,671.0	42.4	2.35%	0.20%	429.6	73.1
14 Careers & Experience	1,358.7	1,342.3	16.4	1,508.4	1,453.3	55.1	11.02%	8.27%	143.6	
15 <i>All Other Fee-Funded Ancillary Units</i>										
16 Financial Aid Office	1,259.0	1,202.4	56.6	1,276.4	1,195.9	80.5	1.38%	-0.54%	46.7	
17 International Student Services	520.6	520.7	-0.1	534.7	533.9	0.8	2.71%	2.54%	1.2	
18 Indigenous Student Centre	888.0	831.3	56.7	923.9	866.9	57.0	4.04%	4.28%	366.5	
19 Off-Campus Housing & Housing Mediation Services	461.3	450.5	10.8	492.6	441.1	51.5	6.79%	-2.09%	220.0	
20 Western Foot Patrol	195.1	195.6	-0.5	199.6	199.1	0.5	2.31%	1.79%	49.7	58.1
21 Sub-Total	19,280.8	20,966.2	-1,685.4	20,991.9	21,401.9	-410.0	8.87%	2.08%	2,923.1	2,792.2
22 B - Ancillary Units										
23 Family Practice Clinic and Workplace Health Services	504.0	605.4	-101.4	430.2	656.6	-226.4	-14.64%	8.46%	-38.0	
24 Housing Services	53,246.5	61,437.4	-8,190.9	49,249.0	65,114.8	-15,865.8	-7.51%	5.99%	58,716.9	
25 Retail and Hospitality Services	11,013.0	14,854.8	-3,841.8	12,493.7	15,092.9	-2,599.2	13.45%	1.60%	-3,800.5	
26 Parking Services	1,587.5	4,135.0	-2,547.5	1,544.6	4,055.1	-2,510.5	-2.70%	-1.93%	3,630.7	
27 Sub-Total	66,351.0	81,032.6	-14,681.6	63,717.5	84,919.4	-21,201.9	-3.97%	4.80%	58,509.1	0.0
28 C - Academic Support Units										
29 Animal Care & Veterinary Services	8,165.0	8,150.5	14.5	8,353.8	7,985.8	368.0	2.31%	-2.02%	717.1	1,580.4
30 Boundary Layer Wind Tunnel	1,945.7	1,937.4	8.3	1,857.2	1,747.5	109.7	-4.55%	-9.80%	818.4	300.0
31 University Machine Services	2,280.0	2,246.9	33.1	2,206.7	2,130.5	76.2	-3.21%	-5.18%	285.2	
32 Fraunhofer Project Centre	1,669.8	990.4	679.4	1,228.4	549.0	679.4	-26.43%	-44.57%	-0.1	129.5
33 Surface Science Western	1,623.9	1,565.0	58.9	1,510.0	1,439.7	70.3	-7.01%	-8.01%	324.1	407.4
34 Continuing Studies at Western	2,785.2	2,591.0	194.2	2,580.3	2,366.4	213.9	-7.36%	-8.67%	908.2	
35 Sub-Total	18,469.6	17,481.2	988.4	17,736.4	16,218.9	1,517.5	-3.97%	-7.22%	3,052.9	2,417.3
36 D - Associated Companies										
37 Western Research Parks (incl. Windermere Manor, ADEISS & AMP)	5,105.4	7,094.4	-1,989.0	5,537.7	6,654.7	-1,117.0	8.47%	-6.20%	-16,127.3	
38 Ivey Business School Foundation	15,873.0	18,140.0	-2,267.0	16,373.0	18,003.0	-1,630.0	3.15%	-0.76%	14,658.9	
39 Ivey Business School Asia Limited	2,837.0	2,849.0	-12.0	2,830.0	2,938.0	-108.0	-0.25%	3.12%	-1,780.7	
40 Sub-Total	23,815.4	28,083.4	-4,268.0	24,740.7	27,595.7	-2,855.0	3.89%	-1.74%	-3,249.1	0.0
41 Grand Total	127,916.8	147,563.4	-19,646.6	127,186.5	150,135.9	-22,949.4	-0.57%	1.74%	61,236.0	85,209.3

_____	(Student, GRAD)	Term to June 30, 2022
_____	(Student, GRAD)	Term to June 30, 2022

Required: Five (5) Undergraduate Students (terms from July 1, 2021 to June 30, 2022)

Nominees: _____	(Student, UNDG)	Term to June 30, 2022
_____	(Student, UNDG)	Term to June 30, 2022
_____	(Student, UNDG)	Term to June 30, 2022
_____	(Student, UNDG)	Term to June 30, 2022
_____	(Student, UNDG)	Term to June 30, 2022

UDAC Committee Members – Nominee Bios

Christopher Sherrin (Chair)

Faculty of Law

Christopher Sherrin is an Associate Professor in the Western University Faculty of Law. He has worked at the faculty for 15 years and has been Associate Dean (Academic) since 2017. Prior to moving to academia, he practiced as a criminal lawyer in Toronto for eight years. He has also taught part-time at Osgoode Hall Law School, served on several commissions of inquiry, been involved in judicial education, appeared before Parliament and government committees, worked with Legal Aid Ontario, and served on numerous university committees. He is married, with two children, and lives in London.

Dana Broberg

Graduate Student

I will be entering the second year of a master's in Medical Biophysics in September, having also completed my undergraduate degree at Western. My thesis work is centered on speech pathology and brain imaging in cerebrovascular disease, and I hope to continue to be involved in research throughout my career. Therefore, I look forward to any opportunity that will continue to develop my critical and ethical thinking skills, which are invaluable to a research career. As a graduate student member of UDAC this past year, I would be honoured to serve another term on this committee.

ITEM 5.3(b) - Schedule of Board and Committee Meetings

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

The practice has been for the Secretariat to prepare the annual schedule of regular meetings from January to December of the following year and present it to the Senior Policy and Operations committee and the Board for information in advance of November 1 in each year.

There is a disconnect, as the annual schedule of meetings is presented from January to December, whereas the committee cycle and terms of Board members and Board committee members have been aligned as much as possible to run from July 1 to June 30 each year, in tandem with the academic year.

The Secretariat would like to align the annual schedule of meetings with the academic year and committee terms. An amendment will be required to Section E.1(a)(iii) of Board By-Law No. 1 to give effect to this change. This amendment is being submitted to the Governance and By-Laws committee for consideration.

If the Governance and By-Laws committee recommends the amendment, notice will be given to the Board in June and the amendment will be brought to the Board in September or earlier by e-approval. (The notice requirement for any amendment to the By-Law is 30 days.)

In the meantime, as the schedule of meetings from September to December 2021 has already been set, the Secretariat proposes to present the schedule from January to June 2022 at the June 2021 meeting of the Board. The Secretariat will then present the September to June schedule for the 2022-23 academic year at the first Board meeting of 2022.

ATTACHMENT:

[Board and Committee Meeting Schedule 2021-22](#)

Board and Board Standing Committee Meeting Schedule – 2021-2022

AUDIT	PROPERTY & FINANCE	SENIOR POLICY & OPERATIONS	GOVERNANCE & BY-LAWS	FRDRC	MCINTOSH	BOARD (Thursdays, except September and June)
September 14, 2021, 8:00 a.m.	September 14, 2021, 10:30 a.m.	September 14, 2021, 12:30 p.m.	September 14, 2021, 3:00 p.m.	September 13, 2021, 2:00 p.m.	September 1, 2021, 1:30 p.m.	Retreat: September 20-21, 2021 Board Meeting: September 21, 2021, 1:30 p.m.
November 9, 2021, 8:00 a.m.	November 9, 2021, 10:30 a.m.	November 9, 2021, 12:30 p.m.	November 9, 2021, 3:00 p.m.			November 18, 2021 (Board dinner to follow)
		December 7, 2021, 12:00 p.m. (via teleconference)				
January 25, 2022, 8:00 a.m.	January 25, 2022, 10:00 a.m.	January 25, 2022, 12:30 p.m.	January 25, 2022, 3:00 p.m.	January 17, 2022, 2:00 p.m.	January 5, 2022, 1:30 p.m.	February 3, 2022
April 12, 2022, 8:00 a.m.	April 12, 2022, 10:00 a.m.	April 12, 2022, 12:30 p.m.	April 12, 2022, 3:00 p.m.	April 11, 2022, 2:00 p.m.		April 28, 2022
June 7, 2022, 8:00 a.m.	June 7, 2022, 10:00 a.m.	June 7, 2022, 12:30 p.m.	June 7, 2022, 3:00 p.m.	June 6, 2022, 2:00 p.m.	May 18, 2022, 1:30 p.m.	Tuesday, June 28, 2022
		June 27, 2022 12:30 p.m.				

- Board Meetings will generally begin at 9:30 am unless otherwise advised (Open, with Closed following right after)
- Meeting start time for Board and Committees may be adjusted based on agendas; members will be notified closer to the date

ITEM 5.3(c) - Annual Report on the Code of Student Conduct

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

The information presented in the Annual Report on the Code of Student Conduct includes the following:

- Number of incidents that came to the attention of the Office of the Associate Vice-President (Student Experience)
- Table of violations and resolution
- Range of sanctions
- Complaint Sources
- Current Practices and Future Plans

ATTACHMENT:

[Annual Report on the Code of Student Conduct](#)



Code of Student Conduct

Annual Report to the Western Board of Governors

For the period May 1, 2019 – April 30, 2020

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

Overview:

The information presented in this report spans from May 1, 2019 - April 30, 2020 and outlines actions taken under the terms of the Code of Student Conduct since the Code was enacted by the Board of Governors. In total, there were 86 incidents involving students that came to the attention of the Office of the Associate Vice-President, Student Experience, resulting in 272 student meetings.

Behaviour Intervention & Conduct Case Management, within Student Support & Case Management (SSCM), continues to work closely with the University's Legal Counsel, Dean offices, Housing and Ancillary Services and Campus Community Police Service to ensure that all matters involving the Code are handled according to the established procedures for record-keeping, communication and follow-up.

During the academic year of 2019-2020, the Conduct Case Management team broadened their focus to help positively influence student behaviour on campus. Team members contributed to numerous campus-wide initiatives, including co-chairing the President's Anti-Racism Working Group (ARWG) and managing Orientation Leader conduct. Further, Conduct Case Management provided on-going coaching to University Faculty and Staff, to manage conflict and student behaviour that did not meet the threshold of the Code of Student Conduct. As noted in more detail throughout the report, the developmental approach to student conduct fosters a more holistic learning experience for students, to support them in understanding the impact of their behavior, and ultimately contribute more positively to the community in the future.

In March 2020, due to restrictions from COVID-19, the Behaviour Intervention & Conduct Case Management team transitioned from in-person meetings with students, to phone meetings. During this time, care was taken to ensure that students provided the necessary emergency contact information and consents prior to meetings. Learning from these meetings will contribute to stronger virtual interventions during the 2020-21 academic year.

Section 1: 2019-2020 Violations and Resolutions

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

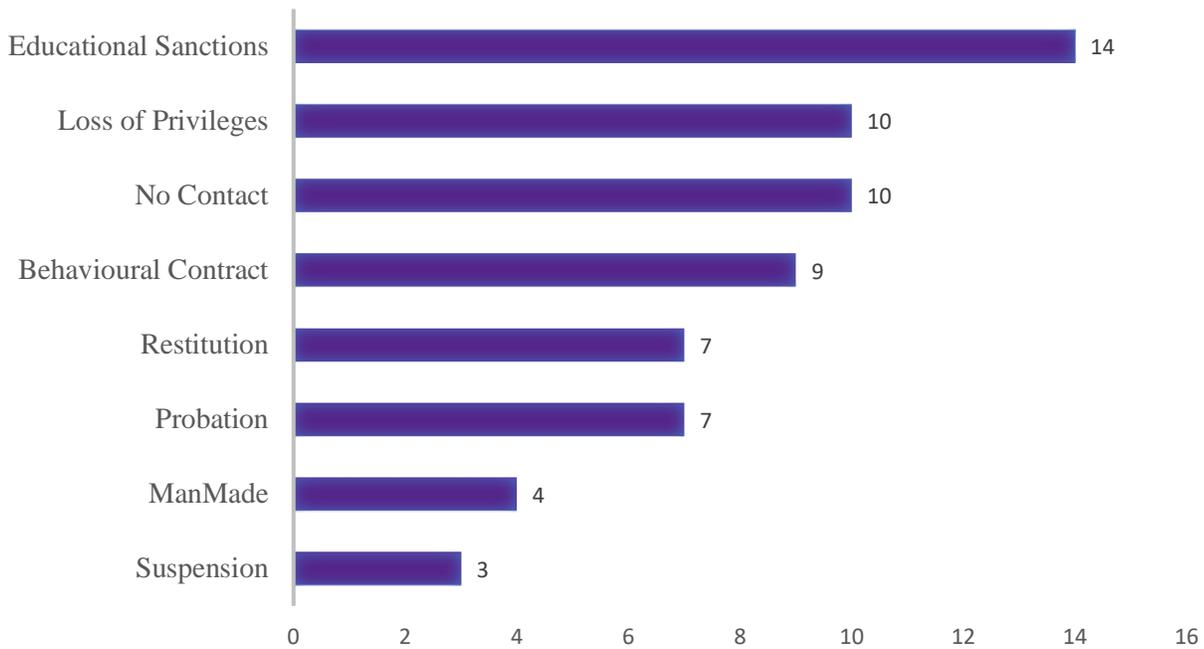
Category of Violation	Formal Resolution	Informal Resolution
Disruption or interference	0	0
Misconduct against Persons		
i. threats, harassment, assault not involving sexual violence	6	6
ii. threats, harassment, assault involving sexual violence	8	7
Misconduct involving Property		
i) Theft	0	0
ii) Vandalism	9	1
iii) Trespass	1	1
Misrepresentation or False Information	0	0
Alcohol or Drug Related:		
Illegal Use of Substances: Drug Trafficking/illegal Use of, or Possession of Drugs	2	1
Improper Use of Dangerous objects and Substances (discharge of fire alarm)	0	0
Contravention of Other Laws	2	0
Aiding in the commission of prohibited act	0	0
Failure to comply	0	0

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

Section 2: Range of Imposed Sanctions

Depending on the nature and egregiousness of a violation, a student who participates in a formal or informal resolution may be issued a sanction(s) as a means to reflect on the incident and consider ways to repair the harm caused by their behavior. While sanctions can be disciplinary in nature (ie. withdrawal of privileges, restrictions), the priority is to offer learning opportunities for students through educational sanctions (ie. reflection, awareness programs, and learning opportunities) whenever possible.

Graph 1: Sanctions 2019/20

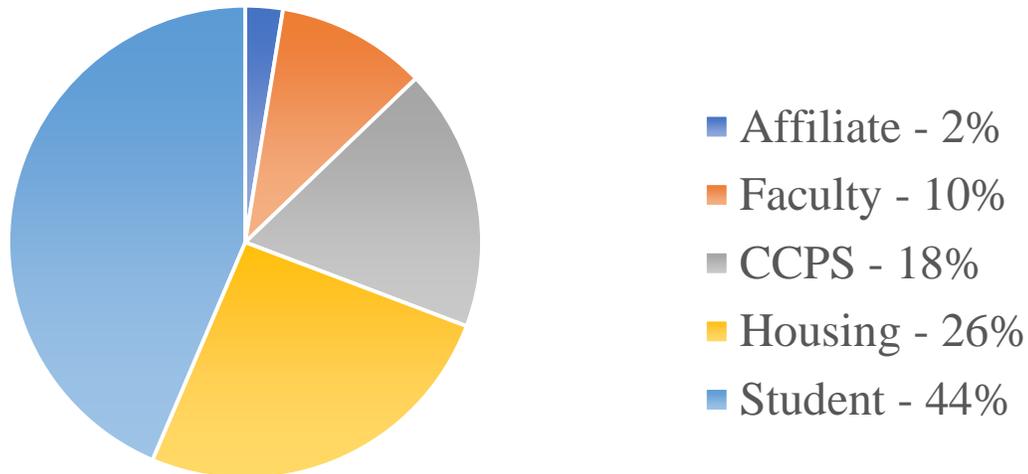


During the 2019/20 academic year, 64 sanctions in total were issued to students who violated the Code of Student Conduct. As noted in Graph 1, there have been a range of sanctions imposed following a finding under the Code for the 2019-2020 academic year, with the majority intended to offer educational and reflective learning experiences.

Section 3: Complaint Sources

There are numerous ways that incidents are brought to the attention of the Office of the Associate Vice-President, Student Experience. Any student, community member, or concerned citizen can submit a complaint via the online reporting form or student conduct email. Analyzing referral sources is important to understand how Code violations are reported, and which groups continue to be key partners.

Graph 2: Complaint Sources 2019/20

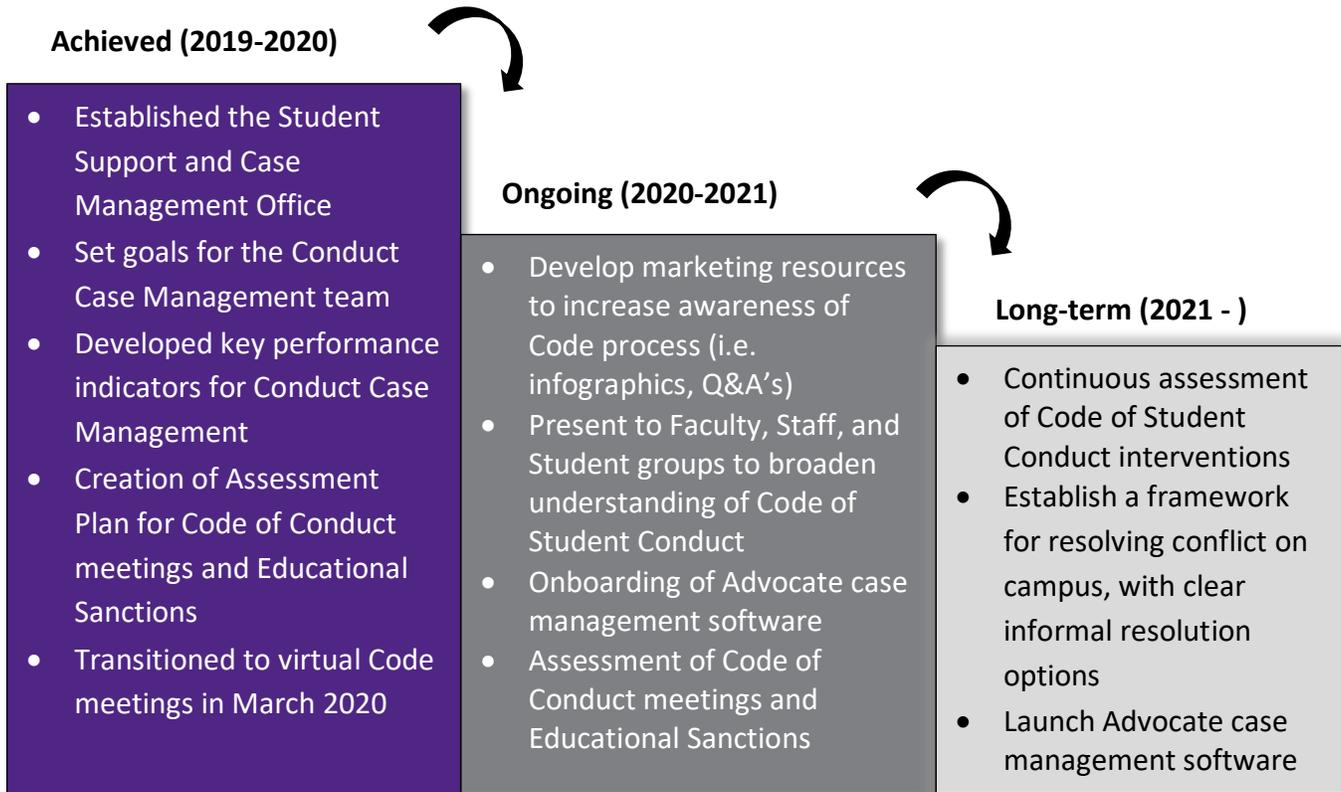


With almost half of complaints coming directly from students, it is clear that students continue to be the best advocates for addressing the behaviour of their peers on-campus, and in campus-adjacent spaces. This demonstrates that students have at least a general awareness of the options available for reporting concerning behaviour.

The partnership between Conduct Case Management and other offices on-campus continues to be an important source of complaints for violations of the Code. Collectively, Housing and Ancillary Services, CCPS, and Faculties represented 54% of complaints. These are important partnerships to continue addressing student behaviour on campus. The relationship with Faculty is a key partnership that will continue to be expanded upon in the 2020-21 academic year, and beyond.

Section 4: Current Practices and Future Plans

As the work with behavioral intervention and code of conduct develops, the exploration of enhanced case management tools will support efficient tracking, reporting and digitalized record keeping. Student Support & Case Management has successfully procured the case management software Advocate. Throughout the 2020-21 academic year, the software is being intentionally designed and shaped to meet the needs of the office. A key section of the Advocate software is focused on Incident Reports and will be used to receive, track, assess, and report on Code of Conduct violations.



In the 2020-21 academic year we will begin to implement an assessment plan to measure student learning and process efficiency of student conduct meetings and sanctions. The analysis will include data from the assessment of student learning to inform continuous improvement of the Conduct Case Management team. Part of this continuous improvement will include a CAS review of the entire Student Support & Case Management office.

The Code of Conduct assessment will use a mixed-method approach, triangulating qualitative and quantitative data from the pre- and post- assessments, as well as data collected via rubrics from conversation and student reflection during the meeting. With support of the Research, Assessment & Planning team, the data collected from the pre- and post-survey and the rubric will be analyzed using both a grounded theory approach and natural language processing for qualitative responses, and the quantitative, de-identified data will be analyzed using descriptive statistics. The findings will be mapped directly to the achievement of the intended learning outcomes, as well as be harvested to identify unintended outcomes. The findings from the assessment will influence positive changes within Conduct Case Management.

ITEM 5.3(d) - Annual Report on Gender-Based and Sexual Violence

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

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

Cycle 1: January 1, 2017 - April 30, 2018

Cycle 2: May 1, 2018 - April 30, 2019

Cycle 3: May 1, 2019 - April 30, 2020

Cycle 4: May 1, 2020 - April 30, 2021

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

Section One: Prevention, Education and Training

Section Two: Responsive Care

Section Three: Formal Complaints and Investigations

Section Four: Future Directions

ATTACHMENT:

[Annual Report on Gender-Based and Sexual Violence](#)

Western's Gender-Based Violence Board Report

May 2021

Context

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

- Cycle 1: January 1, 2017 - April 30, 2018
- Cycle 2: May 1, 2018 - April 30, 2019
- Cycle 3: May 1, 2019 - April 30, 2020
- Cycle 4: May 1, 2020 - April 30, 2021

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

- Section One: Prevention, Education and Training
- Section Two: Responsive Care
- Section Three: Formal Complaints and Investigations
- Section Four: Future Directions

Section 1: Prevention, Education, & Training

Western University continues to engage in several strategic initiatives designed to advance education and prevention of gender-based and sexual violence on campus and increase our capacity to respond to disclosures. This section provides a summary of gender-based violence prevention initiatives undertaken between April 2020 and April 2021, and next steps planned to engage faculty, staff and students in ongoing prevention education.

Program Summary

Throughout this past year we have expanded and diversified the range of education and programming opportunities available to students, faculty and employees. We increased our programming to 18 unique programs offered in 2020, from just 12 in 2019 and four in 2018. This increase is essential as we have reached a more significant number of students with programming contextualized for various audiences, and reflective of diversity in lived experiences.

Western University understands that our students live, study and work within a complex ecosystem and that providing learning opportunities to various parts of their ecosystem is essential to realize our educational objectives. Correspondingly, staff, faculty and other leaders on our campus and in our community must participate in ongoing gender-based violence prevention education.

- From April 2020 to May 2021, the Gender-based Violence Prevention Education Coordinator offered 41 gender-based violence prevention programs that engaged 3,563 Western community members. Programming was delivered to a broad representation of undergraduate and graduate students (90%), staff (8%) and faculty (2%). Table 1 offers a brief description of each program.

Table 1: Program Descriptions

Male Allies on Campus	By participating in this program, male-identifying students develop essential leadership skills in how to stand up against sexual and gender-based violence; acknowledge how their actions, words and behaviours can impact others; and demonstrate what it means to be a male ally.
Educating in the Grey Zone	This session introduces Western's approach to gender-based violence prevention education. Participants explore gender-based violence, the limitations of historical approaches to prevention, and new directions for prevention education.
Disclosure Training	This training is designed to educate faculty, staff and student leaders on their roles and responsibilities for receiving and reporting a disclosure, per Western's Gender-based and Sexual Violence Policy.
Community Connections: Healthy Relationships	First-year students explore different types of relationships, gain the tools to recognize unhealthy relationships, and learn how to take action to transform their relationships.
Upstander Training	By participating in this program, students learn about the impacts of sexual violence on individuals and communities; examine the links between sexually violent behaviour and a cultural of sexual violence; and learn how to safely apply upstander intervention skills to intervene in situations of sexual violence.
'Can I Kiss You?' Orientation Program	Presented as part of Western's Orientation events, Mike Domitrz provides skills for verbal consent, bystander intervention, and supporting survivors. The presentation was facilitated by the Gender-based Violence Prevention Education Coordinator, discussing these themes in a university context.
Pleasure and Consent	This program contributes to a conversation around consent by introducing the skills, language and practices to not only "ask for consent" but ask students to explore desire and centre pleasure for all involved.
Pleasure Packs	This program is intended to normalize talking about pleasure and to broaden students' understanding of pleasure beyond sex. When students have access to diverse sources of pleasure, they have opportunities to understand themselves, what feels good and ultimately what does not.
ReShaping Locker Room Talk	An ongoing, discussion-based program that engages male-identifying student athletes in exploring topics vital to them as they relate to gender-based violence. The discussion opens up space for honest dialogue and planning on how they can reshape locker room talk and its environment to create safer spaces and prevent gender-based violence.
Man Made	A 4-session discussion group designed for male-identifying students to help them find their voice and use it to create change for themselves and their community.
The Neurobiological Consequences of Trauma: A Trauma Informed Approach	Trauma-informed practice involves more than adhering to a set of abstract principles. It requires a thorough understanding of the complex and diverse alterations in the many domains of a traumatized person's development and coping. This training session, delivered by Anova, was offered to members of Western's Mental Health Team.
Safety Training	This training provides participants with practical skills to support domestic violence survivors in planning for safety in a broad range of contexts and situations. This training session, delivered by Anova, was offered to members of Western's Mental Health Team.
Cultivating Thriving Educators: Gender-based Violence on Post-Secondary Campuses and Western's Framework for Prevention	This session introduces the issue of gender-based violence on campus, and Western's Gender-based Violence Prevention Education Framework. The session encourages educators to examine existing programs through a reflective lens and consider two key questions: Who am I [as an educator] in the context of using this framework and the larger campus ecosystem? How does this framework apply to me?
Educational Sanctions	Respondents implicated in gender-based or sexual violence complaints are required to complete education/training sessions to help them understand the implications of their choices and actions.
ReShape Series	The ReShape Series is designed to raise awareness concerning issues of gender-based violence. Programming addresses topics for supporting one another, celebrating our identities and having critical conversations about how, as a community, we are addressing this important issue at Western. Programs offered as part of the ReShape Series in 2020-21 included: Reclaiming Self-Care and Pleasure(workshop + video series); Pleasure is Power(keynote + discussion); Pleasure on a Plate(video series); and Digital Expression and Consent(video series).

Assessment

From April 2020 to May 2021, we assessed the impacts of our programs. Data was collected across a range of evaluation criteria and learning outcomes. Overall, students indicated a generally positive level of agreement that gender-based violence prevention programs met the intended learning outcomes and goals.

We were also able to study one of our programs in particular, the Upstander Program. Assessment data suggests that across samples, there was a consistent shift in student self-report data with:

- 61% believe they have an increased understanding of sexual violence prevention.
- 61% feel better prepared to respond to situations of sexual violence instead of looking away.
- 58% feel better prepared to provide support or offer referrals to someone experiencing sexual violence.
- 38% believe that if someone was at risk of being sexually assaulted or harassed, they would have an increased commitment to something to help.

Providing skills and strategies to participants is an important outcome when developing and creating online programs for students, providing valuable information about students' perceptions of gender-based and sexual violence, their awareness of the resources available, and their capacity to respond. This outcome data will help Western University identify where gender-based violence prevention efforts should be focused, what topics should be targeted for further education, and the design for online/digital spaces used to engage students in the subject matter.

When asked to describe their overall experience across our educational programs, students used words including eye-opening (40%), liberating (20%), empowering (18%), thought-provoking (12%), and inspiring (10%). Concerning program assessment, these findings indicate that students are finding value in, and benefitting from, intentional shifts and new perspectives in gender-based violence prevention education on-campus. Further, these findings affirm that the principles for prevention education, as outlined in **Western's Gender-based Violence Prevention Education Framework**, resonates with a diverse student population, helping to inform future programming

ReShape Micro eLearning Collection: Step 1

Western University recognizes the influence peers have over one another and that to meaningfully address gender-based and sexual violence we must include peer leaders into our prevention efforts in an organized, measurable and collaborative way.

To provide consistent training to Western student leaders, Western University developed and launched ReShape Micro eLearning Collection: Step 1 in August 2020. This e-learning module provides an introduction to gender-based and sexual violence, situates this discussion in the context of combating rape culture, and outlines Western's Gender-based and Sexual Violence Policy and process for responding to disclosures. From August 2020 to February 2021, 778 students completed ReShape, Step 1. 95% of students who completed the module self-identified as a student leader on campus.

Students are provided opportunities to contribute to, view, collective ideas and knowledge, complete online learning activities to explore these ideas further, and complete reflection questions designed to promote practical application of the content

Piloting ReShape Step 1 provided Western University with an understanding of methods and practices for adapting gender-based violence prevention education into asynchronous online learning opportunities for students, faculty and employees. Current efforts are underway to make revisions to Step 1, incorporating campus feedback

Digital Content and Management

In addition to creating interactive online learning experiences for students, social media was leveraged as a tool to deliver gender-based violence prevention education. This shift enabled Western University to reach a greater number of students, faculty and employees with digital content designed to educate the campus community on changes to Western's Gender-based and Sexual Violence Policy, distilling policy content into several key messages for the campus community and raising awareness.

Social media was also used to communicate information about upcoming programming opportunities and educate the campus community about strategic shifts in approaches to gender-based violence prevention education on-campus. For example, ReShaping Pleasure and Consent was a 12-part series, introducing students, faculty and employees to conversations about pleasure as part of campus prevention efforts, reflecting the principles outlined in Western's Gender-based Violence Prevention Education Framework.

Section 2: Responsive Care

Western's revised Gender-based and Sexual Violence Policy (the "Policy") came into effect on May 1, 2020. The updated Policy broadened the focus beyond sexual violence in recognition and response to the variety of experiences Western students encounter. The inclusion of "gender-based violence" under the new Policy expanded supports to students experiencing domestic violence, family violence, bullying, and online harassment. Another notable change under the revised policy was the Notification of Disclosures Protocol. This Protocol requires all Staff, Faculty and Student Leaders (excluding Health Care Professionals) connect students to the Gender-based Violence & Survivor Support Case Manager when a disclosure of gender-based violence is received. In addition to centralizing disclosures, this Protocol ensures all survivors consistently receive accurate information on resources, options, and their accommodation rights regardless of who they disclose to on campus.

Informing Staff, Faculty, and Student Leaders of their responsibilities under the Notification of Disclosure Protocol was a significant focus this past academic year. In addition to the training on this Protocol conducted by the Gender-based Violence Prevention Education Coordinator, the GBV Case Manager also provided training to 100 campus community members. In the past academic year, 74 disclosure forms were submitted to the GBV Case Manager. The disclosure form does not require the survivor's name; this is as deidentifying as possible. Therefore, as a result, it is not possible to conclude specifically how many survivors scheduled appointments with the GBV Case Manager as a result of the disclosure form being completed.

Service delivery to student survivors was modified to telephone and video appointments due to COVID-19. The transition to virtual support provided an opportunity for survivors to stay connected to supports over the summer semester, resulting in increased student appointments compared to previous summer months. In contrast, other months of the year, such as January and February, saw decreased numbers of student appointments than in previous academic years. Reduced residence capacity and the Provincial Stay at Home Order in the new year likely contributed to the decline in scheduled appointments

Table 2 Disclosures to the Gender-based Violence & Survivor Support Case Manager Notes: Data does not include formal complaints made to the University. Information about student classification, academic year and referral source was not tracked until cycle 3.

Table 2: Disclosures

		Reporting Cycle			
		Cycle 1 May 1, 2017 - April 30, 2018 ¹	Cycle 2 May 1, 2018 - April 30, 2019 ²	Cycle 3 May 1, 2019 - April 30, 2020	Cycle 4 May 1, 2020 - April 30, 2021
Total New Referrals				139	141
Unique Students Seen ³		90	122	118	76
Student Classification ⁴	Domestic Student	0	114	111	67
	International Student	0	8	7	9
	Undergraduate Student	0	112	101	62
	Graduate Student	0	10	17	14
Academic Year	1st Year Student	0	32	33	19
	2nd Year Student	0	45	23	22
	3rd Year Student	0	19	26	13
	4th Year Student	0	16	19	8
	Graduate Student	0	10	17	14
Registration of Student	Main Campus	0	97	107	68
	Affiliate Campus	0	25	11	8
Referral Source	Campus Partner	0	73	65	47
	Community Partner	0	11	21	11
	Self-Referral	0	38	32	18
Disclosures made to Affiliate Campus Resources	Brescia	0	3	3	18
	King's	4	4	8	4
	Huron	0	4	3	4

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

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

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

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

The data outlined in the chart is collected by the Gender-based Violence & Survivor Support Case Manager and classified to determine trends in student populations accessing formal support on campus. In 2020-21 the data illustrates that domestic and undergraduate students accessed the Gender-based Violence & Survivor Support Case Manager office at higher rates. While these trends make sense given the sizable domestic and undergraduate populations at Western, the data also validates our belief that increased outreach is necessary for international and graduate students. As such, the office will continue to work closely with partners such as Western International, School of Graduate and Post-Doctoral Studies and the Indigenous Student Centre to expand our GBSV preventative educational and awareness of supports

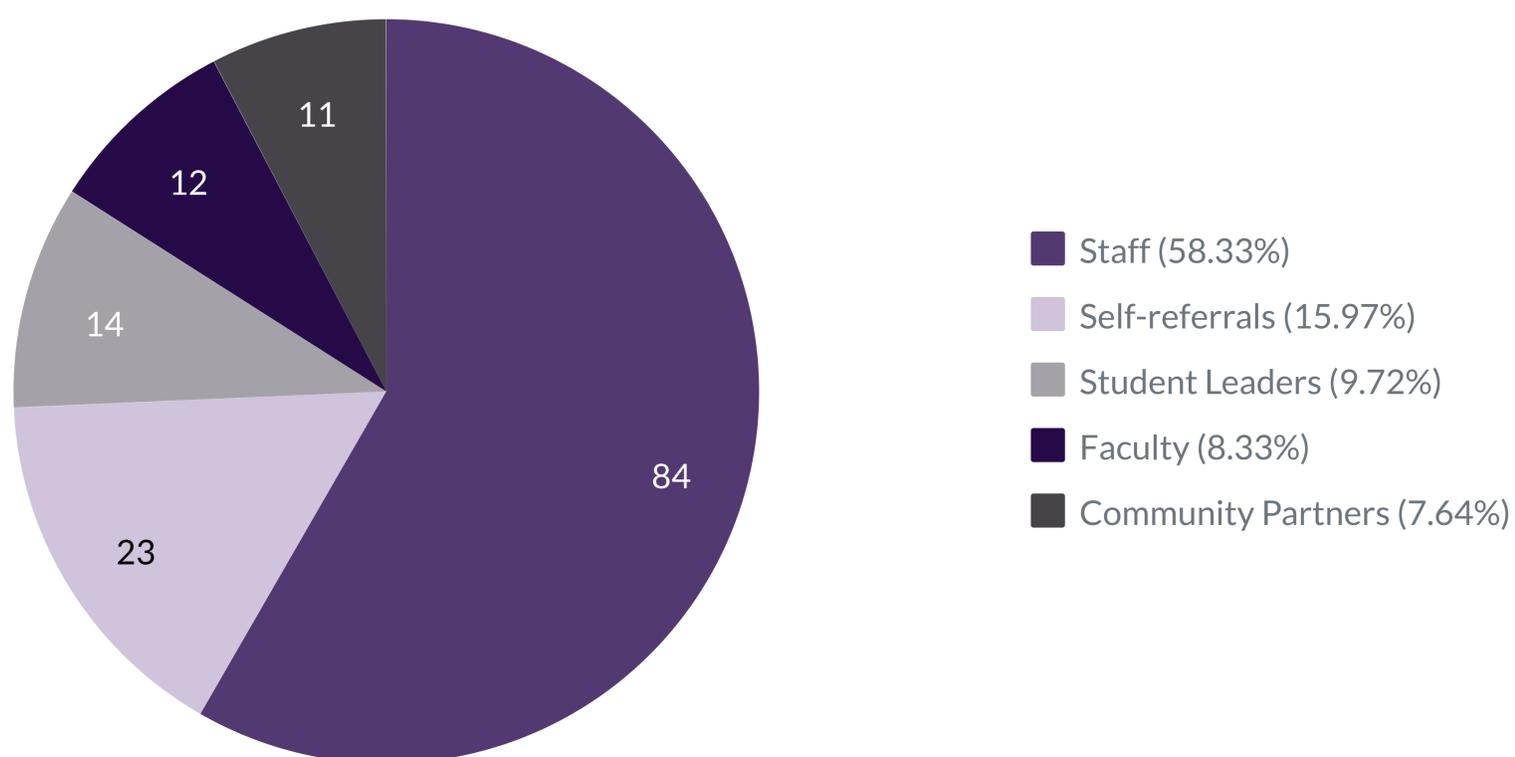
While the number of students seeking support from the GBV Case Manager decreased this academic year, the complexity of cases increased. The GBV Case Manager supported more students experiencing familial and domestic violence than in previous academic years. This is likely a result of the pandemic, which exacerbated risk factors for gender-based violence perpetration, including financial stress, employment instability, mental health issues, and social isolation. Student survivors' wellbeing was also noticeably impacted by COVID-19 including intrusive thoughts of trauma, reduced options for coping strategies, and limited access to support networks.

It is anticipated that the decrease in disclosures observed this academic year will be an anomaly. Anecdotally, it appears that due to COVID restrictions there were fewer social activities among students, such as large parties, attending bars, and other student-led events. Additionally, with many students living at home and learning virtually due to COVID restrictions, and therefore having less privacy, it is possible that some students were less comfortable reporting lower-level incidents this academic year.

Referrals

In 2020-21, the GBV Case Manager received 141 student referrals. Referrals to the GBV Case Manager came from five sources: Staff (84 referrals), Self-referral (23 referrals), Student Leaders (14 referrals), Faculty (12 referrals) and Community Partners (11 referrals). These referrals resulted in 76 student survivors scheduling meetings with the GBV Case Manager. Meetings included students who experienced an incident of GBV within the past year (49 students), students who experienced a historical incident of GBV (16 students), and students who had experienced both recent and historical incidences of GBV (11 students). The GBV Case Manager provided a total of 368 direct support meetings to student survivors this past academic year.

Graph 1: Referral sources 2019/2020



Section 3: Formal Complaints and Investigations

Formal reports of sexual violence have been tracked since Western’s Sexual Violence Policy in January 2017. Such reports capture a range of experiences that can include any violence, physical or psychological, carried out through sexual means or by targeting sexuality, gender expression or identity. We recognize that formal reports of sexual violence through our office do not reflect the full scope or picture of students’ experiences of sexual violence, as students may choose many avenues to seek support or follow-up after experiencing sexual violence.

As outlined in last year’s report, the newly implemented Policy (effective May 1, 2020) created a more streamlined complaints process. It also expanded the definition of “sexual violence” to include “gender-based violence.” This streamlined process makes more accessible the complaints process, leading to an increased number of complaints compared to the previous academic year. The number of formal complaints of sexual violence received by the University increased slightly from 15 in the 2019-2020 academic year to 18 in the 2020-2021 academic year (see Table 3, below). Of note was a general increase in physical violence/aggression during sexual encounters. Survivors made allegations of such violence in four of the 18 complaints received.

Of the total 18 complaints received, five Survivors decided not to proceed with the complaints process after an initial meeting with the Gender-Based and Sexual Violence Response Coordinator.

Table 3: Investigations

Category of Incident	Sanction Type	Reporting Cycle			
		Cycle 1 Jan 1, 2017 - April 30, 2018 ⁵	Cycle 2 May 1, 2018 - April 30, 2019	Cycle 3 May 1, 2019 - April 30, 2020	Cycle 4 May 1, 2020 - April 30, 2021 ⁶
Total Complaints	Main Campus	40	24	15	18
	Brescia	0	0	0	0
	Huron	0	4	11	2
	King's	0	1	2	0
Sexual Assault	TOTAL	19	21	13	16
	Anonymous Complaints or No action Requested ⁷	7	7	9	5
	Educational Sanctions ⁸	16	15	0	6
	Restrictions on Campus	9	10	3	4
	Suspension	0	1	0	4
	Informal Resolution ⁹	N/A	N/A	N/A	1
Sexual Harassment	TOTAL	14	7	11	4
	Anonymous Complaints or No action Requested	3	0	4	1
	Educational Sanctions	8	3	5	0
	Restrictions on Campus	5	2	2	0
	Suspension	1	2	0	0
	Informal Resolution	N/A	N/A	N/A	1
Indecent Exposure	TOTAL	1	1	3	1
	Anonymous Complaints or No action Requested	1	1	3	0
	Educational Sanctions	0	0	0	1
	Restrictions on Campus	0	0	0	1
	Suspension	0	0	0	0
	Informal Resolution	N/A	N/A	N/A	1
Sexual Exploitation	TOTAL	0	0	2	2
	Anonymous Complaints or No action Requested	0	0	1	1
	Educational Sanctions	0	0	0	1
	Restrictions on Campus	0	0	1	1
	Suspension	0	0	0	1
	Informal Resolution	N/A	N/A	N/A	0
Cyber Harassment	TOTAL	1	1	2	0
	Anonymous Complaints or No action Requested	1	0	1	0
	Educational Sanctions	0	0	0	2
	Restrictions on Campus	0	0	1	2
	Suspension	0	0	0	1
	Informal Resolution	N/A	N/A	N/A	0

10, 11

5. Cycle i cases were incorporated into Cycle 1 for ease of reporting

6. Some cases remain in the sanctioning stage as of the date of this report, and may not be reflected in the totals.

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

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

9. Informal resolution often includes some form of agreed-upon sanction, such as education sanctions or restrictions on campus.

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

11. Table includes sanctions on complaints that were received in the 2019-2020 academic year, but which were adjudicated in the 2020-2021 academic year. These complaints were not included in this year’s tally.

There is a lack of specific data on the factors contributing to the increase in complaints from 2019-2020; anecdotally, some qualitative conclusions are provided here. For example, in discussion with residence sophs and dons, it appears that students have a better understanding of the new reporting mechanism under the Policy, which could be attributed to the additional education and social media campaigns described below. With the addition of the Gender-Based and Sexual Violence Response Coordinator, the SSCM department was better prepared and equipped to respond to the higher volume of complaints during the 2020-2021 academic year. The resumption of at least some in-person classes and activities it may result in increased incidents.

Investigations

The new role of Gender-Based and Sexual Violence Response Coordinator, created under the new Policy, was filled in August of 2020 by Ms. Victoria Yang. This role was created as a single point of contact for receiving, managing, and investigating complaints of gender-based and sexual violence received under the Policy. Before joining Western, Ms. Yang practiced employment law with a specialization in workplace investigations. She has implemented trauma-informed investigation techniques, communication tools, and credibility assessment skills into the existing investigative framework under the Policy.

Western's services moved to virtual platforms in response to the pandemic; all meetings with Survivors, Respondents, and witnesses were conducted either through Zoom or via telephone. Notably, this made it possible to interview students out of the province or out of the country.

In consultation with the Associate Vice-President (Student Experience) and the University's legal counsel, some complaints in the 2020-2021 academic year were referred to external investigators. The decision to refer complaints to external investigation depends on various factors, including the complexity of the complaint, whether there are substantive issues of relative power or vulnerability between the parties, and the seriousness of the allegations. Of the 18 complaints received this academic year, eleven complaints proceeded to an investigation. Seven of those eleven investigations were referred externally.

Table 4: Sanctions (Main Campus)

Nature of Allegations	Aggravating and/or Mitigating Factors Considered	Sanctions Imposed
* Public disclosure of intimate photos without Complainant's consent	N/A	<ul style="list-style-type: none"> No-contact order Education Reflection Leadership restrictions on campus
* Removal of condom during sexual encounter without the Complainant's consent	Respondent demonstrated remorse for their actions.	<ul style="list-style-type: none"> One-year suspension No-contact order Probation Leadership restrictions on campus Education upon re-enrollment
* <ul style="list-style-type: none"> Incident of non-consensual sexual intercourse; Incident of physical assault; Threats and other manipulative behaviour on several occasions Threat to reveal private adult online activity 	Incidents formed a pattern over the course of lengthy relationship.	<ul style="list-style-type: none"> Two-year suspension; No-contact order Probation Leadership restrictions on campus Education upon re-enrollment Proof of counseling upon re-enrollment (for mental health and substance abuse issues)
Public disclosure of intimate video, and details about sexual activity without Complainant's consent	Resolved informally.	<ul style="list-style-type: none"> No-contact order Verbal apology issued
Incident of non-consensual sexual touching	Resolved informally.	<ul style="list-style-type: none"> No-contact order Written apology issued
Incident of non-consensual sexual intercourse, which included physical assault (choking)	N/A	<ul style="list-style-type: none"> Two-year suspension No-contact order Probation Leadership restrictions on campus Education upon re-enrollment

<ul style="list-style-type: none"> • Threats and other manipulative behaviour on several occasions; • Demeaning and belittling language • Physical assault on several occasions, resulting in injury • Sexual exploitation on several occasions 	N/A	<ul style="list-style-type: none"> • Sanctions pending
<ul style="list-style-type: none"> • Several instances of violent and aggressive sexual activity over the course of a months-long relationship • Failing repeatedly to discuss or ascertain the Complainant's consent to acts which fell into the spectrum of BDSM activity 	<ul style="list-style-type: none"> • Presence of significant power imbalance • Presence of extreme violence 	<ul style="list-style-type: none"> • Sanctions pending
Incident of non-consensual three-way intercourse	N/A	<ul style="list-style-type: none"> • Two-year suspension • No-contact order • Restrictions on campus • Education upon re-enrollment
<ul style="list-style-type: none"> • Incident of non-consensual sexual intercourse, which included several violent acts (choking, biting, and hitting) that caused injury • Removal of condom during sexual encounter without the Complainant's consent 	Presence of extreme violence	<ul style="list-style-type: none"> • Sanctions pending
<ul style="list-style-type: none"> • Several incidents of derogatory language targeting the Complainant's sexuality • Invasive questions and comments into the Complainant's romantic life • Multiple incidents of entering the Complainant's residence room without knocking 	Presence of significant power imbalance	<ul style="list-style-type: none"> • Sanctions pending
<ul style="list-style-type: none"> • Incident of non-consensual sexual touching • Several incidents of derogatory language about women • Invasive questions and comments into the Complainant's romantic life • Incident of entering the Complainant's space without knocking 	Presence of significant power imbalance	<ul style="list-style-type: none"> • Sanctions pending

*Complaint was received and tallied in the 2019-2020 academic year, but was adjudicated in the 2020-2021 academic year.

Informal Resolution Pathway

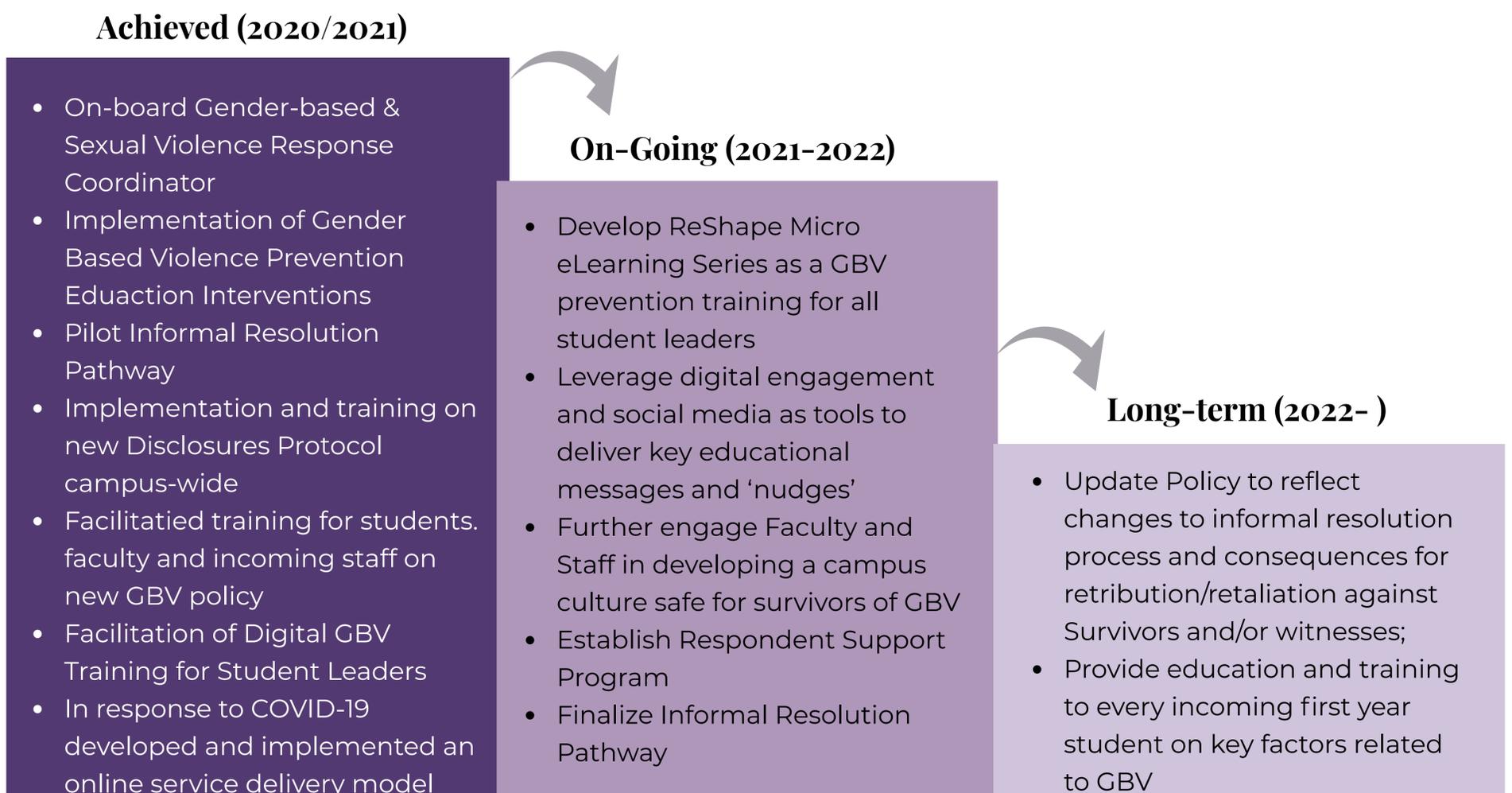
The Gender-Based and Sexual Violence Response Coordinator was tasked with developing the informal resolution pathway provided for under the Policy. A review of informal resolution processes in place at post-secondary institutions across North America was completed. After this review, lists were compiled, setting out criteria used in assessing whether a complaint is appropriate for informal resolution; possible methods of informal resolution; possible outcomes of informal resolution; and a draft agreement to participate in the informal resolution process. This academic year, the Gender-Based and Sexual Violence Response Coordinator, in consultation with the SSCM Manager, successfully resolved two complaints informally, which provided useful information and feedback on the process as it applies to Western. The next step is compiling this information in a comprehensive proposal on an informal resolution process toolkit.

Section 4: Next Steps

During the 2020-21 academic year, Western Student Experience achieved its Gender-based and Sexual Violence goals through a collaborative, cross-departmental effort. The graphic below outlines the achievements within the past year and identifies the areas for future development in the efforts to support the campus ecosystem as follows

1. Consistent educational programming
2. Meaningful policies and procedures, as well as
3. Innovative research and assessment in order to understand what impact our work is having on our campus community and where we need to continue to focus our efforts for the future

Commitments over the next two year are shown below



Looking ahead to our 2021-2022 and long-term goals, gender-based and sexual violence education and prevention efforts, and the cross-campus partnerships will continue to improve the supports, resources and pathways available to students in their journey towards thriving.

ITEM 5.6(a) – Acquisition of Drawings by Myfanwy MacLeod

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

On May 20, 2021, the McIntosh Gallery Committee approved the acceptance of the following work into the McIntosh Gallery permanent collection:

Myfanwy MacLeod
Do you Believe? 2003
pencil and gouache on vellum
30 drawings, each 56.5 x 42.5 cm

Justification for Acquisition

As outlined in our collection policy, “The collecting intent of the Gallery is to continue to build a representative collection of the art of Southwestern Ontario, Canadian artists of national significance, and Canadian and international artists deemed to have had an influence on the art of the region. Recognizing the mobility of artists and the fluidity of geographically-based identity, the Gallery, through its collection, documents an ecology of Ontario artists, a network extending throughout the province and further afield. With London as a transit point within this network, we will follow trajectories of influence and lines of flight forged by artists who connect London to national and global art practices.” Myfanwy MacLeod is a well-established Canadian artist, based in Vancouver but with strong connections to London, Ontario. In addition to having taught at Western, she also attended high school at H. B. Beal Secondary School. In 2013, her solo exhibition *Or There and Back Again*, curated by Cassandra Getty and Grant Arnold, opened at Museum London. The exhibition travelled to the Vancouver Art Gallery in 2014.

The proposed series of drawings responds to several areas of specialization that we are actively developing within the collection: drawing based practices and drawing in the expanded field, installation, and art made by women.

Do You Believe? is a series of 30 framed drawings, delicately rendered in pencil and gouache on vellum. The drawings incorporate collaged strips of text drawn from the lecture *Motivation Means Millions* by American insurance salesman Bert Palo. McLeod discovered an LP recording of the lecture and became fascinated by the language Palo used to describe selling insurance. Some passages were so abstract that Palo could have been talking about anything, including art. MacLeod attempted to research the lecture but at the time (in 2000) there was little information to be found, and this appears to still be the case. The series of drawings was one of several series created using text excerpted from various sources, including a chapter in Dave Sedaris’s book *Me Talk Pretty One Day* entitled “12 Moments in the Life of the Artist”; *Anecdotes of Modern Art: From Rousseau to Warhol* by Donald Hall; and *Motivation Means Millions*. The images in each of these series were drawn from diverse sources including silent film stills, images of artists from 19th century, sports etc. The images in *Do you Believe?* came from a 10-volume set of books called *Getty Images: Decades of the 20th Century*. MacLeod focused on the 30s, 40s, and 50s, imagining the series of drawings as akin to a storyboard for an animated film.

We do not have any other work by this artist in the collection. If accepted, it will expand our collection of contemporary drawings that includes work by Shuvina Ashoona, Patrick Bernatchez, Murray Favro, Patrick Mahon, David Merritt, Olya Mishchenko, Colette Urban, and Tony Urquhart.

Exhibition Record

This series was included in the 2002 exhibition *For the Record: Drawing Contemporary Life* curated by Daina Augaitis, at the Vancouver Art Gallery and is described in the accompanying exhibition publication as exploring "the construction of belief systems that merge imagery from disparate eras with insightful wit."

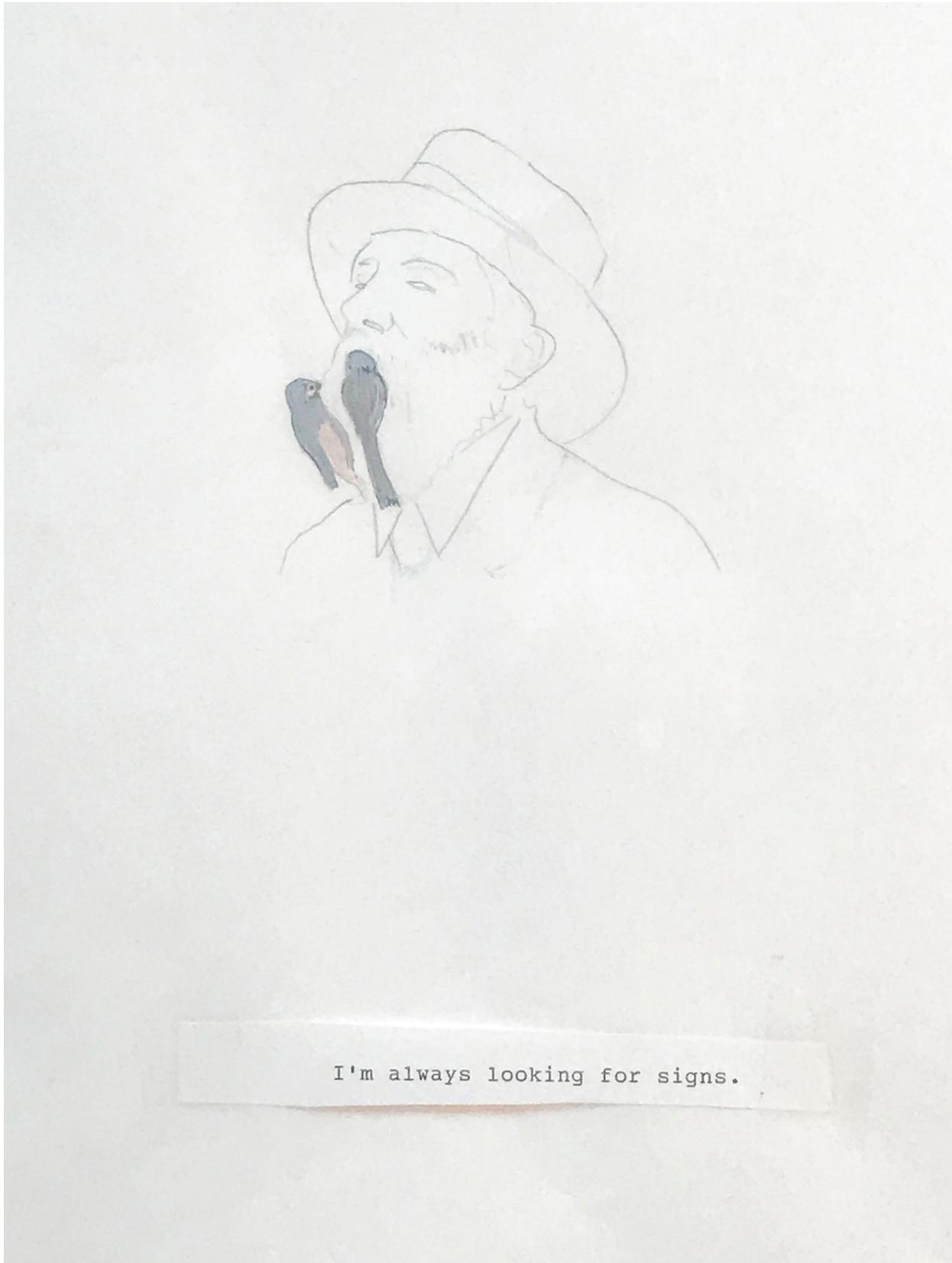
Artist Bio

Myfanwy MacLeod lives and works in Vancouver, on the unceded territory of the xʷm̓θkʷy̓m (Musqueam), Skwxwú7mesh (Squamish), and Sel̓íl'witulh (Tsleil-Waututh) Nations. Often described as a second-generation Vancouver conceptualist, MacLeod has a long-standing interest in the issues surrounding art in public spaces. Offering a feminist critique of the way public space creates imbalances of power, her work combines popular imagery with conceptual rigour. MacLeod has made several permanent and temporary works in the public realm. She has been the recipient of numerous awards including the City of Vancouver's Mayor's Award (2013), The Glenfiddich Distillery Artist-in-Residence Program (2005), The City of Vancouver Live/Work Studio Residency (2003-2005), The Canada Council for the Arts Paris Studio (1999), The Doris and Jack Shadbolt Foundation VIVA Award (1999) and Le Fondation Andre Piolat (1994). MacLeod received her B.F.A. from Concordia University (Montreal) in 1990 and an M.F.A. from the University of British Columbia in 1995. She has held teaching appointments at the University of British Columbia, Emily Carr University, and The University of Western Ontario (2007/2008). MacLeod has exhibited her work throughout Canada, Australia, the United States and Europe. Her work is held in the collection of the National Gallery of Canada, the Vancouver Art Gallery, and in private Canadian collections.

ATTACHMENTS:

[Do you Believe? 2003, pencil and gouache on vellum](#)









ITEM 5.8(a) – Proposal to URB to Update MAPP 7.14

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION FOR DISCUSSION

Recommended: That the Board of Governors approve the amendments to MAPP 7.14, Policy and Procedures for Ethical Review of Research Involving Human Participants, effective June 17, 2021.

EXECUTIVE SUMMARY:

At the November 28, 2017 meeting, URB approved the elimination of the URB Sub-Committee University Council on Research Ethics Involving Human Participants (UCRE) to be effective December 1, 2017. There is now a need to update MAPP 7.14, Policy and Procedures for Ethical Review of Research Involving Human Participants, to remove reference to the eliminated URB Sub-Committee UCRE and to accurately reflect its governance, functions, and accountabilities.

Updates

1. Update MAPP 7.14 title
2. Removal of reference to the URB Sub-Committee University Council on Research Ethics Involving Human Participants (UCRE).
3. Addition of institutional senior administration to reflect accountability for ensuring the allocation of ongoing financial and administrative resources.
4. Accurately reflect Western’s internal governance framework, when compared with external regulatory requirements (as outlined by the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans, article 6.2): *“The highest body within an institution shall: establish the REB or REBs; define an appropriate reporting relationship with the REBs; and ensure the REBs are provided with necessary and sufficient ongoing financial and administrative resources to fulfill their duties.”*
5. Updated information of the functions and responsibilities of the Research Ethics Board (REB)
6. Addition of Western Research’s ‘Research Ethics and Compliance Office’ in support of Western’s REBs.
7. Include information whereby Western may enter into an REB Reciprocity Agreement with other qualified or accredited REBs
8. Addition of a Glossary of Terms

The current Terms of Reference for both the Health Sciences (HS) and Non-Medical (NM) REBs are included for information.

Primary Contact

Erika Basile, Director, Research Ethics and Compliance ebasile@uwo.ca
Lesley Rigg, Vice President (Research) vpr@uwo.ca

Consultation

K. Shoemaker, Associate Vice-President (Research)

Board of Governors
June 17, 2021

CONSENT AGENDA – ITEM 5.8(a)

R. Graham, NMREB Chair
P. Jones, HSREB Chair
University Secretariat
Research Ethics and Compliance Office

ATTACHMENTS:

[POLICY 7.14 – Policy and Procedures for Ethical Review of Research Involving Human Participants – Track Changes Copy](#)

[POLICY 7.14 – Policy and Procedures for Ethical Review of Research Involving Human Participants – Clean Copy](#)

[Western University’s Health Science Research Ethics Board \(HSREB\) – Terms of Reference](#)

[Western University’s Non-Medical Research Ethics Board \(NMREB\) – Terms of Reference](#)

POLICY 7.14 – ~~Policy and Procedures for Ethical Review of~~ Research Involving Human Participants

Policy Category: Research

Subject: Human Ethics

Approving Authority: Board of Governors

Responsible Officer: Vice-President (Research)

Responsible Office: Office of the Vice-President (Research)

Related University Policies: MAPP 7.0 – Academic Integrity in Research Activities

Effective Date: ~~June 30, 2009~~

Supersedes: June 30, 2009 (NEW)

POLICY

I. PURPOSE

To cultivate an environment in which the conduct of Research involving Human Participants, performed by faculty, staff or students of or in affiliation with The University of Western Ontario (Western), follows the highest ethical standards.

To promote an awareness and understanding of how the Core Ethical Principles of Respect for Persons, Concern for Welfare, and Justice are applied within the current version of the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS) as well as all applicable regulations, guidelines, and standards pertaining to human participant protection: and

To establish an independent human research ethics review process charged with the task of promoting the ethical pursuit of Western's research objectives.

II. SCOPE

This policy applies to all research involving humans conducted by faculty, staff or students of or in affiliation with Western (Western Human Research).

III. AUTHORITY AND RESPONSIBILITY

- a) The Research Ethics Boards (REBs) are accountable to the Board of Governor's with respect to the processes the REBs follow in pursuit of their mandates.
- b) The Vice-President (Research) is designated as the senior administrative officer of Western responsible to ensure Western's REBs are provided with necessary and

POLICY 7.14 – Research Involving Human Participants

sufficient ongoing financial and administrative resources to fulfill their regulatory duties.

- c) Western's Research Ethics and Compliance Office (RECO) is responsible to provide administrative support and to facilitate the REBs' management of the approval and monitoring processes for Western Human Research.
- d) The REBs shall act independently of the Board of Governors when making decisions regarding the ethics of Western Human Research. Neither the Board of Governors nor any other entity may override a REB's decision to approve, reject, request modifications to, or terminate any proposed or ongoing research. Notwithstanding this point, the REBs are accountable to the Board of Governors with respect to the processes the REBs follow in pursuit of this policy.
- e) For the final meeting of the Board of Governors each year, Director of Research Ethics and Compliance shall submit a report to the Board of Governors through the University Research Board (URB) regarding the REBs' activities. This report shall include information regarding the number of protocols reviewed by both REBs, the efficiency of the review process, and related procedural matters.
- f) The RECO is responsible to provide leadership to serve Western's research community of faculty, staff and students who share responsibility for undertaking human participant research in alignment with all external and institutional requirements and statutory requirements.
- g) Western's REBs may be designated as another institution's REB of Record or, conversely, another institution's research ethics board may be designated as the Western REB of Record (e.g. for the purpose of multi-centre research). In each case, it is subject to approval by one of the relevant Western REB and the Vice-President (Research). The designated REB acting as the Board of Record carries out the mandate of the designating institution's REB provided it meets and maintains acceptable research ethics review qualification or accreditation standards.

IV. RESPONSIBILITY OF THE RESEARCH ETHICS BOARDS

- a) Western's REBs are established to protect the rights and welfare of human participants who take part in Western Human Research.
- b) The REBs shall review the ethical acceptability of all Western Human Research, regardless of where the research is conducted.
- c) The REBs will provide initial review and ongoing oversight of research projects to ensure that they meet the ethical principles and that they comply with all applicable regulations, guidelines, and standards pertaining to human participant protection. The REBs shall comply with and apply:
 - i. The principles of the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS 2) for all research;
 - ii. As applicable to the research, the requirements of the International Conference on Harmonisation (ICH) Good Clinical Practice (GCP); Part C, Division 5 of the Food and Drug Regulations; Part 4 of the Natural Health Products Regulations; Part 3 of the Medical Devices Regulations, the provisions of the Ontario Personal Health Information Protection Act (PHIPA) and research requirements under O. Reg. 329/04;

POLICY 7.14 – Research Involving Human Participants

iii. When applicable to the research, the requirements of the *U.S. federal regulations* to the extent that they exceed the applicable Canadian regulations and guidelines.

d) Western's REBs have the authority to ensure that all research they review is designed and conducted in an ethically acceptable manner.

This includes:

- i. rejecting, proposing modifications to, or terminating any proposed or ongoing research involving humans that the REB deems to be noncompliant with the applicable regulations, guidelines, and standards pertaining to human participant protection, or
- ii. approving any research that the REBs deems to comply with the applicable regulations, guidelines, and standards pertaining to human participant protection.

V. NON-COMPLIANCE

a) Failure to comply with Western's policies and procedures may prevent approval of pending ethics applications and/or may result in the revocation of approval of current studies being revoked by the REBs. As warranted by the severity of circumstances, an REB may also send notification of such failure to comply to the Vice-President (Research), the researcher's Dean, Chair or Director, Institute Heads, and appropriate funding and licensing agencies.

b) Failure to comply with this policy may result in the revocation of grant funding.

1.00— This policy applies to all instances of research involving human participants performed at The University of Western Ontario, and to University faculty, staff or students carrying out research involving human participants as principal or responsible investigators at another institution or site.

2.00— All research involving human participants must adhere to the policies and procedures of The University of Western Ontario, the Tri-Council Policy Statement: Ethical Conduct of Research Involving Humans, and other relevant guidelines and legislation.

3.00— The University Council on Research Ethics Involving Human Participants (UCRE) advises the University Research Board (URB) on matters of policy pertaining to the ethics review of research involving human participants. The Health Sciences Research Ethics Board (HSREB) and the Non-Medical Research Ethics Board (NMREB) are responsible to UCRE for ensuring the appropriate oversight of research involving human participants in compliance with the Tri-Council Policy Statement: Ethical Conduct of Research Involving Humans and other relevant guidelines and legislation.

4.00— All applications for approval to conduct research involving human participants will be reviewed by a Research Ethics Board (REB) located at Western or sanctioned by Western, which has the authority to approve or reject an application, require the alteration of an application, or stop or limit research that is already underway.

5.00— Studies may not commence until the ethics application is approved by the REB and signed by the appropriate REB official.

POLICY 7.14 – Research Involving Human Participants

6.00 Failure to comply with the University's policies and procedures may prevent approval of pending ethics applications and/or may result in approval of current studies being revoked by the REB. As warranted by the severity of circumstances, the REB may also send notification of such failure to comply to the researcher's Dean, Chair or Director, Institute Heads, and appropriate funding and licensing agencies.

PROCEDURES

All guidelines, forms and instructions are accessible on the [Office of Research Ethics Research Ethics and Compliance](http://www.uwo.ca/research/ethics) website at <http://www.uwo.ca/research/ethics>

Glossary of Terms

Core Ethical Principles of Respect for Persons, Concern for Welfare, and Justice – Respect for human dignity requires that research involving humans be conducted in a manner that is sensitive to the inherent worth of all human beings and the respect and consideration that they are due. Respect for human dignity is expressed through three core principles: Respect for Persons, Concern for Welfare, and Justice. These core principles transcend disciplinary boundaries and, therefore, are relevant to the full range of research covered by the **Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans – TCPS 2 (2018)**

Human Participant – An individual whose data, biological materials, or responses to interventions, stimuli, or questions by a researcher are relevant to answering the research question(s). Also referred to as a “human participant,” and in other policies/guidance as “subject” or “research subject (as defined by TCPS2 [2018] https://ethics.gc.ca/eng/tcps2-eptc2_2018_glossary-glossaire.html).

Multi-centre - The research is reasonably expected to be conducted at more than one centre participating in the delegated REB model.

Research – An undertaking intended to extend knowledge through a disciplined inquiry and/or systematic investigation (as defined by TCPS2 [2018] https://ethics.gc.ca/eng/tcps2-eptc2_2018_glossary-glossaire.html).

Research Ethics Board of Record (REB of Record) – The qualified Research Ethics Board that has been delegated authority for the ethics review and ethical oversight of a research study.

Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS) – A joint policy of Canada's three federal research agencies – the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC), and the Social Sciences and Humanities Research Council of Canada (SSHRC), or “the Agencies”. The TCPS covers research involving human participants in person, by mail-out or internet. TCPS also applies to research involving human tissue and personal data collected from human participants. (see: https://ethics.gc.ca/eng/tcps2-eptc2_2018_introduction.html#1)

Western 's Research Ethics Boards (REBs) –

- **Non-Medical Research Board (NMREB):** reviews research studies that predominately deal with social, behavioral, and cultural research in a non-clinical, non-patient-based population.
- **Health Science Research Ethics Board (HSREB):** reviews research studies that take place predominately inside a medical or health care environment or involve a patient population.

POLICY 7.14 – Research Involving Human Participants

Policy Category:	Research
Subject:	Human Ethics
Approving Authority:	Board of Governors
Responsible Officer:	Vice-President (Research)
Responsible Office:	Office of the Vice-President (Research)
Related University Policies:	MAPP 7.0 – Academic Integrity in Research Activities
Effective Date:	June 17, 2021
Supersedes:	June 30, 2009

I. PURPOSE

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To establish an independent human research ethics review process charged with the task of promoting the ethical pursuit of Western's research objectives.

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- a) The Research Ethics Boards (REBs) are accountable to the Board of Governor's with respect to the processes the REBs follow in pursuit of their mandates.
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- c) Western's Research Ethics and Compliance Office (RECO) is responsible to provide administrative support and to facilitate the REBs' management of the approval and monitoring processes for Western Human Research.

POLICY 7.14 – Research Involving Human Participants

- d) The REBs shall act independently of the Board of Governors when making decisions regarding the ethics of Western Human Research. Neither the Board of Governors nor any other entity may override a REB's decision to approve, reject, request modifications to, or terminate any proposed or ongoing research. Notwithstanding this point, the REBs are accountable to the Board of Governors with respect to the processes the REBs follow in pursuit of this policy.
- e) For the final meeting of the Board of Governors each year, Director of Research Ethics and Compliance shall submit a report to the Board of Governors through the University Research Board (URB) regarding the REBs' activities. This report shall include information regarding the number of protocols reviewed by both REBs, the efficiency of the review process, and related procedural matters.
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 - i. The principles of the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS 2) for all research;
 - ii. As applicable to the research, the requirements of the International Conference on Harmonisation (ICH) Good Clinical Practice (GCP); Part C, Division 5 of the Food and Drug Regulations; Part 4 of the Natural Health Products Regulations; Part 3 of the Medical Devices Regulations, the provisions of the Ontario Personal Health Information Protection Act (PHIPA) and research requirements under O. Reg. 329/04;
 - iii. When applicable to the research, the requirements of the *U.S. federal regulations* to the extent that they exceed the applicable Canadian regulations and guidelines.
- d) Western's REBs have the authority to ensure that all research they review is designed and conducted in an ethically acceptable manner.

POLICY 7.14 – Research Involving Human Participants

This includes:

- i. rejecting, proposing modifications to, or terminating any proposed or ongoing research involving humans that the REB deems to be noncompliant with the applicable regulations, guidelines, and standards pertaining to human participant protection, or
- ii. approving any research that the REBs deems to comply with the applicable regulations, guidelines, and standards pertaining to human participant protection.

V. NON-COMPLIANCE

- a) Failure to comply with Western's policies and procedures may prevent approval of pending ethics applications and/or may result in the revocation of approval of current studies being revoked by the REBs. As warranted by the severity of circumstances, an REB may also send notification of such failure to the Vice-President (Research), the researcher's Dean, Chair or Director, Institute Heads, and appropriate funding and licensing agencies.
- b) Failure to comply with this policy may result in the revocation of grant funding.

All guidelines, forms and instructions are accessible on the website at <http://www.uwo.ca/research/ethics>

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POLICY 7.14 – Research Involving Human Participants

applies to research involving human tissue and personal data collected from human participants.
(see: https://ethics.gc.ca/eng/tcps2-eptc2_2018_introduction.html#1)

Western 's Research Ethics Boards (REBs) –

- Non-Medical Research Board (NMREB): reviews research studies that predominately deal with social, behavioral, and cultural research in a non-clinical, non-patient-based population.
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Western University's Health Science Research Ethics Board (HSREB)

Terms of Reference

Preamble

Whereas Western University ("Western") is a research-intensive university with the goal of advancing the creation and dissemination of knowledge;

Whereas Western intends to pursue its role as a research-intensive university in an ethical manner by fulfilling the duties set out in all applicable regulations, guidelines and standards pertaining to human participant protection.;

Whereas Western agrees that ethical research should be guided by the three core principles established by Tri-Council Policy Statement (2018) on the *Ethical Conduct for Research Involving Humans* ("TCPS2"), namely (1) respect for persons, (2) concern for welfare, and (3) justice;

Whereas Western recognizes that the application of these principles is intended to maintain balance between the necessary protection of participants and the legitimate requirements of research;

Whereas TCPS2 requires the creation of an independent research ethics board charged with the task of promoting the ethical pursuit of Western's research objectives;

And whereas Western affirms that the purpose of a research ethics board is to facilitate research with appropriate ethical safeguards;

Now, therefore, Western's Board of Governors enacts as follows:

Creation of the HSREB

1. Western's Health Science Research Ethics Board (the "HSREB") is hereby established.
2. Nothing in this by-law invalidates or otherwise affects any action taken or decision made by a body acting as Western's HSREB prior to the creation of this by-law.

Principles and Applicable Regulations/Guidelines and Standards Pertaining to Human Participant Protection

The HSREBs' mandate, on behalf of Western and its affiliate institutions, is to protect the rights and welfare of human participants who take part in research conducted under the auspices of Western. The HSREBs review such research to ensure that it meets ethical principles and that it complies with all applicable regulations, guidelines and standards pertaining to human participant protection. These include but are not limited to the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans, 2nd edition (TCPS 2). For clinical trials, the REBs follow the International Conference on Harmonisation Good Clinical Practice Consolidated Guideline (ICH GCP); Part C, Division 5 of the Food and Drug Regulations; Part 4 of the Natural Health Products Regulations; Part 3 of the Medical Devices Regulations, the provisions of the Ontario Personal Health Information Protection Act (PHIPA 2004), and research requirements under O. Reg.329/04. When applicable to the research, the requirements of the U.S. federal regulations to the extent that they exceed the applicable Canadian regulations and guidelines.

3. Except where a contrary intention is expressed in this by-law, the powers, duties, and mandate of the HSREB shall be interpreted and discharged in accordance with TCPS2. For greater certainty, unless a contrary intention is expressed in this by-law; all terms used in this by-law shall be interpreted in accordance with all applicable regulations, guidelines and standards pertaining to human participant protection.

Mandate

4. The HSREB shall review the ethical acceptability of all medical-based research involving humans conducted under Western's jurisdiction or auspices by faculty members, staff or students, regardless of where the research is conducted. This includes (a) rejecting, proposing modifications to, or terminating any proposed or ongoing research involving humans that the HSREB deems to be non-compliant with the applicable regulations, guidelines and standards pertaining to human participant protection, or (b) approving any research that the HSREB deems to comply with the applicable regulations, guidelines and standards pertaining to human participant protection.
5. While all medical-based research involving human participants is subject to review by the HSREB, the HSREB may establish procedures for the "delegated review" of research projects which do not require consideration by the full HSREB. The Chair (or the Chair's delegate in the Office of Human Research Ethics) shall have the discretion to determine which research projects qualify for delegated review, and shall exercise this discretion in accordance with the principles stipulated in the applicable regulations, guidelines and standards pertaining to human participant protection.
6. In pursuit of its mandate, the HSREB shall:
 - (a) establish and communicate policies regarding the ethical conduct of medical research with human participants throughout the research process;
 - (b) contribute to education in research ethics that falls within the HSREB's mandate; and
 - (c) serve the research community and stakeholders as a consultative body regarding matters that fall within the HSREB's mandate.

Authority

7. The HSREB shall act independently of the Board of Governors when making decisions regarding the ethics of research. Neither the Board of Governors nor any other entity may override a HSREB decision to approve, reject, request modifications to, or terminate any proposed or ongoing research.
8. Notwithstanding section 7, the HSREB is accountable to the Board of Governors with respect to the processes the HSREB follows in pursuit of its mandate.
9. At the conclusion of each academic year, the Chair shall submit a report to the Board of Governors regarding the HSREB's activities. This report shall include information regarding the number of protocols reviewed by the HSREB, the number of protocols reviewed by delegated review, the efficiency of the review process and related procedural matters.

Appointment-Chair, Vice Chairs and HSREB members

10. The President, on behalf of the Board of Governors, shall appoint the Chair of the HSREB ("the Chair"). Whenever possible and practicable, the Chair will be selected from experienced HSREB

members who have expressed interest in becoming the Chair and who are familiar with the applicable regulations and guidance documents. The Chair shall oversee the work of the HSREB, consult (where the Chair considers such consultation appropriate) with the Secretariat on Responsible Conduct of Research and the Office of Human Research Ethics to ensure that the HSREB is empowered to carry out its mandate.

11. The Chair shall appoint up to two HSREB members to serve as Vice Chairs of the HSREB (“the Vice Chairs”). The Vice Chairs will assist the Chair in carrying out the Chair’s duties and shall fulfil the role of the Chair when the Chair is not available or where the Chair is prevented from acting by reason of a conflict of interest.
12. The HSREB shall have the power to nominate and appoint its own members and may, subject to section 15, establish nomination and appointment procedures.
13. The HSREB membership selection process shall be fair and impartial, and shall balance the need to maintain continuity of board membership with the need to ensure diversity of opinion, and the opportunity to spread knowledge and experience gained from HSREB membership throughout the institution and community.
14. Where an HSREB member is a faculty member, membership on the HSREB shall be considered part of that member’s service to the Western.
15. The Deans of the Faculties, Hospital Chair Chiefs, or their designator’s shall recommend and/or undertake to facilitate the HSREB’s decisions regarding the appointment of members.
16. In order to ensure that all HSREB members have sufficient knowledge to guide the HSREB in identifying and addressing ethics issues, all HSREB members must complete the online “TCPS2: Course on Research Ethics (CORE) tutorial” before they are eligible to vote at meetings of the HSREB.
17. To ensure the independence of the HSREB’s decision making, institutional senior administrators shall not serve on the HSREB.

Terms of Appointment

18. Each HSREB member will serve for a renewable term of three years for a maximum 3 consecutive terms.
19. A member who is, by reason of section 18, ineligible for reappointment to the HSREB may,
 - (a) retire from the HSREB for 1 year and then be eligible for reappointment, or
 - (b) be reappointed by the Chair in accordance with section 20.
20. The Chair, acting on the advice of the members of the HSREB, may re-appoint a member to the HSREB beyond the expiration of a normal term limit where that member has demonstrated unique skills, abilities, or qualifications essential for the proper operation of the HSREB and the member cannot be suitably replaced.

The term of office of the HSREB Chair is 3 years and is renewable.

Resignations and Removals

21. An HSREB member may resign before the conclusion of his or her term upon provision of notice to the HSREB Chair.
22. The HSREB Chair may remove members of the REB where such members consistently fail to discharge their responsibilities as REB members. The Chair's decision to remove any member is reviewable by the Board of Governors.

Meetings and Attendance

23. The HSREB will schedule bi-monthly meetings throughout the calendar year. Additional meetings may be held as necessary.
24. Subject to any agreement with the Chair concerning to the rotation of members representing individual faculties, HSREB members are expected to attend all regularly scheduled meetings of the HSREB as well as educational events.
25. HSREB members are expected to carry out any delegated review procedures assigned to them by the Chair or their delegate, or to inform the Chair or their delegate immediately if they are unable to undertake a particular delegated review. The Chair (or the Chair's delegate in the Office of Human Research Ethics) shall ensure that any duties associated with delegated review are assigned on an equitable basis.

Quorum

26. Quorum is met when the attendance requirements established in the TCPS2 (Articles 6.4 and 6.9), HC (FDR C.05.010(c) NHRP part 4, s.74), GCP (3.1.2), (U.S. FDA (21 CFR 56.109(e), 21 CFR 312.66, 21 CFR 812.60), DHHS (45 CFR 46.108(b)) are met. The minimum requirements are as follows:
 - a. At least two (2) members with expertise in relevant research disciplines, fields and methodologies covered by the HSREB (for biomedical clinical trials, this will include at least one member who practices medicine or dentistry and who is in good standing with their regulatory body;
 - b. At least one (1) member who is primarily experienced in non-scientific disciplines
 - c. At least one (1) member knowledgeable in ethics;
 - d. At least one (1) member knowledgeable in the relevant law (but that member should not be the institution's legal counsel or risk manager); and
 - e. At least one (1) member knowledgeable in considering privacy issues;
 - f. At least one (1) community member who has no affiliation with the institution.
27. Except when a delegated review procedure is used, the HSREB will review proposed research only at convened meetings at which a Quorum is present.

Conflict of Interest

28. All HSREB members shall disclose any conflicts of interest (actual, apparent, perceived or potential) prior to the review and/or discussion of items on the meeting agenda.
29. All HSREB members shall follow recusal requirements.

Appeals

30. A Principal Investigator (PI) may appeal the decision of the REB if the disagreement between the PI and the REB cannot be resolved through the reconsideration process. A final decision after reconsideration must be issued by the Western's REB before an appeal can be initiated.
31. The same authority that established the REB shall appoint an external to Western appeal committee that reflects a range of expertise and knowledge similar to that of the REB. The appeal committee will meet the REB quorum requirements as applicable to the study under review. Members of the REB whose decision is under appeal shall not serve on that appeal committee.
32. The appeal committee shall have the authority to review negative decisions made by the REB and in doing so it may approve, disapprove, or request revisions to the research proposal. The decision of the appeal committee on behalf of Western is final.

Western University's Non-Medical Research Ethics Board (NMREB)

Terms of Reference

Preamble

Whereas Western University ("Western") is a research-intensive university with the goal of advancing the creation and dissemination of knowledge;

Whereas Western intends to pursue its role as a research-intensive university in an ethical manner by fulfilling the duties set out in the Tri-Council Policy Statement (2018) on the *Ethical Conduct for Research Involving Humans* ("TCPS2");

Whereas Western agrees that ethical research should be guided by the three core principles established by the TCPS2, namely (1) respect for persons, (2) concern for welfare, and (3) justice;

Whereas Western recognizes that the application of these principles is intended to maintain balance between the necessary protection of participants and the legitimate requirements of research;

Whereas TCPS2 requires the creation of an independent research ethics board charged with the task of promoting the ethical pursuit of Western's research objectives;

And whereas Western affirms that the purpose of a research ethics board is to facilitate research with appropriate ethical safeguards;

Now, therefore, Western's Board of Governors enacts as follows:

Creation of the NMREB

1. Western's Non-Medical Research Ethics Board (the "NMREB") is hereby established.
2. Nothing in this by-law invalidates or otherwise affects any action taken or decision made by a body acting as Western's NMREB prior to the creation of this by-law.

Principles and Applicable Regulations/Guidelines and Standards Pertaining to Human Participant Protection

The NMREBs' mandate, on behalf of Western and its affiliate institutions, is to protect the rights and welfare of human participants who take part in research conducted under the auspices of Western. The NMREB reviews such research to ensure that it meets ethical principles and that it complies with all applicable regulations, guidelines and standards pertaining to human participant protection such as TCPS 2.

3. Except where a contrary intention is expressed in this by-law, the powers, duties, and mandate of the NMREB shall be interpreted and discharged in accordance with TCPS2. For greater certainty, unless a contrary intention is expressed in this by-law, all terms used in this by-law shall be interpreted in accordance with the TCPS2.

Mandate

4. The NMREB shall review the ethical acceptability of all non-medical research involving humans conducted under Western's jurisdiction or auspices by faculty members, staff or students, regardless of where the research is conducted. This includes (a) rejecting, proposing modifications to, or terminating any proposed or ongoing research involving humans that the NMREB deems to be non-compliant with the TCPS2, or (b) approving any research that the NMREB deems to comply with the TCPS2.
5. While all non-medical research involving human participants is subject to review by the NMREB, the NMREB may establish procedures for the "delegated review" of research projects which do not require consideration by the full NMREB. The Chair (or the Chair's delegate in the Office of Human Research Ethics) shall have the discretion to determine which research projects qualify for delegated review, and shall exercise this discretion in accordance with the principles enunciated in the TCPS2.
6. In pursuit of its mandate, the NMREB shall:
 - (a) establish and communicate policies regarding the ethical conduct of non-medical research with human participants throughout the research process;
 - (b) contribute to education in research ethics that falls within the NMREB's mandate; and
 - (c) serve the research community and stakeholders as a consultative body regarding matters that fall within the NMREB's mandate.

Authority

7. The NMREB shall act independently of the Board of Governors when making decisions regarding the ethics of research. Neither the Board of Governors nor any other entity may override a NMREB decision to approve, reject, request modifications to, or terminate any proposed or ongoing research.
8. Notwithstanding section 7, the NMREB is accountable to the Board of Governors with respect to the processes the NMREB follows in pursuit of its mandate.
9. At the conclusion of each academic year, the Chair shall submit a report to the Board of Governors regarding the NMREB's activities. This report shall include information regarding the number of protocols reviewed by the NMREB, the number of protocols reviewed by delegated review, the efficiency of the review process and related procedural matters.

Appointment-Chair, Vice Chairs and NMREB members

10. The President, on behalf of the Board of Governors, shall appoint the Chair of the NMREB ("the Chair"). Whenever possible and practicable, the Chair will be selected from experienced NMREB members who have expressed interest in becoming the Chair and who are familiar with the applicable regulations and guidance documents. The Chair shall oversee the work of the NMREB, consult (where the Chair considers such consultation appropriate) with the Secretariat on Responsible Conduct of Research, and work with the Board of Governors and the Office of Human Research Ethics to ensure that the NMREB is empowered to carry out its mandate.
11. The Chair shall appoint a NMREB member to serve as Vice Chair of the NMREB ("the Vice Chairs"). The Vice Chairs will assist the Chair in carrying out the Chair's duties, and shall fulfil the

role of the Chair when the Chair is not available or where the Chair is prevented from acting by reason of a conflict of interest.

12. The NMREB shall have the power to nominate and appoint its own members and may, subject to section 15, establish nomination and appointment procedures.
13. The NMREB membership selection process shall be fair and impartial, and shall balance the need to maintain continuity of board membership with the need to ensure diversity of opinion, and the opportunity to spread knowledge and experience gained from NREB membership throughout the institution and community.
14. Where an NMREB member is a faculty member, membership on the NMREB shall be considered part of that member's service to the Western.
15. The Deans of the Faculties, or their designates, shall recommend and/or undertake to facilitate the HNMREB's decisions regarding the appointment of members.
16. In order to ensure that all NMREB members have sufficient knowledge to guide the NMREB in identifying and addressing ethics issues, all NMREB members must complete the online "TCPS2: Course on Research Ethics (CORE) tutorial" before they are eligible to vote at meetings of the NMREB.
17. To ensure the independence of the NMREB's decision making, institutional senior administrators shall not serve on the NMREB.

Terms of Appointment

18. Each NMREB member will serve for a renewable term of three years for a maximum 3 consecutive terms.
19. A member who is, by reason of section 18, ineligible for reappointment to the NREB may,
 - (a) retire from the HNMREB for 1 year and then be eligible for reappointment, or
 - (b) be reappointed by the Chair in accordance with section 20.
20. The Chair, acting on the advice of the members of the NREB, may re-appoint a member to the NMREB beyond the expiration of a normal term limit where that member has demonstrated unique skills, abilities, or qualifications essential for the proper operation of the NMREB and the member cannot be suitably replaced.
21. The term of office of the NMREB Chair is 3 years and is renewable once.

Resignations and Removals

22. An NMREB member may resign before the conclusion of his or her term upon provision of notice to the NMREB Chair.

23. The NMREB Chair may remove any members of the REB where such members consistently fail to discharge their responsibilities as REB member. The Chair's decision to remove any member is reviewable by the Board of Governors.

Meetings and Attendance

24. The NMREB will schedule monthly meetings throughout the calendar year. Additional meetings may be held as necessary.
25. Subject to any agreement with the Chair concerning to the rotation of members representing individual faculties, NMREB members are expected to attend all regularly scheduled meetings of the NMREB as well as educational events.
26. NMREB members are expected to carry out any delegated review procedures assigned to them by the Chair or their delegate, or to inform the Chair or their delegate immediately if they are unable to undertake a particular delegated review. The Chair (or the Chair's delegate in the Office of Human Research Ethics) shall ensure that any duties associated with delegated review are assigned on an equitable basis.

Quorum

27. Quorum is met when the attendance requirements established in the TCPS2 (Articles 6.4 and 6.9) are met. The minimum requirements are as follows:
 - a. At least two members with expertise in relevant research disciplines, fields and methodologies covered by the NMREB;
 - b. At least one member knowledgeable in ethics;
 - c. At least one member knowledgeable in the relevant law (but that member should not be the institution's legal counsel or risk manager); and
 - d. At least one community member who has no affiliation with the institution.
28. Except when a delegated review procedure is used, the NMREB will review proposed research only at convened meetings at which a Quorum is present.

Conflict of Interest

29. All NMREB members shall disclose any conflicts of interest (actual, apparent, perceived or potential) prior to the review and/or discussion of items on the meeting agenda.
30. All NMREB members shall follow recusal requirements.

Appeals

31. A Principal Investigator (PI) may appeal the decision of the REB if the disagreement between the PI and the REB cannot be resolved through the reconsideration process. A final decision after reconsideration must be issued by the Western REB before an appeal can be initiated.
32. The same authority that established the REB shall appoint an external to Western appeal committee that reflects a range of expertise and knowledge similar to that of the REB. The appeal committee will

meet the REB quorum requirements as applicable to the study under review. Members of the REB whose decision is under appeal shall not serve on that appeal committee.

33. The appeal committee shall have the authority to review negative decisions made by the REB and in doing so it may approve, disapprove or request revisions to the research proposal. The decision of the appeal committee on behalf of Western is final.

ITEM 5.8(b) - Academic Administrative Appointments for May 2021

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

The Academic Administrative Appointments for May 2021 outlined in the tables attached.

ATTACHMENT(S):

[Academic Administrative appointments for May 2021](#)

Information for Senate - April 2021				
Start Date	End Date	Name	Department	Admin Appointment
3/1/2021	2/28/2022	Santos, Maria Jacinta	Schulich - Office of the Dean	Assistant Dean
3/1/2021		Bressette, Christie	Indigenous Initiatives-General	Vice-Provost/AVP Indigenous In
3/15/2021	6/30/2027	McGlynn, Margaret	Vice-Provost Acad Plan,Policy	Vice-Provost (Policy, Faculty)
3/19/2021	9/2/2022	Johnson, Erin	WL - Content Mgmt (CMDA)	Library Head - Acting
4/1/2021	12/31/2021	Hahn, Karin	Oncology	Clinical Department Chair - Interim
4/1/2021		O'Hagan, Jeffrey	VP University Advancement	Vice-Pres. Univ. Advancement
5/1/2021	6/30/2026	Domaratzki, Michael	Computer Science	Department Chair
7/1/2021	6/30/2024	Regnault, Timothy	Schulich - Office of the Dean	Assistant Dean
7/1/2021	6/30/2022	Baxter, Jamie	Soc Science - Office of Dean	Associate Dean (Grad,PostDoc)
7/1/2021	6/30/2022	Campbell, Craig	Paediatrics	Co-Chair/Co-Chief
7/1/2021	6/30/2022	Singh, Ram	Paediatrics	Co-Chair/Co-Chief
7/1/2021	6/30/2026	Coltman, David	Department of Biology	Department Chair
7/1/2021	6/30/2022	Navarro, Salvador	Economics	Department Chair
7/1/2021	6/30/2026	Rhoden, Nancy	History	Department Chair
7/1/2021	6/30/2026	Frisbee, Jefferson	Medical Biophysics	Department Chair
8/1/2021	6/30/2026	Harney, Nicholas	Soc Science - Office of Dean	Dean
7/1/2022	6/30/2024	Jones, Carol	Science - Office of the Dean	Associate Dean (Administration)

ITEM 5.8(c) – Report of the COU Academic Colleague (June 2021)

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

The attached reports are the reports of the COU Academic Colleague as reported to Senate in June 2021.

ATTACHMENTS:

[Report of the COU Academic Colleague June 2021](#)

**Report of the COU Academic Colleague
Professor Erika Chamberlain**

The COU Academic Colleagues met virtually on May 11-12. The following discussion items are of potential interest to Senators.

Tuition Framework: On April 30, Ontario announced a one-year extension of the tuition freeze for Ontario residents studying at colleges and universities. Tuition for out-of-province students will return to a system similar to the previous framework, with universities having the option to increase tuition by up to 3% in 2021-22. It is estimated that out-of-province students represent about 12% of enrolment across the university sector, but this is not spread evenly across institutions.

This particular proposal had not been requested by universities and presents some technical problems. For instance, unless they apply for OSAP, it is difficult to identify whether they are out-of-province students. In addition, most universities have already prepared budgets without taking this potential increase into account.

NOSM and Hearst: The Ontario government has introduced proposed legislation to establish the Northern Ontario School of Medicine (NOSM) and Université de Hearst (Hearst) as independent, standalone degree-granting institutions. If passed, the legislation would formally recognize the role these institutions play in providing students with access to medical training and French-language studies in Northern Ontario.

COU sent a letter to the Minister expressing the sector's concerns over the lack of consultation with universities regarding the impact of this decision on other institutions and the sector as a whole.

Micro-credentials: On April 23, COU and Colleges Ontario sent a joint letter to Minister Romano asking to work together to ensure the success of the micro-credentials program. This includes the development of robust quality assurance frameworks that respect institutional autonomy and allow the sectors to respond nimbly and flexibly to rapidly-changing economic circumstances and skills requirements. Ontario colleges and universities have already begun the work of adapting their quality assurance processes to integrate micro-credentials.

On April 30, the Ministry of Colleges and Universities (MCU) and Ministry of Labour, Training and Skills Development (MLTSD) released a call for proposals for the Ontario Micro-credentials Challenge Fund. The Fund will provide \$15M to institutions to accelerate the development of rapid training programs. This includes \$11M to support the development of micro-credentials, and four regional Impact Awards of up to \$1M that may be awarded to applicants whose projects are most successful, scalable, and have a significant community impact. Additional consideration will be given to proposals that include work-integrated learning (WIL) components. The deadline for proposals is June 25, 2021.

Canada and International Competitiveness: the COU has been reviewing Canada's and Ontario's competitive positions with respect to international students. Canada is among the Top 5 destinations for students in higher education. In Ontario, international enrolment at universities has tripled since 2009 to 90,000. However, Ontario is relatively expensive compared to the rest of Canada (and even much of the United States) for international students, and relies more heavily on students from China. This makes us more vulnerable to current geopolitical tensions.

Surveys of international students suggest that there was very little correlation between COVID case counts and preferred destination for university studies.

ITEM 5.8(d) – Renewal of the Articulation Agreement for the Admission of Graduates of the Nutrition and Food Service Management Diploma Program at Centennial College into the Bachelor of Science (Foods and Nutrition) Program at Brescia University College

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

Recommended: That Board of Governors approve, that effective May 1, 2021, graduates of the Nutrition and Food Service Management Diploma Program at Centennial College be admitted to the Bachelor of Science (Foods and Nutrition) Program at Brescia University College (Honours Specialization in Nutrition and Dietetics, Honours Specialization in Foods and Nutrition, Specialization in Foods and Nutrition), as set out in the attached articulation agreement.

EXECUTIVE SUMMARY:

This agreement is a renewal that relates to students studying in the Centennial Nutrition and Food Service Management Diploma Program. Effective May 1, 2021, Brescia University College proposes to accept students from this program into the Bachelor of Science (Foods and Nutrition): Honours Specialization in Nutrition and Dietetics program, or Honours Specialization in Foods and Nutrition, or Specialization in Foods and Nutrition program as set out in the attached Articulation Agreement between the two institutions.

The objectives of the agreement are to provide graduates from Centennial, who satisfy the criteria described in this agreement, with the opportunity to apply for admission to the Bachelor of Science (Foods and Nutrition): Honours Specialization in Nutrition and Dietetics program, or Honours Specialization in Foods and Nutrition, or Specialization in Foods and Nutrition program and obtain a Western degree.

ATTACHMENT:

[Articulation Agreement](#)

AGREEMENT FOR OUTBOUND ARTICULATION

B E T W E E N:

CENTENNIAL COLLEGE OF APPLIED ARTS AND TECHNOLOGY

941 Progress Ave, Scarborough, ON M1G 3T8

hereinafter referred to as "Centennial" of the first part.

-and-

BRESCIA UNIVERSITY COLLEGE

1285 Western Rd, London, ON N6G 1H2

hereinafter referred to as "**Brescia**", of the second part;

THIS AGREEMENT made this **May 2021**

ARTICULATION AGREEMENT

THIS AGREEMENT made BETWEEN:

THE UNIVERSITY OF WESTERN ONTARIO
(hereinafter called “Western”)
and

BRESCIA UNIVERSITY COLLEGE
(hereinafter called “Brescia”)
and

CENTENNIAL COLLEGE OF APPLIED ARTS AND TECHNOLOGY
(hereinafter called “Centennial”)

WHEREAS Western, Brescia, and Centennial wish to increase student mobility between Centennial and Western and Centennial and Brescia, and the parties recognize that credit transfer is a key means to encourage such mobility;

AND WHEREAS the parties wish to facilitate the admission of qualified graduates of the Nutrition and Food Service Management diploma program at Centennial to the Bachelor of Science (Foods and Nutrition): Honours Specialization in Nutrition and Dietetics, or Honours Specialization in Foods and Nutrition, or Specialization in Foods and Nutrition Program at Western and Brescia by entering into an articulation agreement recognized by the Ontario Council for Articulation and Transfer (ONCAT), and wish to set out clearly defined processes for the movement of the graduates between Centennial and Western and Centennial and Brescia;

NOW THEREFORE in consideration of the mutual covenants herein, and for other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the parties agree as follow:

ADMISSION

1. Western and Brescia agree to consider for admission to Bachelor of Science (Foods and Nutrition): Honours Specialization in Nutrition and Dietetics, or Honours Specialization in Foods and Nutrition, or Specialization in Foods and Nutrition Program graduates of the Nutrition and Food Service Management diploma program from Centennial who meet the following requirements:

- a. Successful completion of the Nutrition and Food Service Management diploma with a competitive overall admission average for the year in which they apply as calculated by Western and Brescia;
- b. completion of the prescribed set of courses within the Nutrition and Food Services Management diploma with a minimum grade of “C” or 2.00 GPA in each college course as outlined in Appendix 1; and
- c. Successful completion of Ontario Secondary School Biology (SBI4U) and Chemistry (SCH4U); or an equivalent as approved by the receiving institutions.

2. **In order** to be considered for admission, Centennial students must submit an application and academic transcripts to the relevant Admissions Office by June 1st of the year in which they are seeking admission.

3. Admissions decisions are within the sole discretion of Western and Brescia and are not appealable. Applicants who meet the requirements set out above are not guaranteed admission under this Agreement. The decision as to the number of students who will be accepted in any academic year may vary from year to year. Final determination of the validity of all admissions under this agreement rests with the Registrars at Western and Brescia in accordance with the provisions of the affiliation agreement between Western and Brescia.

TRANSFER CREDIT

4. Western and Brescia shall grant transfer credit to successful applicants for Centennial courses in accordance with **Appendix 1**.
5. The course names and numbers set out in **Appendix 1** may be revised from time to time with the agreement in writing of the parties. Failure to provide timely notification to Western and Brescia of changes to Centennial's course names or numbers may result in denial of admission and transfer credit to qualified applicants.
6. The parties acknowledge that the granting of transfer credit is based on an assessment of the Nutrition and Food Service Management diploma program curriculum and the courses as of the date of this Agreement. It is the responsibility of Centennial to notify Western and Brescia of any subsequent changes or anticipated changes to the curriculum or content of the courses and provide sufficient information to enable Western and Brescia to decide whether transfer credit will continue to be granted for these courses.

GENERAL

7. Students accepted under this Agreement must complete the courses set out in **Appendices 2A, 2B or 2C** and meet the progression and graduation requirements for a Bachelor of Science (Foods and Nutrition): Honours Specialization in Nutrition and Dietetics **Appendix 2A**, or Honours Specialization in Foods and Nutrition **Appendix 2B**, or Specialization in Foods and Nutrition Program **Appendix 2C**. These progression and degree requirements are subject to change during the term of this Agreement, and Western and Brescia will give Centennial written notice of any changes.
8. Students who subsequently fail to meet progression or degree requirements for the Bachelor of Science (Foods and Nutrition): Honours Specialization in Nutrition and Dietetics, or Honours Specialization in Foods and Nutrition, or Specialization in Foods and Nutrition Program but who do meet requirements for another program at Brescia or Western may be permitted to transfer to another program at the discretion of the relevant Faculty. Students who transfer to another program or campus may have the transfer credits removed from their academic record and credit for college courses may be re-assessed by the relevant Faculty.
9. Western and Brescia agree to provide Centennial students with information about the transfer credits and encourage qualified students to apply.
10. The parties shall each designate a Program representative to assist with the operation of this Agreement. The program representatives and other relevant staff at each institution shall meet at least once every two years to review their processes and determine if changes are needed to meet the objectives of the parties.

TERM

11.(a) This Agreement is effective May 1, 2021 and shall continue in force unless terminated by a party as set out herein.

(b) Any party may terminate this Agreement upon three months' written notice of termination to the other parties. No applicants will be considered for admission after the date of such notice.

(c) Notwithstanding paragraph (b), if Western or Brescia decide to terminate this Agreement due to changes to the Centennial's curriculum or course content, this Agreement shall terminate on a date that is the earlier of three months after written notice of termination is given to Centennial and the date that the changes were made by Centennial.

(d) Students accepted for admission under this Agreement prior to issuance of a notice of termination shall be permitted to complete their studies under the terms of this Agreement.

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

CENTENNIAL COLLEGE OF APPLIED ARTS AND TECHNOLOGY

* _____
Ann Buller
President

Date

BRESCIA UNIVERSITY COLLEGE

* _____
Cheryl Jensen
Interim Principal

Date

THE UNIVERSITY OF WESTERN ONTARIO

* _____
Dr. John Doerksen
Vice-Provost (Academic Programs)

Date

*I have authority to bind the institution.

APPENDIX 1

Articulation Agreement between
The University of Western Ontario and Brescia University College's
Bachelor of Science (Foods and Nutrition), Honours Specialization in Nutrition and Dietetics, or Honours
Specialization in Foods and Nutrition, or Specialization in Foods and Nutrition
and
Centennial College (Nutrition and Food Service Management diploma),
May 1, 2021

Western/Brescia Course	Western/Brescia Credit Weight	Centennial Course	Centennial Course Title	Centennial Credit Weight
Foods and Nutrition 1070A/B & Foods and Nutrition 1241A/B	1.0	NFSM-109	Nutrition 1	3.0
		NFSM-110	Nutrition 2	3.0
Writing 1020F/G	0.5	COMM-160/161	College Communications 1	3.0
		COMM-170/171	College Communications 2	3.0
Human Ecology 1020TRN	0.5	NFSM-201	Communications and Interprofessional Approaches in Health Care and Food Services	3.0
Sociology 1020TRN	0.5	GNED-500	Global Citizenship: From Social Analysis to Social Action	3.0
Foods and Nutrition 2100TRN	0.5	NFSM-100	Principles of Sanitation, Safety and Hygiene	3.0
		NFSM-105	Kitchen Production	3.0
		NFSM-108	Introduction to Food Services	3.0
		NFSM-112	Food Properties Analysis	3.0
Foods and Nutrition 2449A/B	0.5	NFSM-117	Mathematics for Food Service Management	3.0
		NFSM-202	Organizational Behaviour in Food Services	3.0
		NFSM-210	Marketing and Merchandising for Food Services Operations	3.0
		NFSM-203	Human Resources Management in Food Services	3.0
Foods and Nutrition 2100TRN	0.5	NFSM-213	Recipe Development and Costing	2.0
		NFSM-216	Health Care Menu Planning	2.0
Foods and Nutrition 3348A/B & Foods and Nutrition 3100TRN	1.0	NFSM-115	Purchasing for the Food Services Industry	3.0
		NFSM-208	Food Service Accounting	3.0
		NFSM-207	Facilities Planning and Design	3.0
		NFSM-223	Food Services Systems Management	3.0
		NFSM-219	Professional Practice Seminar	2.0
Foods and Nutrition 3100TRN	0.5	NFSM-221	Financial Management	2.0
		NFSM-206	Medical Nutrition Therapy	3.0
Foods and Nutrition 4449A/B	0.5	NFSM-211	Supervision Practices	3.0
		NFSM-217	Field Placement	3.0

Total: 6.0 credits

APPENDIX 2A

Articulation Agreement between
The University of Western Ontario and Brescia University College's
Bachelor of Science (Foods and Nutrition), Honours Specialization in Nutrition and Dietetics,
and
Centennial College (Nutrition and Food Service Management diploma),
May 1, 2021

Course Requirements for Degree Completion Brescia Bachelor of Science (Foods and Nutrition) Honours Degree Program		
Honours Specialization in Nutrition and Dietetics		
To graduate from the BSc Honours Specialization in Nutrition and Dietetics degree program at Brescia, students admitted under this articulation agreement must successfully complete the 14.0 courses listed below. Brescia will provide Fanshawe with written notice of any changes to these course requirements. A final average of 75%, with no grade less than 60% must be achieved to graduate from the BSc (F&N) degree program.		
Credit Weight	Brescia/Western Course Number	Brescia/Western Course Name
Year 2 Requirements (Fall/Winter Term)		
0.5	Chemistry 1301A/B	Discovering Chemical Structure
0.5	Chemistry 1302A/B	Discovering Chemical Energetics
0.5	Biology 1290B	Biology and Microorganisms
1.0	Physiology 1021	Introduction to Human Physiology
0.5	Human Ecology 2222A/B	Professional Perspectives
0.5	Foods and Nutrition 1241 A/B	Lifecycle Nutrition
0.5	Foods and Nutrition 2266F/G	Nutrition Education and Communication
0.5	Foods and Nutrition 3355A/B	Agriculture and Food Systems: Critical Conversations
0.5	Elective	Breadth Requirement: Category "B" Arts and Humanities, or Languages
Year 3 Requirements (Fall/Winter Term)		
0.5	Biochemistry 2288A	Biochemistry and Molecular Biology for Foods and Nutrition
0.5	Chemistry 2003A/B	Organic and Biological Chemistry for Food Science
0.5	Foods and Nutrition 2230A/B	Integrated Human Nutrition
1.0	Foods and Nutrition 2232	Principles of Food Science
0.5	Foods and Nutrition 3344A/B	Diet and Nutritional Assessment
0.5	Foods and Nutrition 3351A/B	Clinical Nutrition I
0.5	Foods and Nutrition 3361A/B	Fundamentals of Community Nutrition
1.0	Elective	(Consider choosing essay designated course to fulfill essay course requirements for graduation)
Year 4 Requirements (Fall/Winter Term – only 4.0 credits required for final year)		
0.5	Foods and Nutrition 3342A/B	Advanced Food Science
1.0	Foods and Nutrition 3390W/X	Research Methods and Statistics for Food and Nutrition
0.5	Foods and Nutrition 4429A/B	Advanced Management for Foods and Nutrition
0.5	Foods and Nutrition 4453A/B	Clinical Nutrition II
0.5	Foods and Nutrition 4460A/B	Nutrition Counselling
0.5	Foods and Nutrition 4471A/B	Nutrition and Metabolic Processes
0.5	Elective	

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APPENDIX 2B

Articulation Agreement between
The University of Western Ontario and Brescia University College's
Bachelor of Science (Foods and Nutrition), Honours Specialization in Foods and Nutrition,
and
Centennial College (Nutrition and Food Service Management diploma),
May 1, 2021

Course Requirements for Degree Completion Brescia Bachelor of Science (Foods and Nutrition) Honours Degree Program		
<u>Honours Specialization in Foods and Nutrition</u>		
To graduate from the BSc Honours Specialization in Foods and Nutrition degree program at Brescia, students admitted under this articulation agreement must successfully complete the 14.0 credits listed below. Brescia will provide Fanshawe with written notice of any changes to these course requirements. A final average of 75%, with no grade less than 60% must be achieved to graduate from the BSc (F&N) degree program.		
Credit Weight	Brescia/Western Course Number	Brescia/Western Course Name
Year 2 Requirements (Fall/Winter Term)		
0.5	Chemistry 1301A/B	Discovering Chemical Structure
0.5	Chemistry 1302A/B	Discovering Chemical Energetics
0.5	Biology 1290B	Biology and Microorganisms
1.0	Physiology 1021	Introduction to Human Physiology
0.5	Human Ecology 2222A/B	Professional Perspectives
0.5	Foods and Nutrition 1241 A/B	Lifecycle Nutrition
0.5	Foods and Nutrition 2266F/G	Nutrition Education and Communication
1.0	Elective	Breadth Requirement: Category "B" Arts and Humanities, or Languages
Year 3 Requirements (Fall/Winter Term)		
0.5	Biochemistry 2288A	Biochemistry and Molecular Biology for Foods and Nutrition
0.5	Chemistry 2003A/B	Organic and Biological Chemistry for Food Science
0.5	Foods and Nutrition 2230A/B	Integrated Human Nutrition
1.0	Foods and Nutrition 2232	Principles of Food Science
0.5	Foods and Nutrition 3361A/B	Fundamentals of Community Nutrition
2.0	Electives	(Consider choosing essay designated course to fulfill essay course requirements for graduation)
Year 4 Requirements (Fall/Winter Term – only 4.0 credits required for final year)		
0.5	Foods and Nutrition 3342A/B	Advanced Food Science
1.0	Foods and Nutrition 3390W/X	Research Methods and Statistics for Food and Nutrition
0.5	Foods and Nutrition 3380A/B, or	Policy Development and Advocacy
2.0	Food and Nutrition or Human Ecology 3000 or 4000 level	

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APPENDIX 2C

Articulation Agreement between
The University of Western Ontario and Brescia University College's
Bachelor of Science (Foods and Nutrition), Specialization in Foods and Nutrition,
and
Centennial College (Nutrition and Food Service Management diploma),
May 1, 2021

Course Requirements for Degree Completion Brescia Bachelor of Science (Foods and Nutrition) Honours Degree Program		
<u>Specialization in Foods and Nutrition</u>		
To graduate from the BSc Honours Specialization in Nutrition and Dietetics degree program at Brescia, students admitted under this articulation agreement must successfully complete the 14.0 courses listed below. Brescia will provide Fanshawe with written notice of any changes to these course requirements. A final average of 75%, with no grade less than 60% must be achieved to graduate from the BSc (F&N) degree program.		
Credit Weight	Brescia/Western Course Number	Brescia/Western Course Name
Year 2 Requirements (Fall/Winter Term)		
0.5	Chemistry 1301A/B	Discovering Chemical Structure
0.5	Chemistry 1302A/B	Discovering Chemical Energetics
0.5	Biology 1290B	Biology and Microorganisms
1.0	Physiology 1021	Introduction to Human Physiology
0.5	Human Ecology 2222A/B	Professional Perspectives
0.5	Foods and Nutrition 1241 A/B	Lifecycle Nutrition
0.5	Foods and Nutrition 2266F/G	Nutrition Education and Communication
1.0	Elective	Breadth Requirement: Category "B" Arts and Humanities, or Languages
Year 3 Requirements (Fall/Winter Term)		
0.5	Biochemistry 2288A	Biochemistry and Molecular Biology for Foods and Nutrition
0.5	Chemistry 2003A/B	Organic and Biological Chemistry for Food Science
0.5	Foods and Nutrition 2230A/B	Integrated Human Nutrition
1.0	Foods and Nutrition 2232	Principles of Food Science
1.0	Foods and Nutrition or Human Ecology at the 3000 or 4000-level	
1.5	Electives	(Consider choosing essay designated course to fulfill essay course requirements for graduation)
Year 4 Requirements (Fall/Winter Term – only 4.0 credits required for final year)		
0.5	Foods and Nutrition 3342A/B	Advanced Food Science
3.5	Foods and Nutrition or Human Ecology at the 3000 or 4000-level	

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ITEM 5.8(e) – Renewal of the Articulation Agreement for the Admission of Graduates of the Food Nutrition Management Program at Fanshawe College into the Bachelor of Science (Foods and Nutrition) Program at Brescia University College

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

Recommended: That the Board of Governors approve, that effective May 1, 2021, graduates of the Food Nutrition Management Program at Fanshawe College be admitted to the Bachelor of Science (Foods and Nutrition) Program at Brescia University College (Honours Specialization in Nutrition and Dietetics, Honours Specialization in Foods and Nutrition, Specialization in Foods and Nutrition), as set out in the attached articulation agreement.

EXECUTIVE SUMMARY:

This agreement is a renewal that relates to students studying in the Fanshawe College Food Nutrition Management program. Effective May 1, 2021, Brescia University College proposes to accept students from this program into the Bachelor of Science (Foods and Nutrition): Honours Specialization in Nutrition and Dietetics program, or Honours Specialization in Foods and Nutrition, or Specialization in Foods and Nutrition program as set out in the attached Articulation Agreement between the two institutions.

The objectives of the agreement are to provide graduates from Fanshawe College, who satisfy the criteria described in this agreement, with the opportunity to apply for admission to the Bachelor of Science (Foods and Nutrition): Honours Specialization in Nutrition and Dietetics program, or Honours Specialization in Foods and Nutrition, or Specialization in Foods and Nutrition program and obtain a Western degree.

ATTACHMENT:

[Articulation Agreement](#)

AGREEMENT FOR OUTBOUND ARTICULATION

B E T W E E N:

FANSHAWE COLLEGE

1001 Fanshawe College Blvd, London ON N5Y 5R6

hereinafter referred to as "**Fanshawe**" of the first part.

-and-

BRESCIA UNIVERSITY COLLEGE

1285 Western Rd, London, ON N6G 1H2

hereinafter referred to as "**Brescia**" of the second part;

THIS AGREEMENT made this **June 2021**

ARTICULATION AGREEMENT

THIS AGREEMENT made BETWEEN:

THE UNIVERSITY OF WESTERN ONTARIO

(hereinafter called “Western”)

and

BRESCIA UNIVERSITY COLLEGE

(hereinafter called “Brescia”)

and

FANSHAWE COLLEGE

(hereinafter called “Fanshawe”)

WHEREAS Brescia, Western and Fanshawe wish to increase student mobility between Brescia, Western and Fanshawe, and the parties recognize that credit transfer is a key means to encourage such mobility;

AND WHEREAS the parties wish to facilitate the admission of qualified graduates of the Food and Nutrition Management program at Fanshawe to the Bachelor of Science (Foods and Nutrition): Honours Specialization in Nutrition and Dietetics program, or Honours Specialization in Foods and Nutrition, or Specialization in Foods and Nutrition program at Western/Brescia by entering into an articulation agreement recognized by the Ontario Council for Articulation and Transfer (ONCAT), and wish to set out clearly defined processes for the movement of the graduates between Fanshawe and Western and Fanshawe and Brescia;

NOW THEREFORE in consideration of the mutual covenants herein, and for other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the parties agree as follow:

ADMISSION

1. Western and Brescia agree to consider for admission to the Bachelor of Science (Foods and Nutrition): Honours Specialization in Nutrition and Dietetics, or Honours Specialization in Foods and Nutrition, or Specialization in Foods and Nutrition program graduates of the Food and Nutrition Management diploma program from Fanshawe who meet the following requirements:
 - a. Successful completion of the Food and Nutrition Management diploma with a competitive overall admission average for the year in which they apply as calculated by Western and Brescia;
 - b. Completion of the prescribed set of courses within the Food and Nutrition Management diploma with a minimum grade of “C” or 2.00 GPA in each college course as outlined in Appendix 1; and
 - c. Successful completion of Ontario Secondary School Biology (SBI4U) and Chemistry (SCH4U); or equivalents.
2. To be considered for admission, Fanshawe students must apply to Western or Brescia by June 1st of the year in which they are seeking admission.

3. Admissions decisions are within the sole discretion of Western and Brescia and are not appealable. Applicants who meet the requirements set out above are not guaranteed admission under this Agreement. The decision as to the number of students who will be accepted in any academic year may vary from year to year. Final determination of the validity of all admissions under this agreement rests with the Registrars at Western and Brescia in accordance with the provisions of the affiliation agreement between Western and Brescia.

TRANSFER CREDIT

4. Western and Brescia shall grant transfer credit to successful applicants for Fanshawe courses in accordance with **Appendix 1**.
5. The course names and numbers set out in **Appendix 1** may be revised from time to time with the agreement in writing of the parties. Failure to provide timely notification to Western and Brescia of changes to Fanshawe's course names or numbers may result in denial of admission and transfer credit to qualified applicants.
6. The parties acknowledge that the granting of transfer credit is based on an assessment of the Food and Nutrition Management diploma program curriculum and the courses as of the date of this Agreement. It is the responsibility of Fanshawe to notify Western and Brescia of any subsequent changes or anticipated changes to the curriculum or content of the courses and provide sufficient information to enable Western and Brescia to decide whether transfer credit will continue to be granted for these courses.

GENERAL

7. Students accepted under this Agreement must complete the courses set out in **Appendices 2A, 2B or 2C** and meet the progression and graduation requirements for a Bachelor of Science (Foods and Nutrition): Honours Specialization in Nutrition and Dietetics (Appendix 2A), or Honours Specialization in Foods and Nutrition (Appendix 2B), or Specialization in Foods and Nutrition Program (Appendix 2C). These progression and degree requirements are subject to change during the term of this Agreement, and Western and Brescia will give Fanshawe written notice of any changes.
8. Students who subsequently fail to meet progression or degree requirements for the Bachelor of Science (Foods and Nutrition): Honours Specialization in Nutrition and Dietetics, or Honours Specialization in Foods and Nutrition, or Specialization in Foods and Nutrition Program but who do meet requirements for another program at Brescia or Western may be permitted to transfer to another program at the discretion of the relevant Faculty. Students who transfer to another program or campus may have the transfer credits removed from their academic record and credit for college courses may be re-assessed by the relevant Faculty.
9. Western and Brescia agree to provide Fanshawe students with information about the transfer credits and encourage qualified students to apply.
10. The parties shall each designate a program representative to assist with the operation of this Agreement. The program representatives and other relevant staff at each institution shall meet at least once every two years to review their processes and determine if changes are needed to meet the objectives of the parties.

TERM

11.(a) This Agreement is effective May 2021 and shall continue in force unless terminated by a party as set out herein.

(b) Any party may terminate this Agreement upon three months' written notice of termination to the other parties. No applicants will be considered for admission after the date of such notice.

(c) Notwithstanding paragraph (b), if Western or Brescia decide to terminate this Agreement due to changes to the Fanshawe's curriculum or course content, this Agreement shall terminate on a date that is the earlier of three months after written notice of termination is given to Fanshawe and the date that the changes were made by Fanshawe.

(d) Students accepted for admission under this Agreement prior to issuance of a notice of termination shall be permitted to complete their studies under the terms of this Agreement.

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

FANSHAWE COLLEGE

*

Mr. Peter Devlin
President

Date

BRESCIA UNIVERSITY COLLEGE

*

Ms. Cheryl Jensen
Interim Principal

Date

THE UNIVERSITY OF WESTERN ONTARIO

*

Dr. John Doerksen
Vice-Provost (Academic Programs)

Date

*I have authority to bind the institution.

APPENDIX 1

Articulation Agreement between
The University of Western Ontario and Brescia University College's
Bachelor of Science (Foods and Nutrition), Honours Specialization in Nutrition and Dietetics, Honours
Specialization in Foods and Nutrition or Specialization in Foods in Nutrition
and
Fanshawe College (Food and Nutrition Management diploma),
May 2021

Western/Brescia Course	Western/Brescia Credit Weight	Fanshawe Course	Fanshawe Course Title	Fanshawe Credit Weight
Foods and Nutrition 1070A/B	0.5	NUTR-1011	The Science of Food & Nutrition	3.0
		NUTR-1012	Physiology & Normal Nutrition	2.0
		NUTR-1018	Nutrition - Intro	2.0
Foods and Nutrition 2249A/B	0.5	ACCT-1004	Principles of Accounting I	4.0
		HOSP-1013	Employee Relations	3.0
		FINA-3038	Finance for Food & Nutrition Management	3.0
		MGMT-3041	Marketing Nutrition	3.0
Writing 1020F/G	0.5	WRIT-1042	Reason & Writing I – Tourism & Hospitality	3.0
Foods and Nutrition 2100TRN	0.5	FMGM-1104	Basic Culinary Knowledge	3.0
Foods and Nutrition 2100TRN	1.0	NUTR-3004	Clinical Placement	4.8
		NUTR-1013	Clinical Documentation	2.0
		NUTR-1014	Therapeutic Nutrition	2.0
Foods and Nutrition 2130	1.0	FDMG-1113	Food Preparation 1	4.0
		FDMG-3043	Food Preparation 2	4.0
Foods and Nutrition 3348A/B and Foods and Nutrition 2100TRN	0.5 and 0.5	FDMG-5018	Auditing & Compliance	3.0
		FDMG-1064	Purchasing & Menu Planning	2.0
		SFTY-1067	Food Safety, Smart Serve, First Aid and WSA online	1.0
		FDMG-1060	Institutional Facility Design	3.0
Foods and Nutrition 3400A/B	0.5	NUTR-3006	Nutrition Screening	3.0
		ANTH-1002	The Anthropology of Modern Gastronomy	3.0

Total: 5.5 credits

APPENDIX 2A

Articulation Agreement between
The University of Western Ontario and Brescia University College's
Bachelor of Science (Foods and Nutrition), Honours Specialization in Nutrition and Dietetics,
and
Fanshawe College (Food and Nutrition Management diploma),
May 2021

Course Requirements for Degree Completion Brescia Bachelor of Science (Foods and Nutrition) Honours Degree Program		
<u>Honours Specialization in Nutrition and Dietetics</u>		
To graduate from the BSc Honours Specialization in Nutrition and Dietetics degree program at Brescia, students admitted under this articulation agreement must successfully complete the 14.0 courses listed below. Brescia will provide Fanshawe with written notice of any changes to these course requirements. A final average of 75%, with no grade less than 60% must be achieved to graduate from the BSc (F&N) degree program.		
Credit Weight	Brescia/Western Course Number	Brescia/Western Course Name
Year 2 Requirements (Fall/Winter Term)		
0.5	Chemistry 1301A/B	Discovering Chemical Structure
0.5	Chemistry 1302A/B	Discovering Chemical Energetics
0.5	Biology 1290B	Biology and Microorganisms
1.0	Physiology 1021	Introduction to Human Physiology
0.5	Human Ecology 2222A/B	Professional Perspectives
0.5	Foods and Nutrition 1241 A/B	Lifecycle Nutrition
0.5	Foods and Nutrition 2266F/G	Nutrition Education and Communication
0.5	Foods and Nutrition 3355A/B	Agriculture and Food Systems: Critical Conversations
0.5	Elective	Breadth Requirement: Category "B" Arts and Humanities, or Languages
Year 3 Requirements (Fall/Winter Term)		
0.5	Biochemistry 2288A	Biochemistry and Molecular Biology for Foods and Nutrition
0.5	Chemistry 2003A/B	Organic and Biological Chemistry for Food Science
0.5	Foods and Nutrition 2230A/B	Integrated Human Nutrition
1.0	Foods and Nutrition 2232	Principles of Food Science
0.5	Foods and Nutrition 3344A/B	Diet and Nutritional Assessment
0.5	Foods and Nutrition 3351A/B	Clinical Nutrition I
0.5	Foods and Nutrition 3361A/B	Fundamentals of Community Nutrition
1.0	Elective	(Consider choosing essay designated course to fulfill essay course requirements for graduation)
Year 4 Requirements (Fall/Winter Term – only 4.0 credits required for final year)		
0.5	Foods and Nutrition 3342A/B	Advanced Food Science
1.0	Foods and Nutrition 3390W/X	Research Methods and Statistics for Food and Nutrition
0.5	Foods and Nutrition 4429A/B	Advanced Management for Foods and Nutrition
0.5	Foods and Nutrition 4453A/B	Clinical Nutrition II
0.5	Foods and Nutrition 4460A/B	Nutrition Counselling
0.5	Foods and Nutrition 4471A/B	Nutrition and Metabolic Processes
0.5	Elective	

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APPENDIX 2B

Articulation Agreement between
The University of Western Ontario and Brescia University College's
Bachelor of Science (Foods and Nutrition), Honours Specialization in Foods and Nutrition,
and
Fanshawe College (Food and Nutrition Management diploma),
May 2021

Course Requirements for Degree Completion Brescia Bachelor of Science (Foods and Nutrition) Honours Degree Program		
<u>Honours Specialization in Foods and Nutrition</u>		
To graduate from the BSc Honours Specialization in Foods and Nutrition degree program at Brescia, students admitted under this articulation agreement must successfully complete the 14.0 credits listed below. Brescia will provide Fanshawe with written notice of any changes to these course requirements. A final average of 75%, with no grade less than 60% must be achieved to graduate from the BSc (F&N) degree program.		
Credit Weight	Brescia/Western Course Number	Brescia/Western Course Name
Year 2 Requirements (Fall/Winter Term)		
0.5	Chemistry 1301A/B	Discovering Chemical Structure
0.5	Chemistry 1302A/B	Discovering Chemical Energetics
0.5	Biology 1290B	Biology and Microorganisms
1.0	Physiology 1021	Introduction to Human Physiology
0.5	Human Ecology 2222A/B	Professional Perspectives
0.5	Foods and Nutrition 1241 A/B	Lifecycle Nutrition
0.5	Foods and Nutrition 2266F/G	Nutrition Education and Communication
1.0	Elective	Breadth Requirement: Category "B" Arts and Humanities, or Languages
Year 3 Requirements (Fall/Winter Term)		
0.5	Biochemistry 2288A	Biochemistry and Molecular Biology for Foods and Nutrition
0.5	Chemistry 2003A/B	Organic and Biological Chemistry for Food Science
0.5	Foods and Nutrition 2230A/B	Integrated Human Nutrition
1.0	Foods and Nutrition 2232	Principles of Food Science
0.5	Foods and Nutrition 3361A/B	Fundamentals of Community Nutrition
2.0	Electives	(Consider choosing essay designated course to fulfill essay course requirements for graduation)
Year 4 Requirements (Fall/Winter Term – only 4.0 credits required for final year)		
0.5	Foods and Nutrition 3342A/B	Advanced Food Science
1.0	Foods and Nutrition 3390W/X	Research Methods and Statistics for Food and Nutrition
0.5	Foods and Nutrition 3380A/B, or	Policy Development and Advocacy
2.0	Food and Nutrition or Human Ecology 3000 or 4000 level	

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APPENDIX 2C

Articulation Agreement between
The University of Western Ontario and Brescia University College's
Bachelor of Science (Foods and Nutrition), Specialization in Foods and Nutrition,
and
Fanshawe College (Food and Nutrition Management diploma),
May 2021

Course Requirements for Degree Completion Brescia Bachelor of Science (Foods and Nutrition) Honours Degree Program		
<u>Specialization in Foods and Nutrition</u>		
To graduate from the BSc Honours Specialization in Nutrition and Dietetics degree program at Brescia, students admitted under this articulation agreement must successfully complete the 14.0 courses listed below. Brescia will provide Fanshawe with written notice of any changes to these course requirements. A final average of 75%, with no grade less than 60% must be achieved to graduate from the BSc (F&N) degree program.		
Credit Weight	Brescia/Western Course Number	Brescia/Western Course Name
Year 2 Requirements (Fall/Winter Term)		
0.5	Chemistry 1301A/B	Discovering Chemical Structure
0.5	Chemistry 1302A/B	Discovering Chemical Energetics
0.5	Biology 1290B	Biology and Microorganisms
1.0	Physiology 1021	Introduction to Human Physiology
0.5	Human Ecology 2222A/B	Professional Perspectives
0.5	Foods and Nutrition 1241 A/B	Lifecycle Nutrition
0.5	Foods and Nutrition 2266F/G	Nutrition Education and Communication
1.0	Elective	Breadth Requirement: Category "B" Arts and Humanities, or Languages
Year 3 Requirements (Fall/Winter Term)		
0.5	Biochemistry 2288A	Biochemistry and Molecular Biology for Foods and Nutrition
0.5	Chemistry 2003A/B	Organic and Biological Chemistry for Food Science
0.5	Foods and Nutrition 2230A/B	Integrated Human Nutrition
1.0	Foods and Nutrition 2232	Principles of Food Science
1.0	Foods and Nutrition or Human Ecology at the 3000 or 4000-level	
1.5	Electives	(Consider choosing essay designated course to fulfill essay course requirements for graduation)
Year 4 Requirements (Fall/Winter Term – only 4.0 credits required for final year)		
0.5	Foods and Nutrition 3342A/B	Advanced Food Science
3.5	Foods and Nutrition or Human Ecology at the 3000 or 4000-level	

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ITEM 6.0 - Items Removed from the Consent Agenda

ACTION REQUIRED: FOR APPROVAL FOR INFORMATION

EXECUTIVE SUMMARY:

This is a placeholder for any items removed from consent.