SENATE AGENDA

1:30 p.m., Friday, February 12, 2016
University Community Centre*, Room 56*

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1. **Minutes of the Meeting of January 22, 2016**

2. Business Arising from the Minutes

3. Report of the President (A. Chakma)

4. Reports of Committees:

   Operations/Agenda - **EXHIBIT I** (M. Milde)
   Academic Policy and Awards - **EXHIBIT II** (S. Macfie)
   University Planning - **EXHIBIT III** (B. Younker)
   University Research Board - **EXHIBIT IV** (J. Capone)

5. Discussion and Enquiry Period

6. Enquiries and New Business

7. Adjournment

Senate meetings are scheduled to begin at 1:30 p.m. and normally will end by 4:30 p.m. unless extended by a majority vote of those present.

SUMMARY OF AGENDA ITEMS: February 12, 2016

APPROVAL OF MINUTES

REPORT OF THE PRESIDENT

OPERATIONS/AGENDA COMMITTEE
FOR ACTION
Senate Membership: Faculty of Social Science
Senate Nominating Committee – Alternate Member

SENATE COMMITTEE ON ACADEMIC POLICY AND AWARDS (SCAPA)
FOR ACTION
Faculty of Arts and Humanities, Department of Women's Studies and Feminist Research: Renaming of Minors and Revisions to Module Requirements
School of Graduate and Postdoctoral Studies: Dual-Credential Ph.D. Degree Agreement between The Universidade Federal do Rio de Janeiro, Brazil and The University of Western Ontario
Policy Revisions:
a) Medical Illness Accommodation – Undergraduate Students
b) Evaluation of Academic Performance

FOR INFORMATION
New Scholarships and Awards

SENATE COMMITTEE ON UNIVERSITY PLANNING (SCUP)
FOR ACTION
Beryl Ivey Chair in One Health – Renaming
Neil McKenzie Chair in Cardiac Care
2016 Entrance Standards for Undergraduate First-Year Admissions
Five-Year Enrolment Projections

FOR INFORMATION
Report on Year One Class Entering Averages
Report from the Provost's Task Force on University Budget Models
Report of the Graduate Funding Subcommittee of the Provost's Task Force on Budget Models
Performance Indicators Report
Provost's Update on Planning Process
Policies and Processes for Naming

UNIVERSITY RESEARCH BOARD (URB)
FOR INFORMATION
Interim Report of the URB Task Force Steering Committee – Support for SSAH Research at Western University

MINUTES OF THE MEETING OF SENATE

January 22, 2016

The meeting was held at 1:30 p.m. in Room 56, University Community Centre.

SENATORS: 78

E. Addison
L. Allaer
N. Bhatia
I. Birrell
M. Blagrave
J. Boland
J. Capone
T. Carmichael
A. Chakma
C. Chambers
K. Clark
R. Collins
D. Coward
M. Crossan
J. Cuciurean
K. Danylchuk
J. Deakin
C. Dean
G. Dekaban
I. Diaz
N. Dyer-Witheford
A. Engineer
J. Garland
A. Grzyb
D. Hooper
B. Hovius
Y. Huang
T. Hunt
G. Hunter
L. Jackson
C. Jones
R. Kennedy
J. Knowles
G. Kopp
A. Kothari
G. Kulczycki
R. Kurji
D. Laird
B. Leipert
G. Lucas
S. Macfie
J. Malkin
S. McClatchie
M. McDayter
L. McKivor
K. Mequanint
R. Mercer
M. Milde
J. Millaire
J. Mitchell
K. Moser
D. Murdoch
C. Nolan
K. Olson
H. Orbach-Miller
P. Pare
W. Pearson
C. Phelps
S. Rodger
S. Roland
L. Rosen
M. Salvadori
I. Scott
Z. Sinel
R. Soulodré-La France
V. Staroverov
C. Steeves
M. Strong
L. Sunseri
A. Sussman
D. Sylvester
S. Taylor
M. Thomson
G. Tigert
J. Toswell
T. Townshend
Z. Turner
N. Wolfe

Observers: A. Bigelow, K. Campbell, E. Chamberlain, R. Chelladurai, M. Fox, L. Gribbon, T. Hinan, J. Luker, J. McMullin, C. Waugh, A. Weedon

By Invitation: J. Grieve, D. Peterson, B. Skarakis-Doyle

S.16-01 **MINUTES OF THE PREVIOUS MEETING**

The minutes of the meeting of December 4, 2015 were approved as circulated.

BUSINESS ARISING FROM THE MINUTES

S.16-02 **Transmittal of Reports from SCUP to Senate** [S.15-234]

R. Chelladurai confirmed that the Performance Indicators Report will be presented to the Senate Committee on University Planning (SCUP) at its meeting on February 1 and then to Senate at the February 12 meeting.

S.16-03 **Western's New Email Service – Office365** [S.15-236]

At the December 4, 2015 Senate meeting, Senator Olson asked why Western was changing its email service to Office365, noting concerns about the security of the data on a US-based server. J. Grieve, Executive Director, Information Technology Services (ITS), explained that Western had to move to a new email system because Convergence is outdated and will no longer be supported by Oracle. In fact, the instability of Convergence, particularly with respect to the calendar function, had prompted many faculty and staff to move their email to other platforms, including Microsoft and Google. Microsoft and Google are the two largest providers and many universities have already moved to Office365 as it offers a number of advantages, including the ability to offer free Microsoft software to students, faculty and staff.

He explained that last year students and support units were migrated to Office365. Feedback has been very positive and now the plan is to move forward with migrating the faculties to Office365. He noted that UWOFA has expressed privacy and security concerns about the US-based servers and was provided with a copy of the Microsoft contract and the privacy impact assessment prepared by the university's Privacy Officer and Legal Counsel. J. Grieve pointed out that Microsoft plans to open Canadian data centres to house emails in the second quarter of 2016. Western will request that its email be housed in Canada. However, it is not known when that request might be met. To assuage individual faculty members' concerns, ITS is prepared to allow them to opt to stay with the current system until the Canadian servers are available. This would be a one-time option, and those who stayed with Convergence would need to understand that there could be some issues with respect to calendars and other shared features.

Asked if it were true that after three years data becomes public under the US privacy laws, J. Grieve said he would need to seek clarification from legal counsel. In response to a question about US government access to Canadian data, J. Grieve said it was his understanding that having the email housed in Canada would provide some protection under Canadian access to information laws.

S.16-04 **REPORT OF THE PRESIDENT**

The President reported on the following: funding formula review, funding for capital projects through the new infrastructure fund, an update on London's rapid transit proposal, and a recent meeting between the senior administration and USC leadership.

REPORT OF THE OPERATIONS/AGENDA COMMITTEE [Exhibit I]

S.16-05 **Senate Membership: Faculty of Social Science Constituency**

M. Milde advised that the recommendation regarding the appointment of an alternate Senator for M. Rothstein is deferred to the February Senate meeting.

It was moved by M. Milde, seconded by R. Kennedy

> That Margaret McGlynn, representative of the Faculty of Social Science constituency, be granted a leave of absence while on sabbatical and that Keith Fleming be elected to serve as her alternate on Senate from January 1 – June 30, 2016.
>
> CARRIED

S.16-06 **Senate Membership: Undergraduate Students – At Large Constituency**

It was moved by M. Milde, seconded by H. Orbach-Miller,

> That Jared Boland be elected to replace Michelle Bonofiglio, who has resigned, as a representative of the Undergraduate Students – At Large Constituency (term to June 30, 2016).
>
> CARRIED

S.16-07 **Senate Nominating Committee - Membership**

L. Rosen was elected to the Senate Nominating Committee to complete the term of T. McMurrough who has resigned (Term: June 30, 2016).

S.16-08 **Revision to Faculty of Arts and Humanities Constitution**

It was moved by M. Milde, seconded by M. McDayter,

> That subject to Senate and Board approval of the name change for the Department of Visual Arts, the Constitution of the Faculty of Arts and Humanities be amended to reflect the new name: Department of Art History and Studio Art.
>
> CARRIED

M. Milde advised that for branding purposes, the Department of Art History and Studio Art would use a "+" sign rather than "and" in its name.

S.16-09 **Revisions to the Faculty of Engineering Constitution**

It was moved by M. Milde, seconded by K. Mequanint,

> That the Faculty of Engineering Constitution be revised as shown in Exhibit I, Appendix 1.
>
> CARRIED

S.16-10 **Order of Ceremony – Spring Convocation – June 2016**

Senate received for information the Order of Ceremony for Spring Convocation scheduled during the weeks of June 14 – 17 and June 20 - 22. The morning of Friday, June 17 would normally be reserved for the Faculty of Education ceremony. With the change to a two-year B.Ed. program, there will be very few graduates from that Faculty this June. Rather than revise the whole schedule for a one-time occurrence, it was determined that there would not be a ceremony on Friday morning and that the few degree candidates from the Faculty of Education would graduate at the same ceremony as those from the Faculty of Information and Media Studies.

S.16-11 **Notice of Motion – Proposal to Establish Four Pro-Chancellor Positions**

Senator Toswell presented the following Notice of Motion at the September Senate meeting

> That Western, following due procedures as established by Senate, approve in principle the appointment of four pro-chancellors with staggered terms to serve as Chancellor when the Chancellor is unavailable for convocation.

Senate agreed that input should be sought from the Director of Convocation and the Convocation Planning Committee. The feedback is contained in Exhibit I, item 7. In light of the advice from the Convocation Planning Committee, the Operations/Agenda Committee determined that it would not put the motion on Senate's agenda for debate.

Senator Toswell stated that she had hoped for a discussion among Senators about the issues she presented in the background of her motion and had hoped for a broader view from the Convocation Planning Committee. Western needs to establish a public image of diversity: Since 1878 Western has had 22 Chancellors with 20 being male, all of whom since 1971 (John Robarts) have been from the world of business.

REPORT OF THE NOMINATING COMMITTEE [Exhibit II]

S.16-12 **Associate Vice-President (Research) Selection Committee**

The following were elected to serve on the selection Committee for the Associate Vice-President (Research): H. Berman (HS), I. Johnsrude (SS), D. Laird (MD), M. Knott (Graduate Student).

S.16-13 **Senate ad hoc Committee on Renewal**

A. Engineer (MD/Graduate Student Senator) was elected to the Senate ad hoc Committee on Renewal to replace T. McMurrough who has resigned.

S.16-14 **Senate Review Board Academic**

K. Metersky was elected to the Senate Review Board Academic to replace T. McMurrough who has resigned (term to June 30, 2016).

S.16-15 **Senate Committee on Academic Policy and Awards**

R. Moll (AH) was elected to complete the term of J. Emberley who has resigned (term January 1 - June 30, 2016).

S.16-16 **Senate Operations/Agenda Committee**

V. Staroverov (Sci) was elected to the Senate Operations/Agenda Committee to serve as an alternate for M. McGlynn who is on leave (term January 1 - June 30, 2016).

SENATE COMMITTEE ON ACADEMIC POLICY AND AWARDS [Exhibit III]

S.16-17 **Faculty of Engineering: Introduction of and Revisions to Admission Requirements**

S.16-17a **Introduction of Admission Requirements in Engineering Programs**

It was moved by S. Macfie, seconded by K. Mequanint,

> That effective January 1, 2016, criteria for admission to the Chemical Engineering, Civil Engineering, Integrated Engineering and Mechanical Engineering Programs be introduced as shown in Exhibit III, Appendix 1.
>
> CARRIED

S.16-17b **Revisions to the Admission Requirements in Engineering Programs**

It was moved by S. Macfie, seconded by K. Mequanint,

> That effective January 1, 2016, criteria for admission to the Green Process Engineering, Mechatronic Systems Engineering, Electrical Engineering, Computer Engineering and Software Engineering Programs be revised as shown in Exhibit III, Appendix 2.
>
> CARRIED

S.16-18 **Faculty of Engineering: Withdrawal of the WE GO Global Certificate**

It was moved by S. Macfie, seconded by K. Mequanint,

That effective September 1, 2016, the WE GO Global Certificate be withdrawn and admissions into the certificate be discontinued.

CARRIED

S.16-19 **Faculty of Law: Changes to the Admission Requirements of the JD program**

Prior to presenting the recommendation, the Chair of SCAPA announced the following editorial amendments (shown in bold *italics*/strikeout) to the first paragraph of the revised calendar copy contained Exhibit III, Appendix 3:

A. First Year
There are two categories for admission into first year, General and Discretionary. The Admission Committee – comprising ~~**Associate Dean (Academic)**~~, the Assistant Deans, faculty members and third year law students will decide how many offers to make in each category. ***In no case will the number of students admitted in the Discretionary category exceed 25% of the class.***

It was moved by S. Macfie, seconded by I. Scott,

That effective September 1, 2016, the Admission Requirements for the JD program be amended as shown in Exhibit III, Appendix 3, as amended.

Senator Collins said that there are a number of Western Alumni who seek law degrees outside Canada and asked if this change means that they will not be able to attend Western to obtain their Canadian licensing. Dean Scott confirm this point noting that Western gets very few in this category and that most attend Osgoode Hall Law School. With respect to a question about internationalization, he noted that Western Law does take international students into its law program.

The question was called and CARRIED.

S.16-20 **Schulich School of Medicine & Dentistry: Revisions to the Admission and Progression Requirements of the MD, DDS and ITD Programs**

S.16-20a **Revisions to the Admission Requirements of the MD Program**

It was moved by S. Macfie, seconded by M. Strong,

That effective September 1, 2016, the Admission Requirements for the MD program be amended as shown in Exhibit III, Appendix 4.

CARRIED

S.16-20b **Revisions to the Admission Requirements of the DDS and ITD Programs**

It was moved by S. Macfie, seconded by M. Strong,

That effective September 1, 2016, the Admission Requirements for the DDS and ITD programs be amended as shown in Exhibit III, Appendix 5.

CARRIED

S.16-20c **Revisions to the Progression Requirements of the DDS and ITD Programs**

It was moved by S. Macfie, seconded by M. Strong,

That effective September 1, 2016, the Progression Requirements for the DDS and ITD programs be amended as shown in Exhibit III, Appendix 6.

CARRIED

S.16-21 **School of Graduate and Postdoctoral Studies: Introduction of a New Collaborative Graduate Program in Global Health Systems in Africa (GHS-A)**

It was moved by S. Macfie, seconded by C. Dean,

That effective May 1, 2016, and contingent upon the Quality Council's approval, a Collaborative Graduate Program in Global Health Systems in Africa (GHS-A) be introduced in the School of Graduate and Postdoctoral Studies as set out in Exhibit III, Appendix 7.

CARRIED

S.16-22 **Huron University College, French Studies: Withdrawal of Modules**

It was moved by S. Macfie, seconded by S. McClatchie,

That effective September 1, 2016 the following French Modules be withdrawn:

Honors Specialization in French Linguistics and Literature
Honors Specialization in French Language and Linguistics
Major in French Language and Linguistics
Minor in French and Francophone Literature

and

That students currently enrolled in the modules be allowed to graduate until September 1, 2019 upon fulfillment of the existing requirements.

CARRIED

A member stressed the importance of consultation among programs, and especially with interdisciplinary programs, when modules are being withdrawn or amended significantly. As the affiliated university colleges and the main campus departments downsize programs in various liberal arts fields, good consultation will ensure that an individual program is not left without a required course.

S.16-23 **Huron University College: Revisions to the Admission and Program Requirements for History Modules**

It was moved by S. Macfie, seconded by S. McClatchie,

That effective September 1, 2016, the admission and program requirements for the Major, Specialization, Honors Specialization and Minor in History at Huron University College be revised as shown in Exhibit III, Appendix 8.

CARRIED

Secretarial Note: An editorial amendment was made to the proposal after Senate approval to remove the words "two of" from the module requirements and correct the mathematical discrepancy created by these words."

S.16-24 **King's University College: Revisions to the Admission Requirements of History Modules**

It was moved by S. Macfie, seconded by R. Soulodré-La France,

> That effective September 1, 2016, the admission requirements for the Honors Specialization, Major and Minor in History at King's University College be revised as shown in Exhibit III, Appendix 9.
>
> CARRIED

S.16-25 **King's University College: Introduction of a Major in Disability Studies**

It was moved by S. Macfie, seconded by R. Soulodré-La France,

> That effective September 1, 2016, and contingent upon Quality Council's approval, a Major in Disability Studies be introduced at King's University College, as shown in Exhibit III, Appendix 10.
>
> CARRIED

S.16-26 **Articulation Agreement for Admission from the Fanshawe College Computer Programmer Analyst program into third year of Western's Bachelor of Science in Computer Science Program**

It was moved by S. Macfie, seconded by C. Dean,

> That Senate approve the renewal of the Articulation Agreement regarding transfer credit for graduates of the Fanshawe College Computer Programmer Analyst program for admission into third year of Western's Bachelor of Science Computer Science program, effective January 1, 2016 as set out in Exhibit III, Appendix 12.
>
> CARRIED

S.16-27 **Articulation Agreement for Admission of Graduates of Lambton College's Two-Year (Accelerated) Liberal Studies Diploma to Huron University College's Faculty of Arts and Social Science**

It was moved by S. Macfie, seconded by C.L. Chambers,

> That Senate approve and recommend to the Board of Governors through the President & Vice-Chancellor, that effective February 1, 2016, graduates from Lambton College's Two-Year (Accelerated) Liberal Studies Diploma be admitted to Huron University College's Faculty of Arts and Social Science with block transfer credits, as shown in the Articulation Agreement set out as Exhibit III, Appendix 13.
>
> CARRIED

S.16-28 **New Scholarships and Awards**

SCAPA approved on behalf of the Senate, the Terms of Reference for the new scholarships and awards shown in Exhibit III, Appendix 14 for recommendation to the Board of Governors through the Vice-Chancellor.

REPORT OF THE SENATE COMMITTEE ON UNIVERSITY PLANNING [Exhibit IV]

S.16-29 **Name Change – Department of Visual Arts to Department of Art History and Studio Art**

It was moved by M. Milde, seconded by M. McDayter,

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

CARRIED

S.16-30 **Report on Faculty Recruitment and Retention**

Senate received for information the Report on Faculty Recruitment and Retention, detailed in Exhibit IV, Appendix 1. Dr. A. Weedon highlighted slides focused on the number of women being hired into professorial roles, their time to tenure from completion of degree and from point of hiring, and their progress through the ranks. He spent considerable time reviewing the data on the employment of part-time faculty, noting that the use of part-time faculty on university campuses has been a matter of debate across North America. The narrative has been that the number of part-time faculty has been on the rise, that this cohort is in a precarious employment position because of the attempt to put together several jobs to make a full-time occupation and income and because of the uncertainty as to whether contracts would be renewed from one year to the next, and that increasing numbers of students and courses are being taught by part-time faculty rather than by tenured professors. Dr. Weedon remarked that the data provided in his presentation showed that, at Western, this narrative does not hold true and he noted the following:

- The number of part-time faculty has remained flat over time.
- There is also no significant change in either the number of courses or number of students being taught by part-time faculty.
- Most part-time faculty at Western hold the rank of Lecturer or Assistant Professor, with the distinction being that the latter must have a doctorate.
- 70 percent of part-time instructors at Western would not be eligible to make the transition to a probationary/tenured positon because of the lack of a doctoral degree.
- A significant proportion of part-time instructors at Western are either graduate students or, in the professional faculties, professionals in full-time occupations who teach a course at Western.
- Most part-time faculty at Western do not teach for more than a year or two and are not teaching more than one course. The small proportion who have been teaching for many years and who also carry heavier teaching loads are concentrated in Social Sciences and Arts and Humanities.
- Over the past 15 years the number of courses and the number of students taught by part-time faculty and by probationary and tenured faculty has not changed significantly. Growth in the number of probationary and tenured Faculty has coincided with the growth in the doctoral student cohort and represents an increase in supervisory and research capacity. Growth in undergraduate student enrolment has been accommodated by an increase in the number of limited-term full-time faculty. The growth in the number of limited-term faculty is partly attributable to agreements with UWOFA that see long-term part-time positions converted to full-time Limited-Term appointments.

A member noted that the indicators presented showed a steady state for part-time faculty numbers over 10 years but asked what occurred in the preceding years. Dr. Weedon said that there was no good data prior to 2000 because, prior to that time, part-time faculty were hired locally by departments and data was not captured centrally. However, most of the big growth in enrolment has been in the last 15 years and so it is unlikely part-time faculty numbers would have been increasing prior to that time. He agreed that there is variance in the dependence on part-time faculty across the Faculties and within faculties at different times. For example, when new programs are offered, Faculties may initially rely on part-time faculty until there is enough

confidence in the program's success to hire tenured faculty.

With respect to part-time faculty holding full-time jobs elsewhere, a member asked how that was determined. Dr. Weedon responded that, some years ago, there had been a survey conducted across departments that provided some data. He was also extrapolating from the fact that most part-time faculty are employed by the Faculties hosting professional programs – full-time employed nurses, physical and occupational therapists, business experts, lawyers, librarians, etc. – who offer professional courses and teach applied skills. He agreed that an audit of part-time faculty in Social Science and Arts & Humanities might show different results.

Turning to the slides that showed retirement rates, a member asked whether the administration should consider offering a retirement incentive program to those who continued to work beyond age 65. Dr. Weedon acknowledged that when the government eliminated mandatory retirement, there had been concern that this would make it difficult to renew the professoriate and that concern had become reality. The ability to increase the number of women hires has also been inhibited. Retirement incentives are and have been made available, but they have to be balanced against the fact that many of those who continue teaching and researching beyond age 65 are thriving and doing excellent work. A member remarked that the other issue to bear in mind was whether the university should reconsider the number of PhD candidates it was admitting given the restrictive job market. Dr. Weedon pointed out that the job prospects for doctoral graduates were very different from discipline to discipline. In chemistry, for example, most graduates were hired by industry and the public sector and an academic job was not the only employment outcome. In any event, one of the questions looked at by SGPS when considering graduate programs' plans for growth was the job prospects for graduates.

S.16-31 **Western Libraries – Annual Report**

Senate received for information the Western Libraries Annual Report, detailed in Exhibit IV, Appendix 2. C. Steeves highlighted her presentation with overhead slides contained in **Appendix 1** to these minutes.

A member asked how cuts in acquisitions are made across disciplines noting that monographs tend to be used more in Arts and Humanities and Social Science. C. Steeves said that the librarians look at the usages to help determine where to cut. The reduction in the use of monographs predated the fall of the Canadian dollar. She noted there has been an increase in the purchase of e-books.

A member asked if Western is losing its journal archive given the reduction in electronic journals. C. Steeves said that many agreements allow Western to retain access to archives back to the point at which Western purchased the journal even after the subscription ends. Western is a member of Portico, which is also provides access to past issues.

Asked about the availability of study areas in the libraries during high use time, C. Steeves said that the Libraries are open 24 hours during high use times, such as examination periods. The Libraries website was being revised to better describe the services available, including study spaces located across the system. This project will be undertaken with the help of IBP and Classroom Management to allow students to find additional study space. J. Deakin noted that Western's space planning principles include the provision of gathering/study space in new and renovated buildings.

S.16-32 **Gift Acceptance Policy** [S.15-215]

In response to a question about SCUP's review of the gift acceptance and naming processes, the Secretary said that there had been a preliminary discussion at the January meeting with the intent that the issue be discussed again at SCUP's February 1 meeting.

S.16-33 **City Rapid Transit Updates**

J. Deakin reported that going forward, Senate will receive updates on significant developments regarding the Rapid Transit initiative.

S.16-34 **Senate ad hoc Committee on Renewal – Interim Report** [Exhibit V]

B. Skarakis-Doyle, Chair of the Senate ad hoc Committee on Renewal, provided an overview of the Committee's interim report detailed in Exhibit V. She asked Senators and their colleagues to continue to submit advice and input as the Committee continues its work on formulating recommendations that will result in more transparent, stronger governance. She noted that, regardless of the situation in the spring that had motivated the establishment of the ad hoc committee, it has been 20 years since governance was reviewed at Western – more than past time.

Some Senators were concerned about the legitimacy of inferences drawn in the report given the small numbers who submitted comments or participated in public consultations. B. Skarakis-Doyle agreed that while breadth of consultation had been achieved, depth was another matter. The report did summarize what the committee had heard from those who had responded. She added that the lines of communication remained open. She hoped that the interim report would spur people to become more engaged with the process. She encouraged Senators to discuss the report with their colleagues to facilitate feedback. Senator M. McDayter, a member of the ad hoc Committee, said that the Committee's approach going forward would be to ask direct questions based on the themes contained in the interim report in order to be more effective in eliciting responses.

Suggestions were offered as to how the ad hoc Committee could move forward with its mandate and engage larger numbers of community members including attending Faculty Council or departmental meetings and creating a survey or questionnaire that delved deeper into issues and could be distributed widely to the campus community.

S.16-35 **REPORT OF THE ACADEMIC COLLEAGUE** [Exhibit VI]

The report of the Academic Colleague, detailed in Exhibit VI, was received for information. Topics discussed included: MTCU Funding Review Report, Net Tuition, Sexual Violence and Harassment Action Plan Act, 2015, Graduate Programs Outcomes Survey, and Indigenous Studies.

S.16-36 **ANNOUNCEMENTS AND COMMUNICATIONS** [Exhibit VII]

Announcements regarding academic administrative posts, detailed in Exhibit VII, were received for information.

DISCUSSION AND QUESTION PERIOD

S.16-37 **Universities Canada – Five Commitments**

Senator Olson referenced an article contained last fall in the Globe & Mail about Universities Canada's five commitments, which, according to the article, focused on the need to "give students closer links to industry and to increase collaborations with the private sector." She asked for a comment from the administration and Senators as to whether or not they agree that students are best served when the arts and humanities are integrated with sciences or business. What role ought such disciplines to play in the new university with its increase in private-sector /corporate partnerships? What steps will Western take to support the continued excellence in teaching and research of the arts and humanities at this university in the face of this apparent relegation of these disciplines to 'support status' in a document to which Western is a signatory?

Dr. Chakma stated that the premise of the Senator Olson's question was based on an incomplete and inadequate report in the Globe & Mail. The Universities Canada news release contained the following five commitments:

- To equip all students with the skills and knowledge they need to flourish in work and life, empowering them to contribute to Canada's economic, social and intellectual success.

- To pursue excellence in all aspects of learning, discovery and community engagement.
- To deliver a broad range of enriched learning experiences.
- To put our best minds to the most pressing problems – whether global, national, regional or local.
- To help build a stronger Canada through collaboration and partnerships with the private sector, communities, government and other educational institutions in Canada and around the world.

[The full text of announcement can be found here: http://www.univcan.ca/media-room/media-releases/canadas-universities-announce-commitments-to-canadians/]

In his view, there was nothing in those five commitments that would diminish the importance of arts and humanities teaching and scholarship. He said that the immediate pressure facing the arts and humanities across Canada and North America is falling enrolment. Western's leadership team is committed to all the faculties and has shown that through the language used in the Strategic Mandate Agreement (SMA): *"Western is a comprehensive, research-intensive university, with a full spectrum of undergraduate and graduate programs. Western's interdisciplinary research strengths are in the areas of: Imaging; Materials and Biomaterials; Philosophy of Science; Bone and Joint; Sustainability and Harsh Environments; Neuroscience/Brain and Mind; Big Data; Management; and Finance.*"

ADJOURNMENT

The meeting adjourned at 4:08 p.m.

A. Chakma
Chair

I. Birrell
Secretary

Western
UNIVERSITY · CANADA

Annual Report to Senate

January 2016

Catherine Steeves
Vice-Provost & Chief Librarian

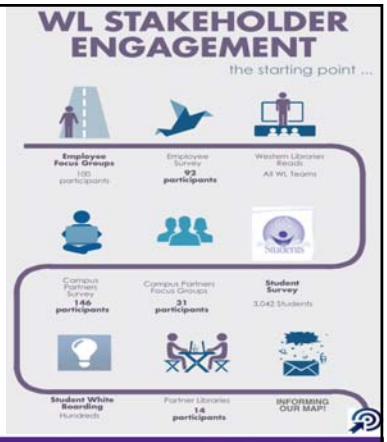
Western Libraries

Key Initiatives and Select Activities 2014/15 - 2015/16

- New Strategic Plan
- Workforce Analysis and Planning Initiative
- Facilities Improvements & Libraries Master Space Plan
- Acquisitions Cost Reduction Strategy
- Teaching and Learning
- Research

FUTURE LIBRARY IN PROGRESS
FLIP

Strategic Plan Development

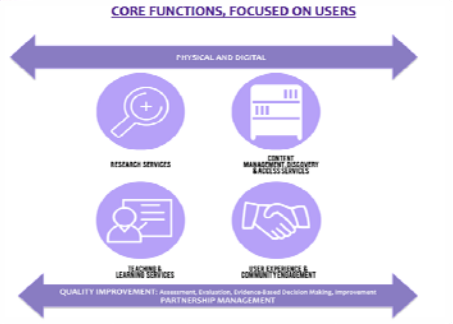


Strategic Plan 2015 - 2020

- Manage world-class print and digital collections
- Advance 21st century literacies
- Partner in and support research to advance research excellence
- Champion open access and transform scholarly communication
- Cultivate purposeful partnerships on campus and beyond
- Provide user-centred spaces and technologies
- Actively engage with our communities
- Deliver service excellence and the best user experience

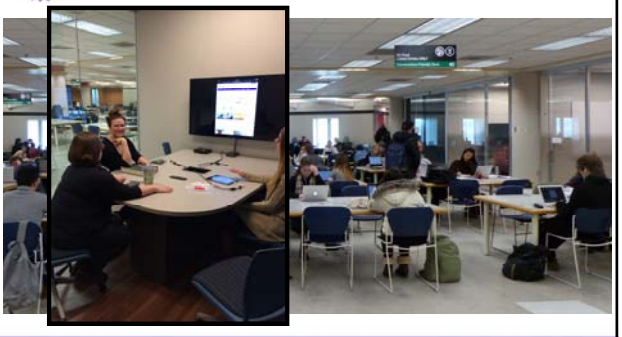
http://www.lib.uwo.ca/files/aboutwl/strategicplan.pdf

Workforce Analysis



Facilities Improvements & Space

Facilities Improvements & Space



Facilities Improvements & Space

Acquisitions Cost Reductions

Declining value of $CND
\+ Increasing prices
= Reduced purchasing power and projected deficit

Short-term and long-term cost reductions through acquisitions and serials review and cancellations.

See: Western Libraries News items Sept. 29, Dec. 18
Contact: csteeves@uwo, hrykse@uwo, your subject librarian

Teaching and Learning

Instruction & E-Learning

- Information literacy and research skills instruction
- Online research guides
- Learning modules
- Collaboration with faculty on curriculum integration and learning outcomes

Student Success

- Collaborative and independent study spaces
- Access to scholarly information resources and information technologies
- Research help services, in-person and online or chat

Research

- Statistical and geo-spatial data services and collections
- Research consultations including literature searches, systematic reviews and research data management
- Advanced research skills instruction and workshops
- Scholarship@Western – open access institutional repository - 2,690,869 downloads from around the globe

QUESTIONS?

Western
UNIVERSITY · CANADA

EXHIBIT I

REPORT OF THE OPERATIONS/AGENDA COMMITTEE

Senate Membership: Faculty of Social Science Constituency
Nominating Committee Membership – Alternate Member

1. **Senate Membership: Faculty of Social Science Constituency**

Recommended: That Mitch Rothstein, representative of the Faculty of Social Science constituency, be granted a leave of absence while on sabbatical and that Diana Mok be elected to serve as his alternate on Senate from January 1 – June 30, 2016.

2. **Senate Nominating Committee – Alternate Member**
(See http://www.uwo.ca/univsec/pdf/senate/members.pdf for the current list of Senators.

Composition: Seven members of Senate, elected by Senate, at least one of whom shall be a graduate student. Not more than two members from a single academic unit. The School of Graduate and Postdoctoral Studies is not considered an academic unit in this context.

There will be three alternates who are members of Senate, one of whom is a student, to attend meetings when regular members are unable to attend.

Members:
Current Composition:
Terms ending June 30, 2016:
Laura Rosen, Mary Anne Andrusyszyn, Andrew Hrymak, Jean-Francois Millaire

Terms continuing to June 30, 2017:
Yining Huang, Wendy Pearson, Susan Rodger

Alternates:
Current Composition:
Terms ending June 30, 2016:
Nick Wolfe, Julie Aitken Schermer

Term continuing to June 30, 2017:
vacancy

Alternate Required: One member of Senate to replace B. Cheadle who has resigned (term to June 30, 2017).

Nominee: Lee Ann McKivor (Admin Staff)

REPORT OF THE SENATE COMMITTEE ON ACADEMIC POLICY AND AWARDS (SCAPA)

1. Faculty of Arts and Humanities, Department of Women's Studies and Feminist Research: Renaming of Minors and Revisions to Module Requirements

1a. Renaming of the Minor in Gender, Sexuality and Culture and Revisions to the Module Requirements

Recommended: That effective September 1, 2016 the Minor in Gender, Sexuality and Culture be renamed as the Minor in Sexuality Studies, and

That the module requirements be revised as shown in **Appendix 1**, and

That students currently enrolled in the module be allowed to graduate with the old module name until September 1, 2019 upon fulfillment of the existing module requirements.

1b. Renaming of the Minor in Feminist Theory and Revisions to the Module Requirements

Recommended: That effective September 1, 2016 the Minor in Feminist Theory be renamed as the Minor in Feminist, Queer, and Critical Race Theory, and

That the module requirements be revised as shown in **Appendix 2**, and

That students currently enrolled in the module be allowed to graduate with the old module name until September 1, 2019 upon fulfillment of the existing module requirements.

Background

This proposal brings the naming of the two modules in Sexuality Studies in consonance with each other and removes the Department of Modern Languages and Literature from the administration of the module. It adds a required course in order to bring the module requirements in line with those of other Minor modules in the department and to ease pressure on offerings for the minor. It removes courses no longer offered by other departments or which have no content in Sexuality Studies and it adds courses which have recently been created by other departments or which have, for no discernible reason, been omitted from the course options for the Minor. The revision recognizes changes to course offerings across numerous departments, and brings the Minor in line with the requirements for other department modules. In addition these changes will make it possible for students to make sensible course choices more easily. The Minor in Feminist Theory has languished in recent years, with only a very small number of students registered in it. This proposal is intended to revitalize the Minor by bringing it up to date with changes in the field of Women's Studies, particularly the additional focus on issues of sexuality and race and the attention given to their attendant theoretical modes, both Queer Theory and Critical Race Theory.

Additional courses were added to the minor to cover the theoretical spectrum and respond better to current theoretical practices within the fields of women's, gender, and sexuality studies.

2. School of Graduate and Postdoctoral Studies: Dual-Credential Ph.D. Degree Agreement between The Universidade Federal do Rio de Janeiro, Brazil and The University of Western Ontario

Recommended: That effective January 1, 2016 Senate approve the introduction of a Dual-Credential Ph.D Degree Agreement between The Universidade Federal do Rio de Janeiro, Brazil and The University of Western Ontario as shown in **Appendix 3**.

Background
The proposed program's details (attached as **Appendix 3**) were developed by the School of Graduate and Postdoctoral Studies, with involvement from the Office of the Vice-Provost (International).

3. Revisions to the Policy on Accommodation for Medical Illness – Undergraduate Students

Recommended: That the policy on Accommodation for Medical Illness – Undergraduate Students be revised as shown in **Appendix 4**, effective February 1, 2016.

[The current policy can be found at:
http://www.uwo.ca/univsec/pdf/academic_policies/appeals/accommodation_medical.pdf]

Background
Following a review of the current policy, it was determined that the policy did not appropriately reflect current practice. Wording has been added to the policy to clarify for students and Academic Counselling Offices the criteria necessary to seek academic accommodation in cases of illness and make the process more transparent. In addition, the removal of the word "medical" relating to illness for undergraduate students provides for a more inclusive policy that recognizes that illness can manifest in varying forms such as physical or mental.

4. Revisions to the Policy on Evaluation of Academic Performance

Recommended: That the policy on Evaluation of Academic Performance be revised as shown in in **Appendix 5**, effective February 1, 2016.

[The current policy can be found at:
http://www.uwo.ca/univsec/pdf/academic_policies/exam/evaluation_undergrad.pdf]

Background
In order to support student success and to help students make informed academic decisions, it is proposed that providing an assessment of work at an earlier date will help students to determine their academic progress in a course at an earlier point. Consequently, students will have the opportunity to withdraw from a course without receiving academic penalty.

FOR INFORMATION

5. New Scholarships and Awards

SCAPA approved on behalf of the Senate, the Terms of Reference for the new scholarships and awards shown in **Appendix 6** for recommendation to the Board of Governors through the Vice-Chancellor.

REVISED CALENDAR COPY
http://www.westerncalendar.uwo.ca/2015/pg481.html

MINOR IN ~~GENDER, SEXUALITY AND CULTURE~~ SEXUALITY STUDIES

~~Gender, Sexuality and Culture is an interdisciplinary module administered by the Department of Women's Studies and Feminist Research~~.

Admission Requirements
Completion of first-year requirements, including Comparative Literature and Culture 1023 or 1.0 Women's Studies course at the 1000 level (either Women's Studies 1020E or **any two of** Women's Studies 1021F/G and Women's Studies 1022F/G **and Women's Studies 1023F/G**) with a mark of at least 60%, or permission from ~~either the Department of Modern Languages and Literatures or the Department of Women's Studies and Feminist Research~~ **of the department**.

Module
4.0 courses:

~~At least 2.0 of the courses must be at the 2200-level or above.~~

1.0 course: Women's Studies 2273E

~~1.0 course~~ ~~from: CLC 2273F/G, 3333F/G, 3334F/G, 3335F/G, the former CLC 2140F/G, Classical Studies 3300F/G, 3310F/G, 3350F/G, Film Studies 2255E, Philosophy 2077F/G.~~

~~1.0 course~~ ~~from: Anthropology 2202F/G, 2255E, Geography 3412F/G, History 4803E, Psychology 2075.~~

~~1.0 course~~ ~~from: Women's Studies 2160A/B, 2161A/B, 2162A/B, 2163A/B, 2205F/G, 2223F/G, 2243F/G, 2253E, 2263F/G, 2273E, 3305F/G, 3153F/G, 3173F/G, 3333F/G, 3343F/G, 3345F/G, 3355E, 3356F/G, 3363F/G, 3373F/G.~~

~~1.0 additional course~~ ~~from those listed above as approved by the program.~~

3.0 courses from: Classics 3300F/G, Film Studies 2255E, History 2181A/B, History 2185, Philosophy 2077F/G, Psychology 2075, Visual Arts History 2286F/G, 2287F/G, Women's Studies 2160A/B, 2163A/B, 2203F/G, 2205F/G, 2223F/G, 2243F/G, 2253E, 2263F/G, 2273E, 2283F/G, 3305F/G, 3153F/G, 3173F/G, 3333F/G, 3343F/G, 3345F/G, 3356F/G, 3363F/G, 3373F/G, 4463F/G.

At least 2.0 of the courses must be at the 2200-level or above.

~~Note:~~ ~~some courses are not offered each year. Students are advised to seek counselling when planning this module.~~

A student may apply to ~~either the Department of Modern Languages and Literatures or~~ the Department of Women's Studies and Feminist Research for approval to substitute 1.0 course not listed above, provided the course is relevant to the ~~GSC~~ **Sexuality Studies** Minor.

REVISED CALENDAR COPY
http://www.westerncalendar.uwo.ca/2015/pg480.html

MINOR IN FEMINIST, QUEER, AND CRITICAL RACE THEORY

Admission Requirements
Completion of first-year requirements, including 1.0 Women's Studies course at the 1000 level (either Women's Studies 1020E or **any two of** Women's Studies 1021F/G, **Women's Studies 1022F/G, Women's Studies 1023F/G, and Women's Studies 1024F/G**) with a mark of at least 60%, or permission of the Department.
…
Module
4.0 courses:

1.0 course: Women's Studies 2220E.
1.0 course: Women's Studies 3321F/G and 3322F/G.
~~**1.0 course from**: Women's Studies 2250E or 2240F/G and 2263F/G.~~
1.0 course: Women's Studies 3324F/G and 3173F/G.
1.0 additional course in Women's Studies at the 2000 level or above, chosen in consultation with the Department.

A student may apply to the Department for approval to substitute 1.0 course from another department provided that the course is relevant to the student's Minor in Feminist**, Queer, and Critical Race** Theory.

UNIVERSIDADE FEDERAL DO RIO DE JANEIRO UFRJ

Western UNIVERSITY · CANADA

AGREEMENT FOR DOUBLE PhD PROGRAM BETWEEN THE FEDERAL UNIVERSITY OF RIO DE JANEIRO AND THE UNIVERSITY OF WESTERN ONTARIO, CANADA.

The **FEDERAL UNIVERSITY OF RIO DE JANEIRO**, a legal entity under public law and a self-governing university, according to its statute, located at Avenida Pedro Calmon, 550, Cidade Universitária, Ilha do Fundão, Rio de Janeiro, RJ, registered under the CNPJ 33 663 683/0001-16, herein called **UFRJ**, in this act represented by its Rector, Professor **Roberto Leher**, and **THE UNIVERSITY OF WESTERN ONTARIO,** a publically funded, self-governing University, located at, 1151 Richmond St. London, Ontario, Canada, N6A 3K7 herein called **WESTERN**, in this act represented by its Provost and Vice President Academic, Dr. **Janice Deakin**, jointly referred to as **'the partner institutions'**, agree to jointly supervise the doctoral research of the doctoral student [redacted] hereafter called **"doctoral student",** and to jointly organize the doctoral examination and, if the doctoral student is successful, comply with the awarding of the doctoral degree at each institution. This agreement shall be ruled by the following clauses and conditions.

1. **Admission to the Doctorate**

The admission to each doctoral program is by two separate and independent selection processes, in accordance with the respective regulations of each institution.

2. **Enrollment and tuition fee**

The doctoral student registers at each of the partner institutions for the duration of studies. The student will pay tuition and ancillary fees to Western while in residence there.

3. **Duration of studies**

The duration of the doctorate should usually be 4 years unless extraordinary and exceptional situations justify a reduction or extension. If the double PhD specified objectives are not reached by the end of the four year period, the duration may be extended with the agreement of the partner institutions for up to an additional year. Such extension, if granted, shall be subject to the regulations of the two Institutions. This request shall be made 6 months before the date provided for the end of the thesis.

4. **Residency**

The doctoral student spends alternating or consecutive study periods at the partner institutions. The time schedule for these research periods is to be determined by the supervisors and the doctoral

student in joint consultation. However, the normal expectation is that the student would spend approximately 50% of the time of study at each institution. This time schedule is identified in the **Clause 13** of this Agreement for the doctoral student.

5. Supervision of the student

Each Institution appoints at least one professor as thesis supervisor, which are identified in **Clause 13** of this Agreement. The supervisors will jointly exercise the function of scientific guide of the student and are responsible for the student's research training. As such, they are responsible for consulting each other whenever they deem necessary, in order to assess the evolution of the doctoral research.

6. Financial matters

The student is expected to be financially supported by a scholarship or grant from either one of the Institutions or from both Institutions or from a third Party.
The student will assume expenses for travel, accommodation and all living expenses.
Each thesis supervisor and / or his / her Department is responsible for his or her own expenses. While registered at Western, the student will receive normal financial support (from all sources) during the normal period of eligibility according to regulations of the institution.

7. Insurance

The doctoral student must take out health insurance, insurance against accidental physical damage and civil liability during the execution of the tasks concerning his/her doctoral research at the partner institutions, if required by the institutional and national regulations that apply in the partner institutions involved. While at Western, the student must enroll in, and cover the costs of, the UHIP program.

8. Final evaluation and award of the title

The student shall fulfill all requirements and regulations ruling the doctoral programs of both institutions. After completing the double doctoral program and satisfying all the associated requirements (in particular the fullillment of the coursework credits and passing the joint doctoral examination) each student will be awarded the title "Doutor" by the Universidade Federal do Rio de Janeiro and the title "Doctor of Philosophy" by The University of Western Ontario.

9. Composition of the final evaluation committee

The Committee for the thesis defence will be composed of five examiners: two examiners from Western (one from the program and one from outside the program); two examiners from the program at UFRJ, and one examiner from an institution different from the partner institutions. The supervisor and co-supervisor are not part of the evaluation committee. The selection of the committee members shall be approved by the Graduate Committee from the applicant's program at UFRJ and by the School of Graduate and Postdoctoral Studies from Western.

10. Language and Defence of the Doctoral Thesis

The thesis will be defended at Universidade Federal do Rio de Janeiro in English. A single set of minutes of the Examination Board will be written in Portuguese and translated into English.
The thesis will be written in English. A summary of the thesis wil be provided in English and Portuguese.

11. Intellectual Property, Inventions and Innovations

11.1 All intellectual property held by a Party prior to entering into this Agreement or disclosed or introduced in connection with this Agreement and all materials in which such intellectual property is held, disclosed or introduced shall remain the property of the Party introducing or disclosing it. However, that Party grants the doctoral student and/or the other Party a licence to use such intellectual property for any purpose associated with this Agreement, subject to any prior third party rights.

11.2 All rights, titles and interests in any studies, reports or materials, graphic or otherwise, prepared by UFRJ or by Western respectively will belong to that Institution and may not be made use of except with that Institution's prior written consent. The provisions of this clause will survive beyond the termination of this Agreement.

11.3 Where the partner institutions jointly develop intellectual property, inventions and innovations as a result of the research work of the doctoral student working under the supervision of the the supervisor at each Institution, the terms with respect to title and exploitation of such intellectual property, inventions and innovations (including but not limited to trademarks and service marks, copyright, patents, know-how designs and confidential information on the subject of such intellectual property, inventions and innovations) will be negotiated on a case-by-case basis having due regard for each Institution's policies and governance requirements and the terms and conditions imposed by any individual funding agencies or grant-making organizations. The general guiding principle for such case-by-case agreements will be that the intellectual property rights created in the course of this Agreement will vest in each Institution in equal shares and that each Party may use such jointly-owned intellectual property for internal, non-commercial research and educational purposes. Save as aforesaid, nothing in this agreement shall be construed as a license or transfer or an obligation to enter into any further agreement with respect to intellectual property currently licensed to or belonging to either Institution.

11.4 Nothing in this Agreement will inhibit the right of a doctoral student to have their thesis examined and a copy of their thesis lodged in the library of each Institution (including a digital copy) in accordance with the internal regulations of each Institution.

11.5 Notwithstanding anything to the contrary in clause 11.3, each doctoral student shall own the copyright of their thesis.

11.6 The provisions of this clause 11 will survive beyond the termination of this Agreement.

12. Confidentiality

12.1 When receiving confidential information, the receiving party must ensure that all employees, students or agents to whom the confidential information is disclosed are bound to keep the

confidential information confidential and not to use the confidential information except for the purposes of this Agreement.

12.2 The obligations of confidentiality in this clause 12 do not apply to information which may be required to be disclosed by law, is in the public domain other than by breach of this Agreement, or has been independently developed or obtained by the receiving party.

12.3 Each party agrees that personal information about the doctoral student will be collected, managed, held, used, disclosed and transferred in accordance with the relevant privacy laws and policies applicable to that party.

13. Specific information

13.1. Dates of Registration of the doctoral student

First registered in the PhD program in Civil Engineering at Universidade Federal do Rio de Janeiro: 11 March, 2013.

Registered in the PhD program in Civil and Environmental Engineering at The University of Western Ontario: 1 January, 2016

13.2. Supervisors

At The University of Western Ontario:

[redacted]

At Universidade Federal do Rio de Janeiro:

[redacted]

13.3. Plan of Study and Residence

March 2013 - February 2015	Universidade Federal do Rio de Janeiro
March 2015 –December 2015	The University of Western Ontario sandwich doctoral program
January 2016-February 2017	The University of Western Ontario dual PhD program
March 2017	Universidade Federal do Rio de Janeiro

13.4. Subject of the doctoral dissertation

Optimization of cable-stayed bridges considering wind effects

14. Commencement, validity period and amendments of the agreement

This agreement shall come into force immediately after the signature of the relevant University Authorities and shall remain in effect until the doctoral student has either completed the Double PhD Program or is no longer enrolled in the Double PhD Program.

If, during this period, one of the elements of the agreement is amended, a modification agreement will be drawn up and duly approved by the partner institutions.

Each institution will separately examine and evaluate the progress of the student at least annually, and transmit the result of the evaluation to the other Institution.

And since both Parties agree with the statements and conditions set forth above, they sign 06 (six) original copies of this Agreement, 03 (three) in Portuguese and 03 (three) in English, it being understood that the Portuguese and English texts shall be considered equally authentic.

Accommodation for ~~Medical~~ Illness – Undergraduate Students

POLICY ON ACCOMMODATION FOR ~~MEDICAL~~ ILLNESS - UNDERGRADUATE STUDENTS

The University recognizes that a student's ability to meet his/her academic responsibilities may, on occasion, be impaired by ~~medical~~ **physical or mental** illness. Illness may be acute (short term), or it may be chronic (long term), or chronic with acute episodes. The University further recognizes that **physical or mental illness** ~~medical~~ situations are deeply personal and respects the need for privacy and confidentiality in these matters. However, in order to ensure fairness and consistency for all students, academic accommodation for work representing 10% or more of the student's overall grade in the course shall be granted only in those cases where there is documentation indicating that the student was seriously affected by illness and could not reasonably be expected to meet his/her academic responsibilities. **Students are expected to act in a timely manner when seeking and arranging accommodations.**

Documentation shall be submitted as soon as possible to the ~~appropriate~~ Dean's Office ~~(the Office of the Dean of the student's Faculty of registration/home Faculty)~~ **of the student's Faculty of registration (e.g., to the Academic Counselling Office of the student's home Faculty) indicating the period of illness and when the student should be able to resume academic responsibilities. Students must submit their documentation along with** a request for relief specifying the nature of the accommodation being requested **no later than two business days after the date specified for resuming responsibilities. In cases where there might be an extended absence or serious issue, students should submit their documentation promptly and consult their Academic Counsellors for advice during their recovery period.** Whenever possible, students who require academic accommodation should provide notification and documentation in advance of due dates, examinations, etc. These documents will be retained in the student's file, and will be held in confidence in accordance with the University's Official Student Record Information Privacy Policy. Once the petition and supporting documents have been received and assessed, appropriate academic accommodation shall be determined by the **Academic Counselling/**Dean's Office in consultation with the student's instructor(s).

If the Academic Counselling/Dean's Office determines that accommodation is warranted, the accommodation period will normally be the period specified on the medical documentation unless the student demonstrates an ability to resume responsibilities sooner, for instance, by taking on a significant academic commitment (such as an examination) earlier.

Academic accommodation may include extension of deadlines, waiver of attendance requirements for classes/labs/tutorials, arranging Special Exams or Incompletes, re-weighting course requirements, or granting late withdrawals without academic penalty. Academic accommodation shall be granted only where the documentation indicates that the onset, duration and severity of the illness are such that the student could not reasonably be expected to complete his/her academic responsibilities**, and only when the medical professional providing the documentation is able to make a reasonable assessment of the student's physical or mental state during the period for which accommodation is sought. Minor ailments typically treated by over-the-counter medications will not normally be accommodated. Note that there is no expectation that a student must be in optimum ~~physical~~ condition to carry out his or her academic responsibilities.** ~~(Note – it will not be sufficient to provide documentation indicating simply that the student "was seen for a medical reason" or "was ill.")~~

Documentation from Family Physicians/Nurse Practitioners and Walk-In Clinics
A Western Student Medical Certificate (SMC) is required where a student is seeking academic accommodation. This documentation should be obtained at the time of the initial consultation with the physician/nurse practitioner or walk-in clinic. An SMC can be downloaded at http://www.uwo.ca/univsec/pdf/academic_policies/appeals/medicalform.pdf.

Documentation from Student Health Services
At the time of illness, students should make an appointment with a physician/nurse practitioner at Student Health Services. During this appointment, request a Student Medical Certificate from the Physician/Nurse Practitioner.

Documentation from Hospital Urgent Care Centres or Emergency Departments
Students should request that an SMC be filled out. Students may bring this form with them, or request alternative Emergency Department documentation. Documentation should be secured at the time of the initial visit to the Emergency Department. Where it is not possible for a student to have an SMC completed by the attending physician, the student must request documentation sufficient to demonstrate that his/her ability to meet his/her academic responsibilities was seriously affected.

Accommodation by Instructor for work worth less than 10% of the overall grade in a course
Instructors are encouraged, in the first instance, to arrange participation requirements and multiple small assignments in such a way as to allow students some flexibility. A student seeking academic accommodation for any work worth less than 10% must contact the instructor or follow the appropriate Department or course specific instructions provided on the course outline.

In arranging accommodation, instructors will use good judgment and ensure fair treatment for all students. Instructors must indicate on the course outline how they will be dealing with work worth less than 10% of the total course grade. In particular, instructors must indicate whether medical documentation will be required for absences, late assignments or essays, missed tests, laboratory experiments or tutorials, etc. Where medical documentation is required, such documentation must be submitted by the student directly to the appropriate Faculty **Academic Counselling**/Dean's office, ~~and it will be the Dean's office that~~ who will make the determination whether accommodation is warranted. Given the University's Official Student Record Information Privacy Policy, instructors may not collect medical documentation.

In all cases where accommodation is being sought for work totalling 10% or more of the final grade in a course, students will be directed to the appropriate Faculty **Academic Counselling**/Dean's office.

Students who have been denied accommodation by an instructor may appeal this decision to the appropriate Faculty Dean's office but will be required to present appropriate documentation.

Evaluation of Academic Performance

EVALUATION OF UNDERGRADUATE ACADEMIC PERFORMANCE - DEPARTMENTAL RESPONSIBILITY

Responsibility and authority for evaluating student achievement in individual undergraduate courses rests with the department (or faculty where applicable) which may delegate this responsibility to the individual instructor(s).

Direct responsibility for quality of instruction and evaluation of student performance rests with departments, which may delegate this responsibility to members of faculty.

The department (or faculty where applicable) shall devise procedures to ensure that the evaluative methods used are academically rigorous and as equitable as possible.

EVALUATION OF UNDERGRADUATE ACADEMIC PERFORMANCE

As a guideline for departments (or faculties where applicable), the last day of scheduled classes in any course will be the last day on which course assignments will be accepted for credit in a course.

At least one week prior to the deadline for withdrawal from a course without academic penalty, students in 1000-level and 2000-level courses will receive assessment of work accounting for at least 15% of their final course grade. ~~As a guideline for departments (or faculties where applicable~~**)** **For 3000-level and 4000-level courses,** ~~assigned work will be distributed in such a way that~~ approximately half way through the course the student will receive an estimate of his or her standing in the course.

The rest of the policy is unchanged

New Scholarships and Awards

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

Value: 1 at $1,000
Effective Date: 2016-2017 academic year

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

Value: 1 at $1,500
Effective Date: 2016-2017 to 2020-2021 academic years inclusive

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

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

Value: 10 at $500
Effective Date: 2016-2017 academic year

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

Value: 2 at $2,000
Effective Date: 2016-2017 academic year

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

Amendola Family Football Award (Athletic Award, Football)
Awarded annually to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a significant contribution as a member of the Men's Football Team. As per OUA and CIS regulations, an entering student athlete must have a minimum admission average of 80% and a non-entering student must have an in-course average of 70%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipient based on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Ned (MD ’84) and Alison Amendola (MBA ’85, BSc ’82).

Value: 1 at $4,500
Effective Date: 2016-2017 to 2020-2021 academic years inclusive

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

Value: 2 at $6,250
Effective Date: May 2015

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

Professor Kenneth Hilborn Graduate Student Award for Research and Conference Travel (School of Graduate and Postdoctoral Studies, History)
Awarded annually to graduate students in History, based on academic achievement and research merit. Preference will be given to students in the following order:
1. Masters student in Public History (1 student selected)
2. Masters or Doctoral Students in History (4 students selected)

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

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

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

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

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

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

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

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

Professor Kenneth Hilborn International Relations Graduation Scholarship (Social Science, History)
Awarded annually to the undergraduate student in Year 4 History who is graduating with an Honors Specialization in International Relations and has demonstrated academic excellence, as well as participation in activities beyond formal studies that resulted in their enhanced knowledge of global affairs. Academic excellence will be based on the average of the final five 3000- and/or 4000-level courses completed in the Honors Specialization in International Relations module. A one-page statement outlining the applicants' activities must be submitted by March 30th to the Main Office, Department of History. A committee designated by the Chair in History will select the recipient. This scholarship was established by a generous gift from the Estate of Dr. Kenneth H. Hilborn.

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

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

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

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

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

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

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

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

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

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

Auburn Developments Inc. Football Award (Athletic Award, Football)
Awarded annually to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a significant contribution as a member of the Men's Football Team. As per OUA and CIS regulations, an entering student athlete must have a minimum admission average of 80% and a non-entering student must have an in-course average of 70%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipients. This committee will base its decision on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20%, respectively). This award was established by Auburn Developments Inc.

Value: 1 at $4,500
Effective Date: 2016-2017 to 2020-2021 academic years inclusive

Mark Teskey Men's Hockey Scholarship (Athletic Award, Hockey)
Awarded annually to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a significant contribution as a member of the Men's Hockey Team. As per OUA and CIS regulations, an entering student athlete must have a minimum admission average of 80% and a non-entering student must have an in-course average of 70%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipients. This committee will base its decision on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20%, respectively). This scholarship was established by Mr. Mark Teskey (BA '83).

Value: 1 at $4,500
Effective Date: 2016-2017 to 2020-2021 academic years inclusive

EXHIBIT III

REPORT OF THE SENATE COMMITTEE ON UNIVERSITY PLANNING

(SCUP)

FOR APPROVAL

1. **Beryl Ivey Chair in One Health – Renaming & Terms of Reference**

Recommended: That the name of The Beryl Ivey Chair in Ecosystem Health be changed to the Beryl Ivey Chair in One Health and that the terms of the Chair be updated as shown in **Appendix 1**.

Background:

See **Appendix 1**.

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

Recommended: That the Neil McKenzie Chair in Cardiac Care be established with academic appointment in the Division of Cardiology in the Schulich School of Medicine & Dentistry, as shown in **Appendix 2.**

Background:

See **Appendix 2**.

3. 2016 Entrance Standards for Undergraduate First-Year Admissions

Recommended: That Senate approve the targets and processes for first-year, first-entry undergraduate enrolment for the Constituent University and Affiliated University Colleges as outlined in **Appendix 3**.

Background:

See **Appendix 3**.

4. **Five-Year Enrolment Projections**

Recommended: That the five-year enrolment projections/plans presented in **Appendix 4** be used for University budget planning purposes.

Background:

See **Appendix 4**.

FOR INFORMATION

5. Report on Year One Class and Entering Averages

See **Appendix 5**.

6. **Report from the Provost's Task Force on University Budget Models**

See **Appendix 6**.

7. **Report of the Graduate Funding Subcommittee on the Provost's Task Force on Budget Models**

See **Appendix 7**.

8. **Performance Indicators Report**

See **Appendix 8**.

9. **Provost's Update on Planning Process**

J. Deakin, Provost and Vice-President (Academic), will provide an oral report at the meeting.

10. **Policies and Processes for Naming - Update**

Attached as **Appendix 9** is a table that outlines the processes followed, and authority levels for various types of naming at Western. Naming of scholarships, chairs/professorships/fellowships, and collaborative research entities usually occurs at the same time that the entity concerned is established. If the naming occurs later, the same process followed for establishing the entity would be followed for the naming. Links to the relevant policies are:

MAPP 1.9 Naming of Campus Buildings, Physical Structures and Space
http://www.uwo.ca/univsec/pdf/policies_procedures/section1/mapp19.pdf

MAPP 1.44 Naming Policy
http://www.uwo.ca/univsec/pdf/policies_procedures/section1/mapp144.pdf

MAPP 2.1 Gift Acceptance
http://www.uwo.ca/univsec/pdf/policies_procedures/section2/mapp21.pdf

MAPP 2.10 Student Scholarships, Awards and Prizes
http://www.uwo.ca/univsec/pdf/policies_procedures/section2/mapp210.pdf

MAPP 2.22 Funding of Academic Chairs, Professorships and Designated Faculty Fellowships
http://www.uwo.ca/univsec/pdf/policies_procedures/section2/mapp222.pdf

MAPP 7.9 Establishment, Governance and Review of Research Institutes, Centres and Groups
http://www.uwo.ca/univsec/pdf/policies_procedures/section7/mapp79.pdf

MAPP 1.9, 1.44, and 2.1 are Board policies. MAPP 2.10, 2.22, and 7.9 are joint Senate and Board policies.

These materials were reviewed by SCUP at its meeting on February 1 and SCUP asked that the chart be shared with Senate at its next meeting. SCUP has asked the administration to review the circumstances under which a naming might be revoked, noting that while the Naming Policy states that the university has that right, there is no reference to what might trigger a revocation and how that would be done. SCUP also asked for consideration of whether there should be a regular review process for namings and if so, what types of namings and/or what level of donation might be subject to a review process.

THE BERYL IVEY CHAIR IN ONE HEALTH – RENAMING & TERMS OF REFERENCE

FOR APPROVAL

Recommended: That the name of The Beryl Ivey Chair in Ecosystem Health be changed to The Beryl Ivey Chair in One Health and that the terms of the Chair be updated as follows.

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

Effective Date: January 1, 2016

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

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

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

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

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

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

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

Background:

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

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

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

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

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

NEIL MCKENZIE CHAIR IN CARDIAC CARE

FOR APPROVAL

Recommended: That the Neil McKenzie Chair in Cardiac Care be established with academic appointment in the Division of Cardiology in the Schulich School of Medicine & Dentistry.

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

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

Effective Date: July 1, 2016

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

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

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

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

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

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

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

Background: The Chair has been funded by individual members of the Division of Cardiology and Dr. Neil McKenzie. See enclosed for further information.

Western University

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

Fall 2016 Entrance Standards for First-Year Undergraduate Admissions

A. Background/Context

History

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

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

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

Current Strategic Plan Priorities

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

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

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

Constituent University

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

Affiliated University Colleges

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

C. Fall 2016 Admissions Plans

Constituent University

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

Affiliated University Colleges

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

SUMMARY OF ENROLMENT FORECAST

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

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

SUMMARY OF ENROLMENT FORECAST

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

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

For Information

90	Year 1 Constituent International Students	347	476	532	527	508	550	600	600	600	600

<1> 2015-16 part-time undergraduate FFTEs are estimated

Year 1 Class and Entering Averages

SCUP
February 1, 2016

Context

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

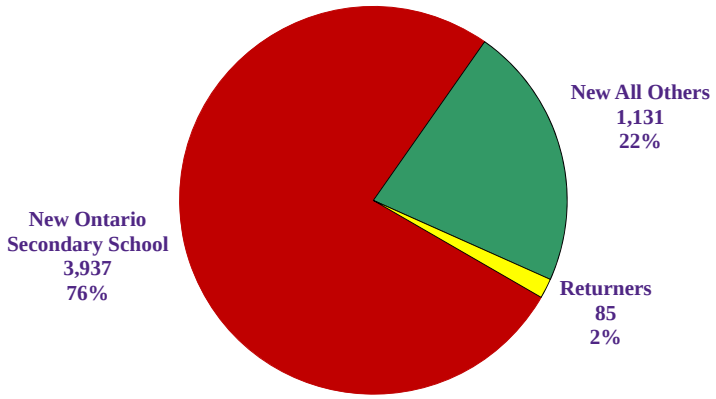
Student Profile: Applicant Type & Geographical Origin

Constituent University

Western

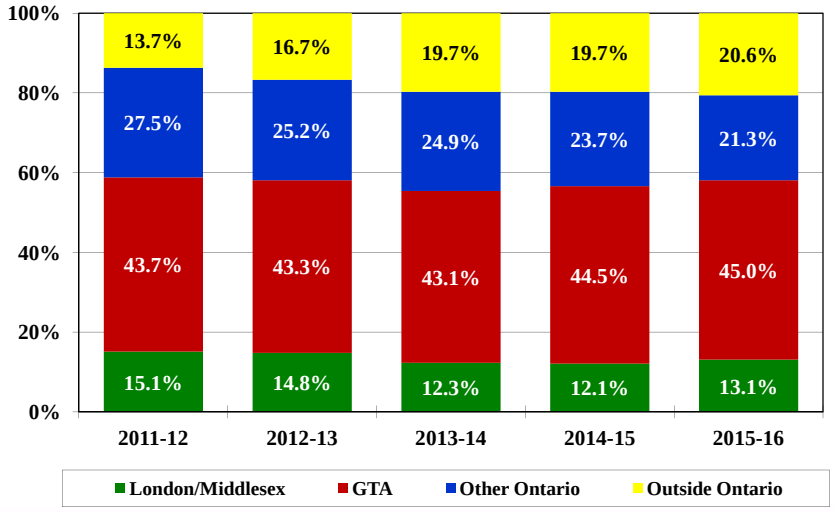
2015-16 Year 1 Students by Applicant Type
Constituent University

Total Year 1 = 5,153



Western

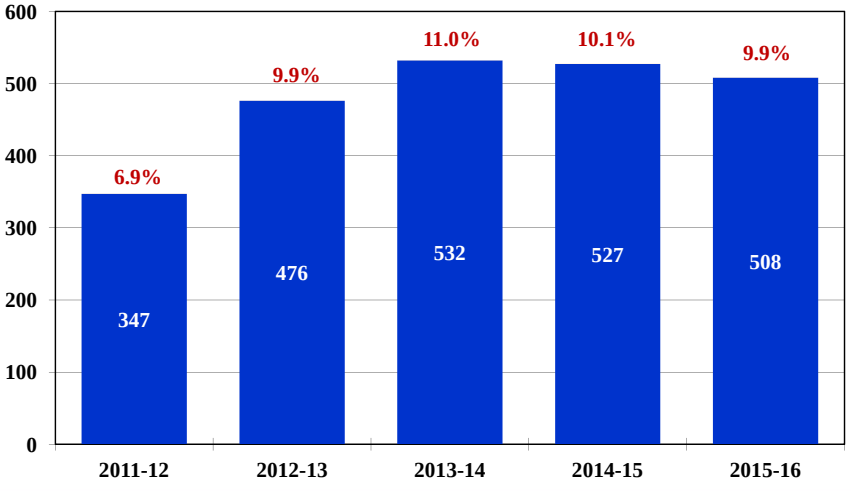
Geographical Origin of New Year 1 Students
Constituent University



Western

5

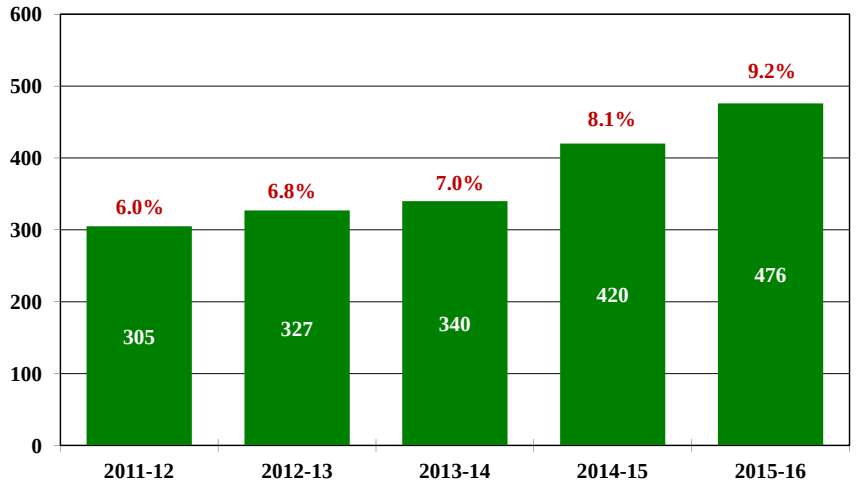
Year 1 International Students
Constituent University



Western

6

Year 1 Out of Province Students Constituent University



Western

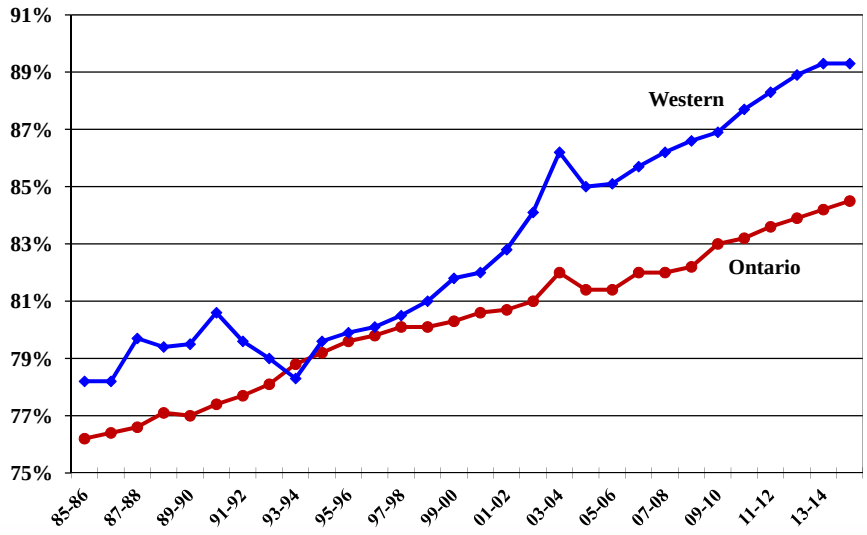
7

Entering Grades of New Ontario Secondary School Students

Western

8

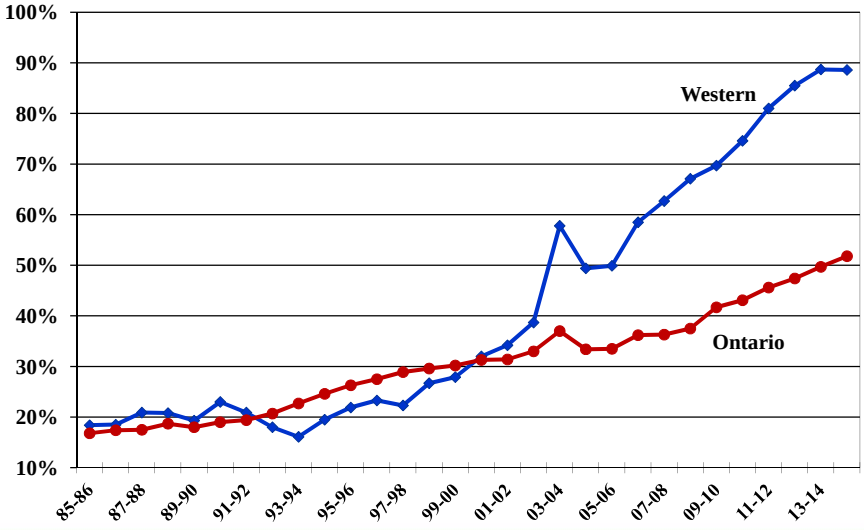
Average Entering Grade



Western

9

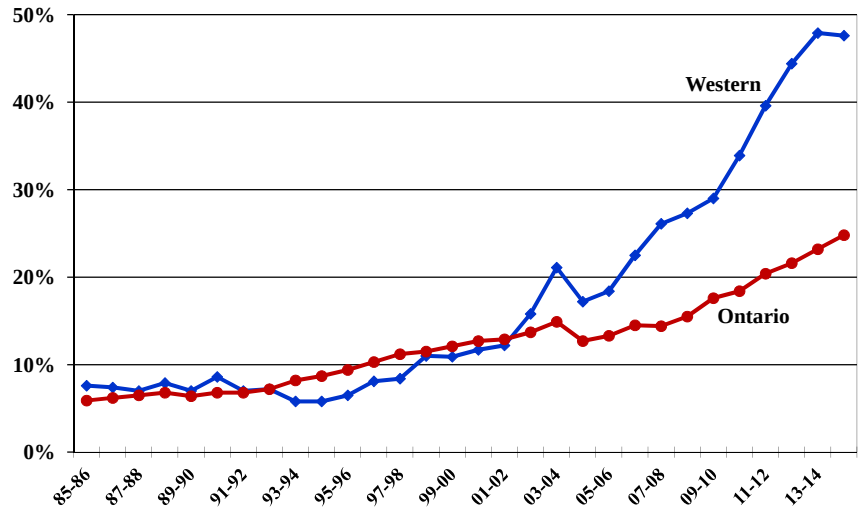
Proportion with Entering Grades of 85% or More



Western

10

Proportion with Entering Grades of 90% or More



Western

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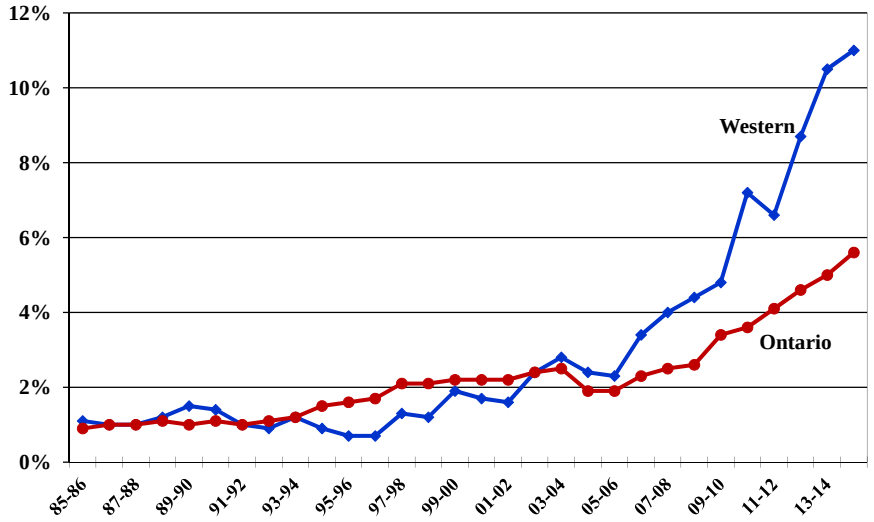
Proportion with Entering Grades of 95% or More



Western

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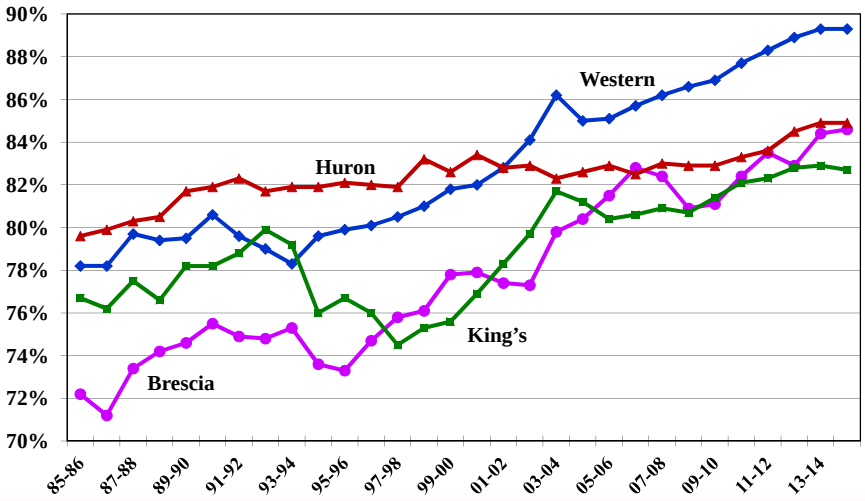
Average Entering Grade
Western and Affiliated University Colleges



Western

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Retention Rates

Western

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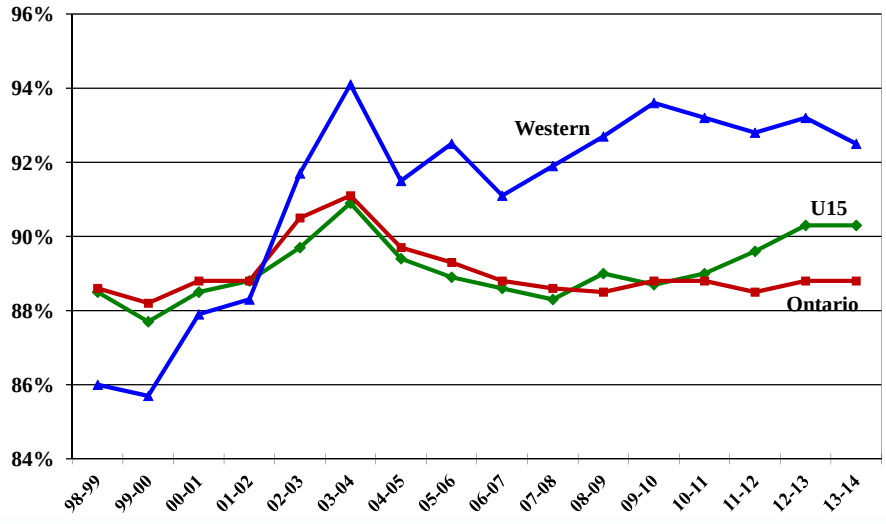
Year 1 to Year 2 Retention Rates



Western

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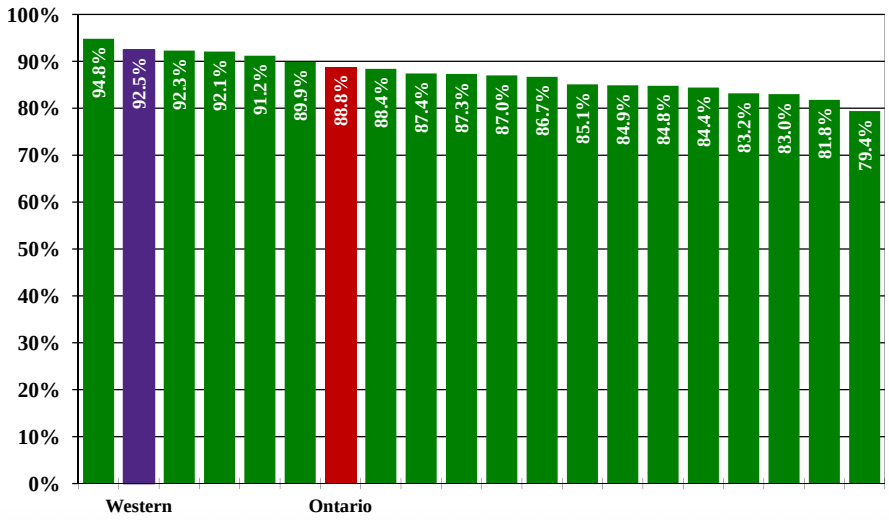
Ontario: Year 1 to Year 2 Retention Rates 2013-14 Cohort



Western

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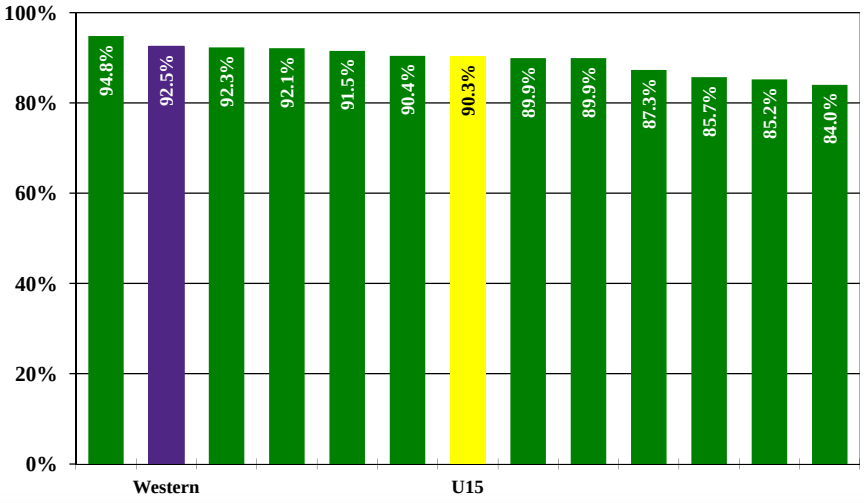
U15: Year 1 to Year 2 Retention Rates 2013-14 Cohort



Western

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Graduation Rates

Western

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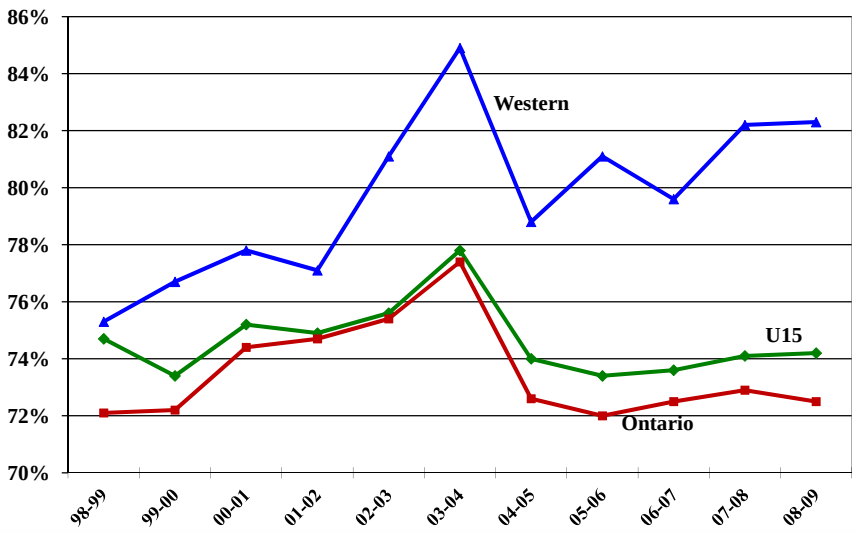
6-Year Graduation Rates



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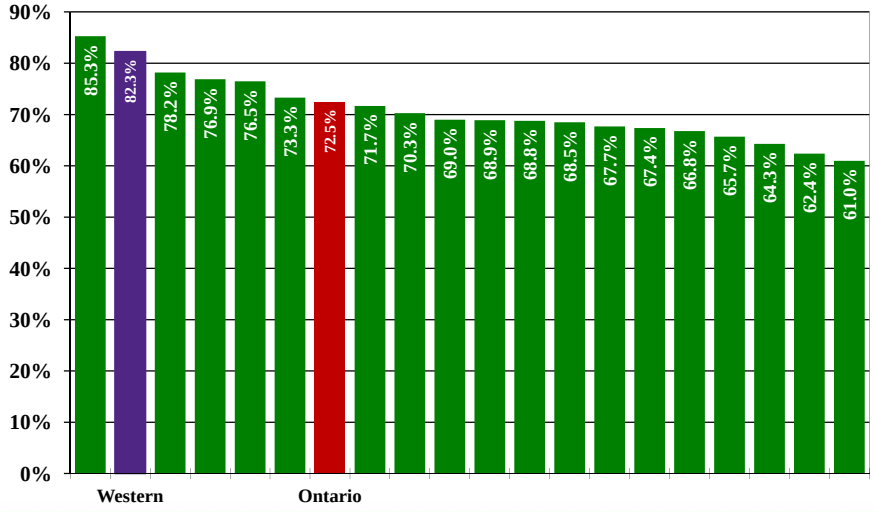
Ontario: 6-Year Graduation Rates 2008-09 Cohort



Western

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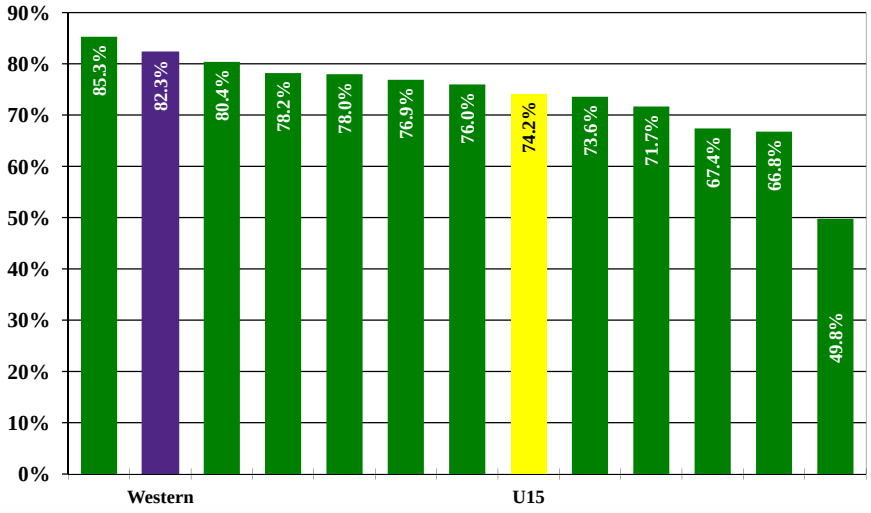
U15: 6-Year Graduation Rates
2008-09 Cohort



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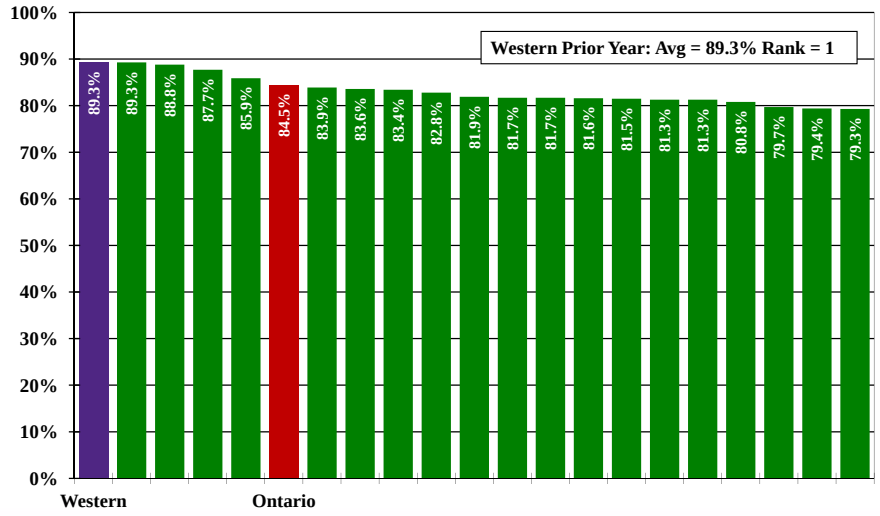
Entering Grades of New Ontario Secondary School Students by University & Program 2014-15

Western

22

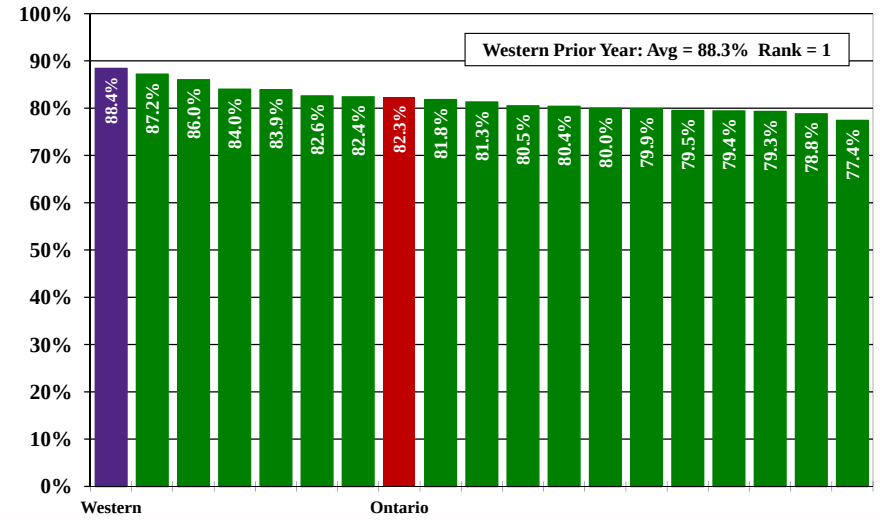
2014-15 Average Entering Grade
All Programs



Western

23

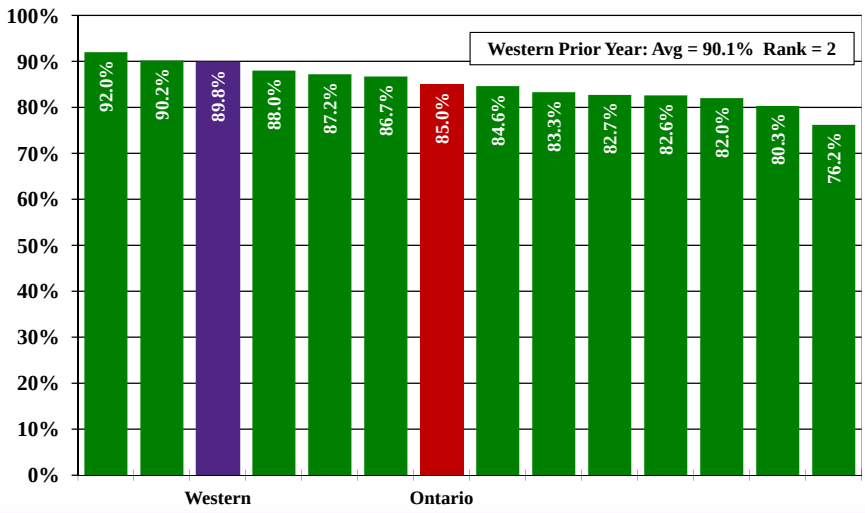
2014-15 Average Entering Grade
Arts & Humanities / Social Science



Western

24

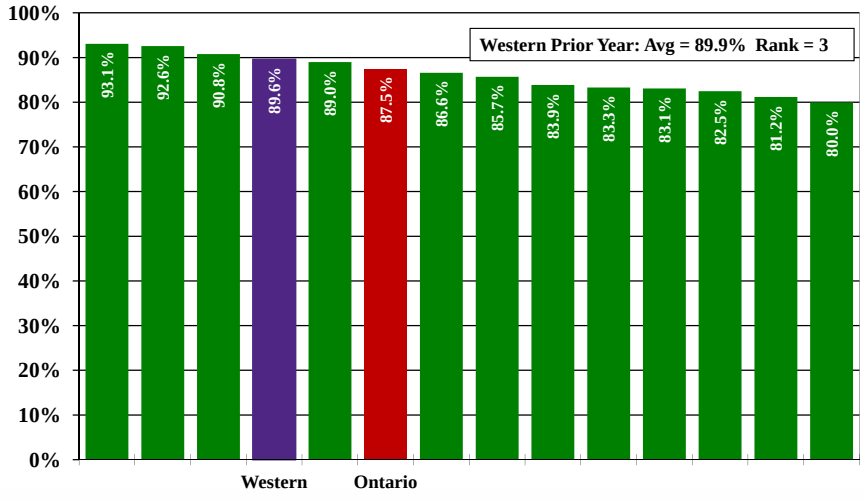
2014-15 Average Entering Grade
MOS / Commerce



Western

25

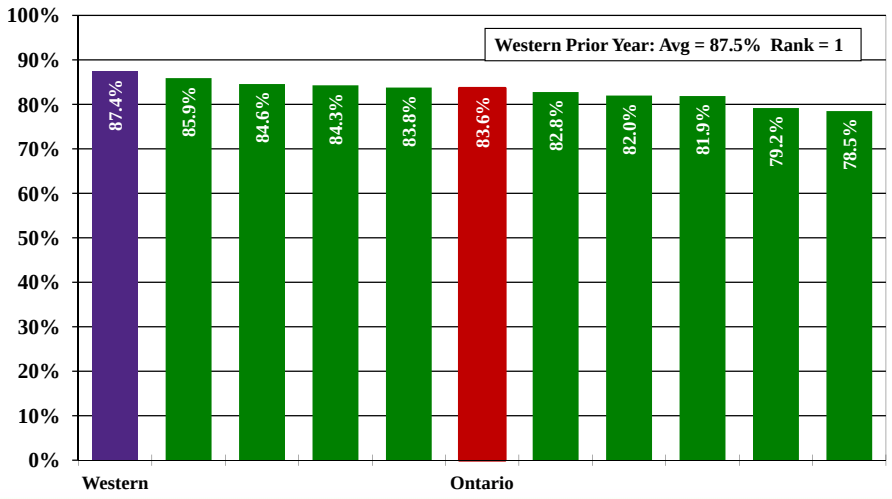
2014-15 Average Entering Grade
Engineering



Western

26

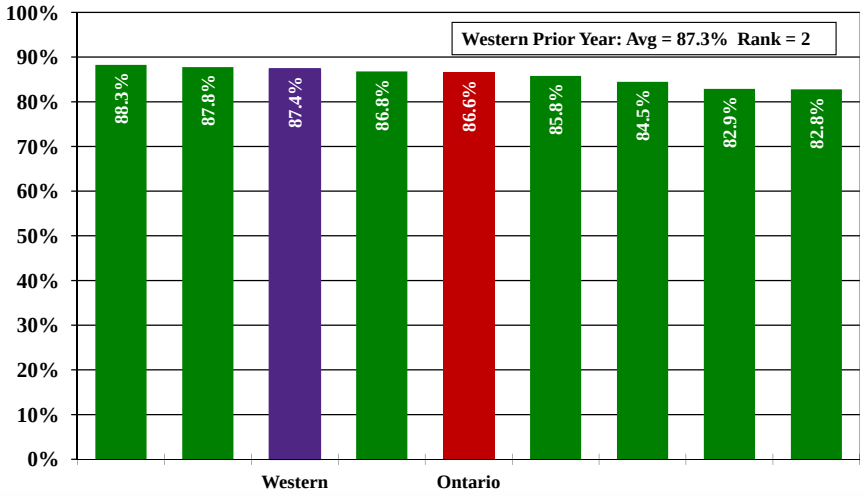
2014-15 Average Entering Grade
Kinesiology



Western

27

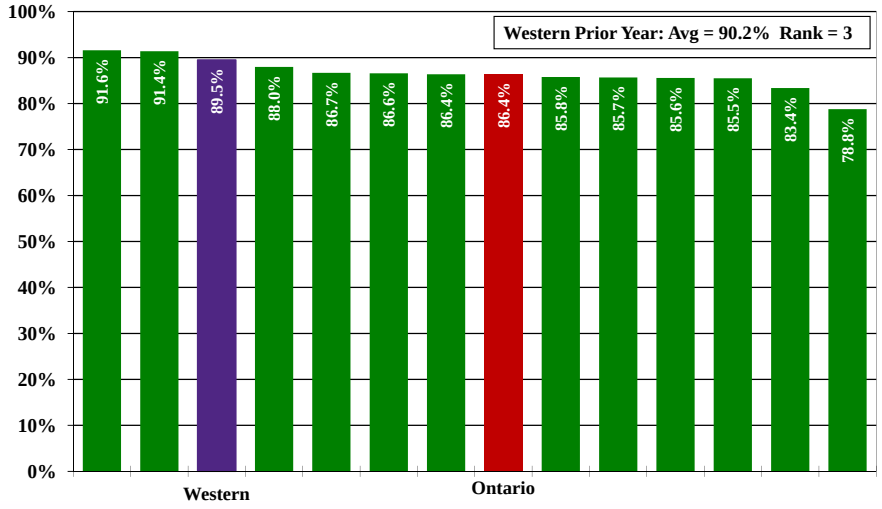
2014-15 Average Entering Grade
Music



Western

28

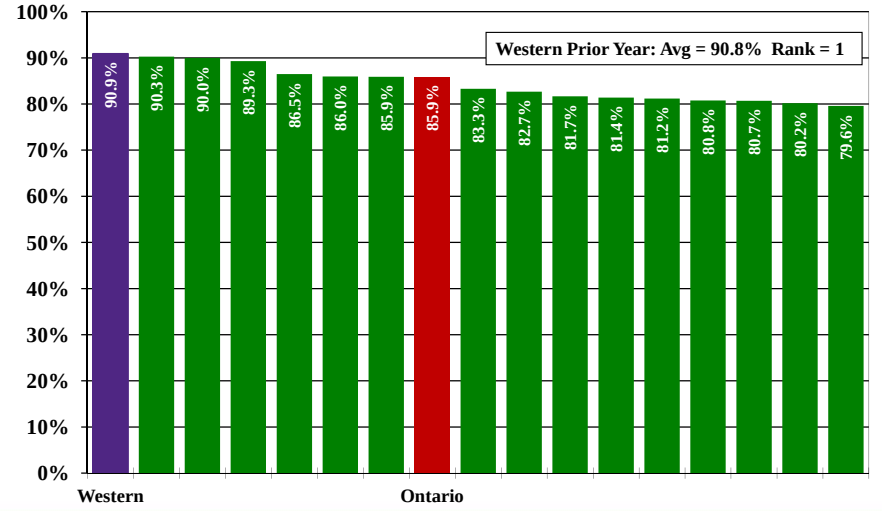
2014-15 Average Entering Grade
Nursing



Western

29

2014-15 Average Entering Grade
Science



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

January 25, 2016

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EXECUTIVE SUMMARY

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

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

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

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

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

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

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

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

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

INTRODUCTION

Background & Impetus

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

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

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

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

Consultation & Information Gathering

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

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

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

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

AN OVERVIEW OF THE EVOLUTION OF WESTERN'S BUDGET MODEL

Pre-1995: Precursor to an evolving approach to budgeting

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

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

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

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

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

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

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

1995-2000: Focus on student quality and educational experience

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

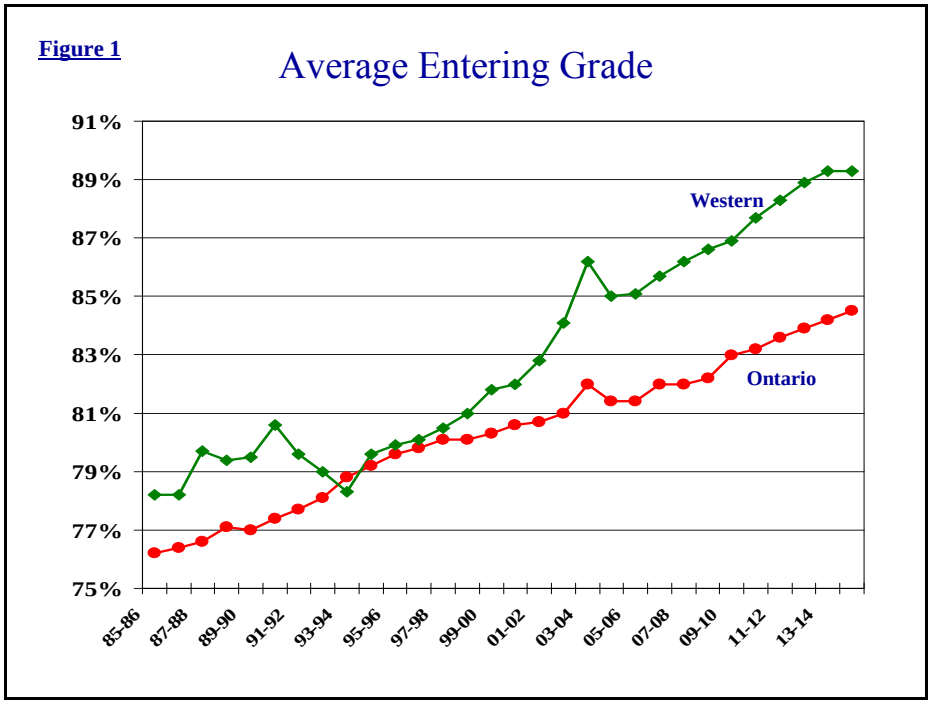
Beginning in 1995-96, first-year undergraduate intake was capped at 4,000 and a single common minimum entrance standard was set for all first-entry programs across campus. Student recruitment efforts were consolidated, and all students receiving an offer of admission were guaranteed room in residence,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

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

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

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

Figure 1



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

Figure 2

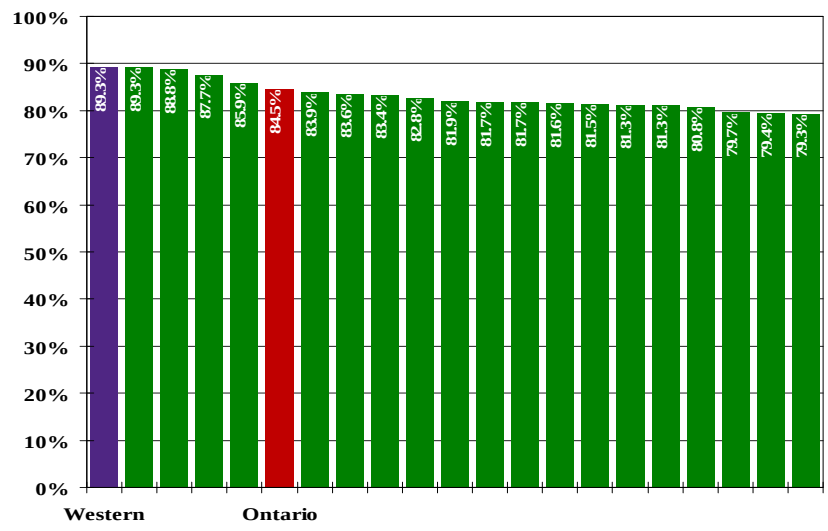


Figure 3

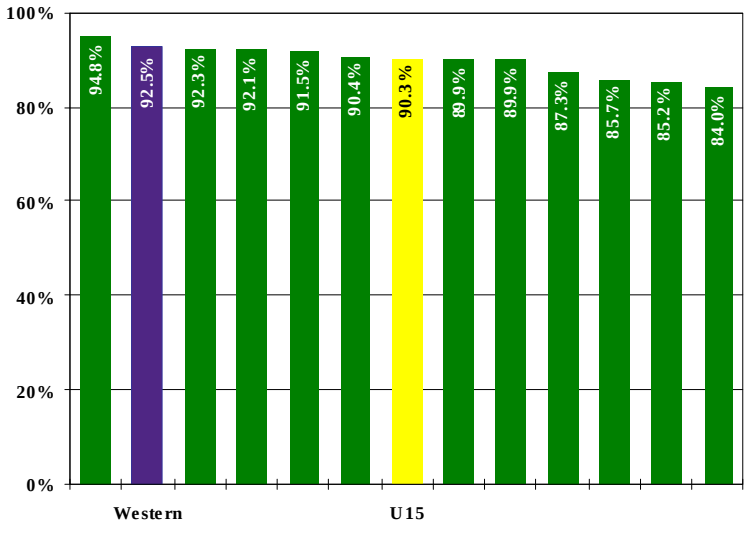
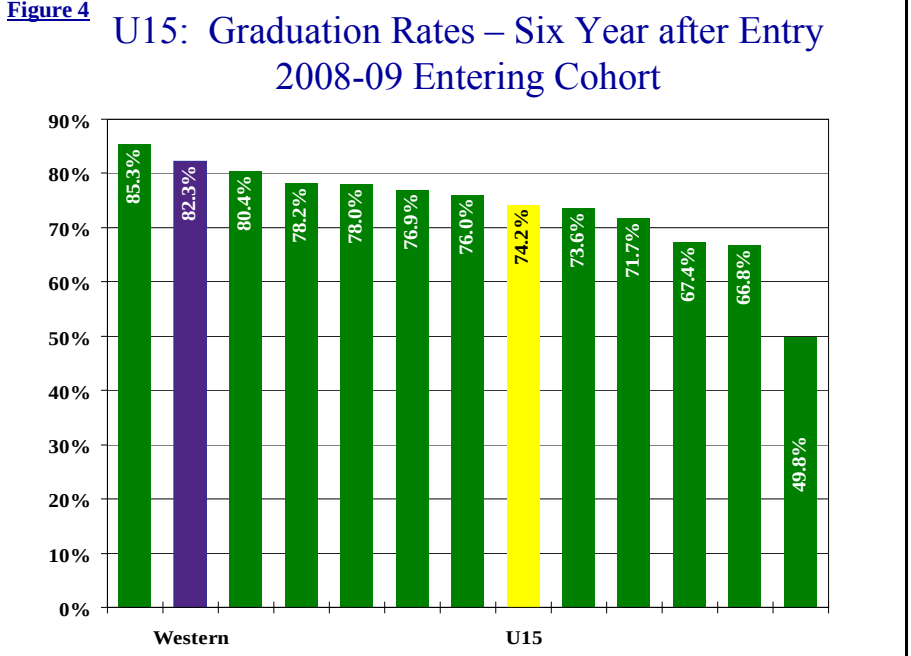


Figure 4

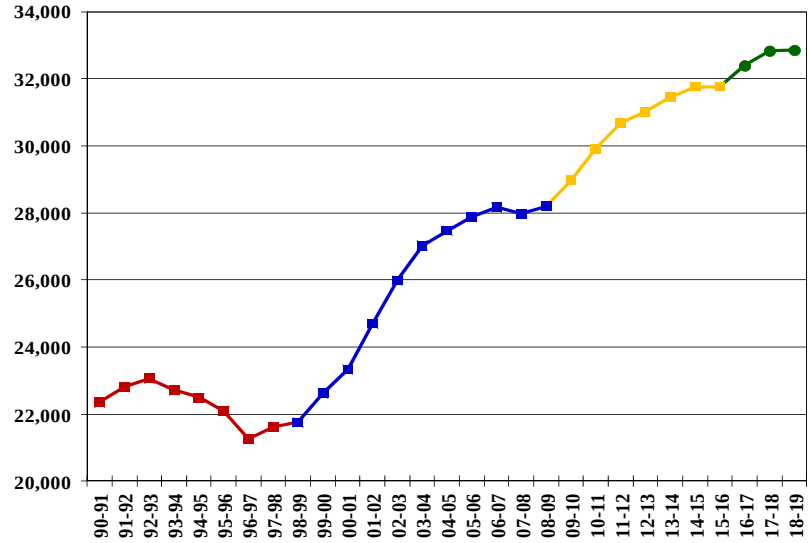


2000-2014: A period of substantial growth in enrolment and revenue

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

In 2003, a new provincial government elected to Queen's Park initiated a review of Ontario's university and college sector which resulted in the development of the *"Reaching Higher"* plan introduced in 2005. Billed as "the largest multi-year investment in postsecondary education in 40 years," the plan would provide for a $6.2-billion cumulative investment in higher education by 2009-10, including $4.275 billion ear-marked for college and university operating grants, which represented a 39% increase compared to the 2004-05 funding base. With this increased investment, the government promised Ontarians they would see "improved access and quality in postsecondary education, better facilities, and that institutions would be held accountable for accomplishing these objectives."

Figure 5



It was during this significant growth period that Western implemented its first multi-year budget plan. Introduced in fall 2002 to start in the 2003-04 fiscal year, this evolution of the budget model aimed to provide the University, its constituent Faculties and support units with a better tool for predicting and managing their revenue and expenditures as well as a tool to aid strategic decision making. Key features of the multi-year budget plan included annual updates to reflect changes in:

- University-level revenue and expenditure projections;
- Faculty Academic Plans that defined teaching and research priorities of Western's Departments, Schools and Faculties;
- Support Unit Operational Plans that defined the priorities of the non-academic units in support of the University's mission;
- unit-specific detailed budget projections for the planning period;
- faculty and staff complement plans for each unit;
- a University enrolment plan; and,
- new strategic initiatives and associated budget investments.

It was also during this growth period that operating funds allocated to Faculties through various revenue sharing mechanisms were increased to better meet needs at the Faculty level. In fact, Western now spends more on teaching and research as a percentage of its operating budget than any other Ontario university while also maintaining a lower student-to-faculty ratio than any of the province's U6 research-intensive universities.

Figure 6

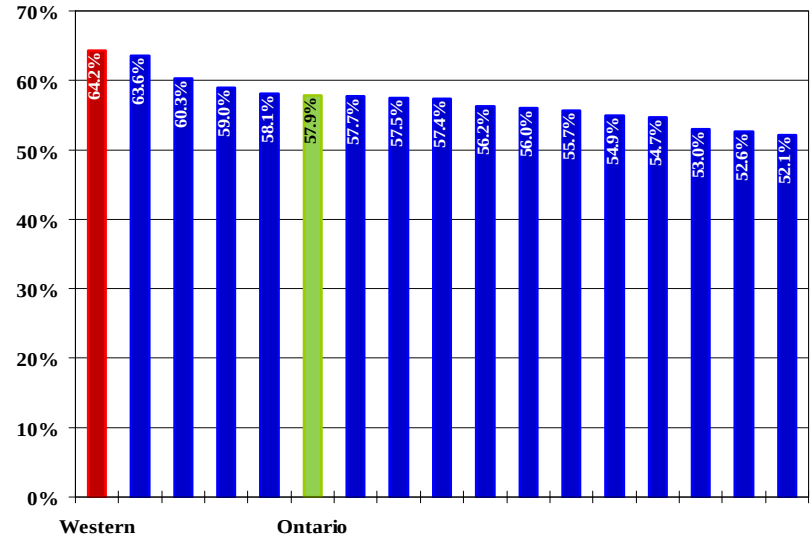
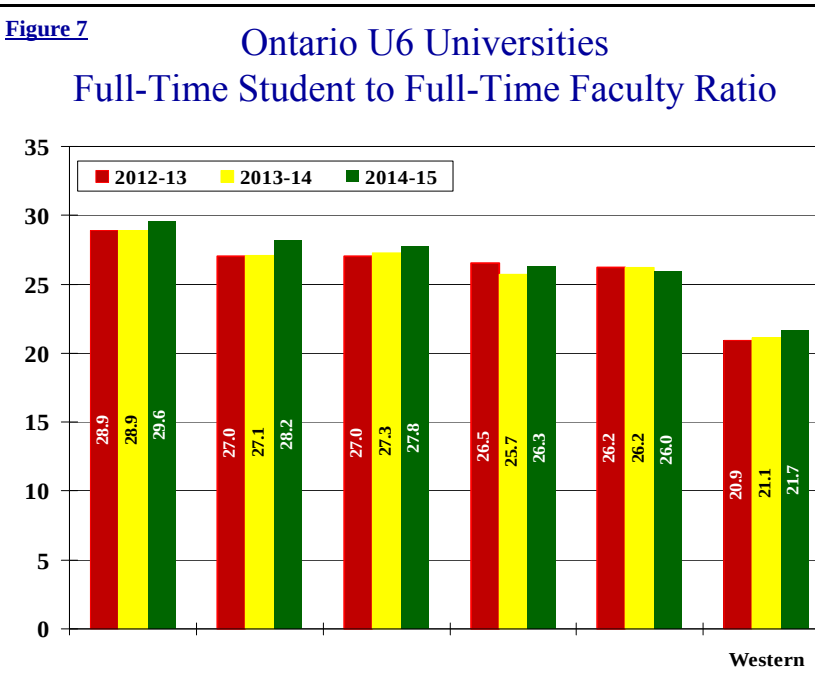


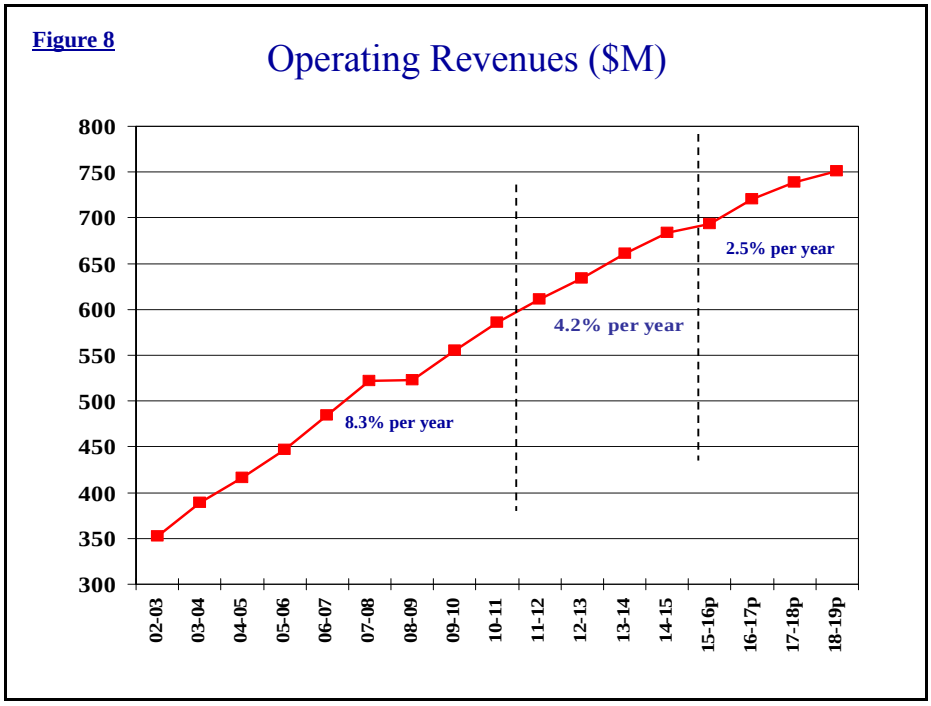
Figure 7



2014 Forward: A period of significantly attenuated growth

Following the global economic crisis of 2008 and the end of the Ontario government's "Reaching Higher" funding commitments in 2010, Western today has entered into a period of significantly attenuated revenue growth. While the University's operating revenue grew by an average of 8.3% from 2002 to 2011, revenue growth slowed to 4.2% between 2011 and 2015 – despite the fact that undergraduate enrolment experienced a modest expansion during this period. However, now that enrolment growth is leveling out, projected revenue growth for 2016 and beyond is estimated at only 2.5% per year, as illustrated in Figure 8 below.

Figure 8



To complicate matters further, while Ontario's highly indebted government is conducting a funding formula review, it has already signaled there is no new money to invest in postsecondary operating grants. Combined with a legislated cap on tuition fee increases (currently set at 3%, with no decision on what might be allowed beyond 2016) it is evident that constrained resources will put increased pressure on Western to find alternative revenue sources and to contain inflationary costs, which includes employee salaries and benefits, utilities, IT infrastructure, deferred maintenance, and library acquisitions.

It is important to note that approximately 85% of Western's operating revenue is enrolment-related. As a result, the University's approach to enrolment planning – which focuses on the priorities of maintaining student quality and responding to student demand/choice of academic programming – has a direct impact on overall revenues, Faculty-specific enrolment/teaching levels, and associated resource needs. While enrolments are the main driver of revenues and expenditures, in order to pursue the aspirations of Western's strategic plan, the hybrid budget

model is structured to allow for selective investments in areas of priority – including support for educational quality, student experience, scholarship/research, interdisciplinarity, and internationalization.

Specific components of Western's current hybrid budget model as it applies to Faculties are described below.

"Incremental" aspects of Western's current budget model

Each Faculty has an established base budget which has evolved over time, reflecting changes in enrolments/teaching, strategic/selective investments, and targeted funding from government. The base budgets are adjusted annually in three ways:

1. As noted earlier in this report, an Initial Budget Adjustment (IBA) – which reduces the base budget by 3% – is applied annually. This adjustment is required to help fund inflationary costs, including annual salary increases. It is also intended to provide central funding to support institutional priorities. However, in recent years, the IBA has not covered the full cost of annual salary increases.

2. The full cost of annual negotiated increases in employee salary and benefits is funded centrally, and this incremental amount is added as required each year to supplement Faculty base budgets. As noted above, in recent years, this addition of central funds to Faculty budgets has exceeded the amount removed from Faculty budgets via the 3% IBA.

3. "Faculty Turnover Recovery" adjustments are applied when a tenured/probationary faculty member past age 55 leaves Western. In the current year, the adjustment returns the greater of $85,000 or 60% of the faculty member's salary to the Faculty budget to enable the hire of another faculty member at the junior level. If the faculty member's departure occurs before age 65, the recovery does not occur until the year in which the member would have reached age 65.

"RCM" aspects of Western's current budget model

Faculties receive substantial additional ongoing funds through an enrolment-related revenue sharing mechanism. A share of incremental revenue (resulting from enrolment-related grant and/or tuition revenue increases) is flowed to individual Faculty budgets on the basis of the following formula:

- 25% on direct-entry undergraduate enrolments/teaching
- 50% on second-entry (or professional) undergraduate enrolments
- 50% on professional Masters enrolments
- 85% on research masters and doctoral enrolments (the remaining 15% is used to support a program aimed at recruiting doctoral students with external awards)

This funding mechanism is an on-going program that is linked directly to enrolment/teaching levels in recognition of the associated incremental costs.

"Performance-based" aspects of Western's current budget model

Selective investments in priority areas/initiatives are made at Western in two basic ways:

1. ***Targeted Government Funding Programs*** – As part of its financial support for universities, the Provincial Government, on a regular basis, provides targeted funding in support of growth in specific areas/programs which are identified as government priorities. Examples over the past 15 years include expansion of Software Engineering and Computer Science, expansion and subsequent reduction of teacher education enrolments, nursing expansion, and expansion of various programs in Medicine. A major portion of such funding flows directly to the Faculties offering the programs.

2. ***Academic Priorities Fund (APF)*** – Western continues its long-standing practice of retaining central funds (base and one-time) to support academic initiatives that directly support the University's institutional priorities in teaching and research as outlined in the most current iteration of its strategic plan. As part of the annual planning and budgeting process, Deans are invited to submit proposals to access the APF for initiatives included in their Faculty Academic Plans that align directly in support of the University's strategic plan.

   Respecting the fact that the value of all requests made to the APF typically exceeds the available funds by a significant margin, a major component of this process involves the Provost's close review of all APF proposals, which includes discussions with the Deans. The Provost's final recommendations are informed by advice from the Vice-Provosts, in the context of the following considerations:
   - The Faculty's overall resource situation relative to enrolments/teaching
   - Plans for program expansion and/or development of new graduate and undergraduate programs
   - Projected revenue sharing allocations
   - Resources relative to similar programs/Faculties
   - Cost structure variations among disciplines/Faculties
   - Relationship between resources, enrolments, and faculty/staff complements
   - Scholarship/research activities and new initiatives, including interdisciplinary or cross-Faculty initiatives

Figure 9 below illustrates changes in Faculty budgets over the most recently completed four-year planning period. Column <a> shows the IBA reductions, column <b> shows the central funding allocations to cover employee salary increases, and column <c> shows the net result which illustrates that, in total, the IBA has not covered the costs of salary increases. Column <d> shows the sum of all other changes to the Faculty budgets possible through the various mechanisms described above, and column <e> shows the net overall impact on Faculty budgets, which equals a total increase of more than $34.6 million during the fiscal period 2011-12 through 2014-15.

Figure 9

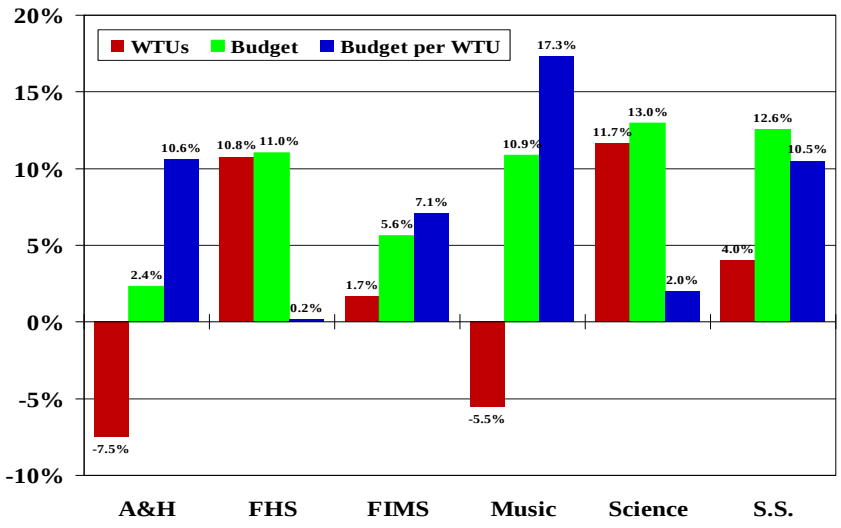
Changes in Faculty Budgets

Total -- Over the Most Recent 4-Year Planning Period: 2011-12 to 2014-15

		<a>	<b>	<c>	<d>	<e>
		IBA	Central Funding for Salary Increases	**Sub-Total**	All Other Changes	**Total Change to Faculty Budgets**
1	Arts & Humanities	-2,860,987	3,916,324	1,055,337	-228,135	827,202
2	Education	-1,265,015	1,056,000	-209,015	2,965,772	2,756,757
3	Engineering	-2,357,555	2,435,505	77,950	3,444,168	3,522,118
4	Health Sciences	-2,840,789	3,452,318	611,529	2,451,441	3,062,970
5	Info & Media Studies	-1,022,407	1,226,778	204,371	495,969	700,340
6	Law	-756,543	843,903	87,360	1,600,218	1,687,578
7	Medicine & Dentistry	-6,295,437	5,865,641	-429,796	7,425,412	6,995,616
8	Music	-956,299	1,150,230	193,931	643,577	837,508
9	Science	-5,010,247	5,407,199	396,952	6,870,389	7,267,341
10	Social Science	-5,180,593	6,149,367	968,774	6,052,385	7,021,159
11	**Total**	**-28,545,872**	**31,503,265**	**2,957,393**	**31,721,196**	**34,678,589**

Figure 10 below illustrates the percent change in enrolments/teaching, budgets, and budget relative to teaching for each of Western's Direct-Entry Faculties with regulated tuition. Here, enrolment/teaching is measured in Weighted Teaching Units (WTUs) which capture overall teaching activity within the Faculties by incorporating graduate enrolments, undergraduate enrolments in professional or 2nd-entry Faculties, and undergraduate teaching which is measured in course registrations – irrespective of the student's Faculty of registration.

Figure 10


Direct Entry Faculties: WTUs, Budgets, and Budget per WTU
% change -- 2014-15 over 2010-11
WTUs
Budget
Budget per WTU
20%
15%
10%
5%
0%
-5%
-10%
-7.5%
2.4%
10.6%
10.8%
11.0%
0.2%
1.7%
5.6%
7.1%
-5.5%
10.9%
17.3%
11.7%
13.0%
2.0%
4.0%
12.6%
10.5%
A&H
FHS
FIMS
Music
Science
S.S.

WESTERN'S INVESTMENT & DEBT MANAGEMENT STRATEGY

Understanding Western's complex budget model requires a complementary understanding of the University's assets and obligations along with its approach to managing investment and debt. As of September 30, 2015, Western held a total long-term investment portfolio with a market value of $1.02 billion. The investment portfolio includes two major components: *Endowed Funds* ($554M) and *Non-Endowed Funds* ($466M). In addition, the University held $379 million in cash and liquid assets to pay its ongoing operating expenses. The University also carries significant debt – $298 million as of April 30, 2015 (fiscal year end), with that amount projected to increase to $330 million based on known construction and renovation commitments.

How Western manages its Endowed Funds

Western's Endowed Funds represent donations held and invested *in perpetuity* with the University's commitment that the investment earnings generated will only be spent for specific purposes as defined by the donors. A generic example of this would be an alumna who donates $1 million to Western to establish an annual scholarship in support of exceptional students in Faculty X. The principle amount of the alumna's gift would be invested in the long-term portfolio, and 4% of the endowment balance (the current annual payout amount) would be disbursed annually to fund the award, with any residual returns added to the individual endowment account. This treatment of residual returns serves two purposes: to compensate for those years when investment returns are less than the amount of the annual payout, and also to maintain the value of the award into the future.

How Western manages its Non-Endowed Funds

The University invests monies received but not required to pay immediate expenses in the long-term investment portfolio, alongside the Endowed Funds. These monies have many sources but are generally received for specific purposes with specific underlying obligations attached to them. Examples include Faculty and Support Unit carry-forwards, residence and tuition fees received but not yet expended, and cash flows associated with research grants received by faculty but not yet expended. All these funds are invested by the University to generate a return with the understanding that the underlying obligations associated with the revenue source must be honoured and replaced by new amounts over time.

As of September 30, 2015, Western's Non-Endowed Funds had a total market value of $466 million with the composition as follows:

• Underlying Obligations	$267 M
• Underlying Market Gains	$199 M
Total	**$466 M**

It is important to understand that the $199M in Underlying Market Gains is the value that would have been realized on September 30, 2015, if the investments were liquidated. In reality, they remain invested in the long-term portfolio and hence bear the risks associated with fluctuating market returns over time. To manage these risks, two mechanisms are employed: the first is that a buffer amount is maintained beyond the value of the underlying obligations to protect against investment losses; the second is a prudent budgeting practice to limit the use of investment returns for *one-time* initiatives only (i.e., not ongoing operating costs).

The context for the above budgeting practice dates back to the global financial crisis in 2008, when Western's investment portfolio experienced an extraordinary loss in market value, as was the case with investment funds around the world. At the time, Western permitted draws to be made from its Underlying Market Gains to support ongoing operational as well as one-time expenditures, and between 2008 and 2011 a total of $46.25 million was ear-marked for those purposes. However, when the market value of Western's Non-Endowed Funds dropped below the value of their Underlying Obligations, the planned draws – which included support of ongoing salaries – had to be cancelled so that the Underlying Obligations could be met. As a result, one-time expenditures were placed on hold and, more significantly, staff reductions had to be made. Subsequently, a management decision was taken (with Board support) to restrict the future use of non-endowed investment reserves (i.e., Underlying Market Gains) to support only one-time expenses, such as financing for capital projects, research matching funds, and debt repayment.

In addition to restricting non-endowed returns to support one-time initiatives, Western also developed an annual stress test for its Non-Endowed Funds portfolio. The test simulates a worst-case scenario that models the impact of historical losses in each of the investment classes held in the portfolio, together with concomitant government funding reductions likely to be experienced in a global equity crisis, as well as the draw of monies to support the underlying obligations likely to be experienced at a time of severe financial constraint. This was last completed using fiscal year-end values at April 30, 2014. The result yielded a simulated shortfall of $27M in cash and liquid assets, and the underlying market gains being reduced to $54M.

Three key conclusions were drawn based upon this simulation. First, Non-Endowed Funds can continue to be invested alongside the Endowed Funds in a long-term portfolio so long as a sufficient amount of liquidity is maintained outside the portfolio (in the cash and liquid assets balances). Second, a sufficient buffer must be maintained between the underlying obligations and the unrealized market gains. And third, caution must be exercised on withdrawals and commitments made from the underlying gains generated. It should be noted that Western's long-term investment strategy for its Non-Endowed Funds has generated impressive returns for the University for many years. For example, during the 20-year period between September 30, 1995, and September 30, 2015, Western has realized an average annual return of 7.9%.

How Western manages its debt

For an institution of Western's large scale and complexity, a certain amount of debt is required to finance essential capital construction, renovation and maintenance projects that provide faculty, students and staff with the appropriate facilities and infrastructure to meet their teaching, learning, research and service needs. Historically government funding for such capital projects has been limited and in more recent years has been eliminated almost entirely. In the absence of other sources to pay for capital projects, the University has had to turn to debt. To put this in perspective, as of February 2015, Western owned 522,000 square metres of space in 68 major academic buildings; another 258,000 square metres of housing space, including 11 undergraduate residences, four apartment buildings and several smaller buildings for graduate housing; and numerous ancillary buildings including the Western Student Recreation Centre, Thompson Recreation & Athletic Centre, TD Stadium, Boundary Layer Wind Tunnel, Child Care Centre, Ivey Spencer Leadership Centre, and certain facilities at Western's three Research Parks.

Over the last 10 years, Western's annual capital expenditures have averaged $97M. During that same period, the University's debt grew from $121M to $299M, which in the early years provided significant support for new residence projects which have inherent repayment sources. More recent capital projects have largely been for academic buildings which do not have inherent repayment sources. To finance the capital requirements of its buildings and infrastructure, as of April 30, 2015, Western held three forms of debt. It breaks down as follows:

• Debenture, due May 2047	$189 M
• Mortgages	$ 9 M
• Bank borrowings, due October 2026	$100 M
Total	**$298 M**

In approving the issuance of the debenture in 2007, the Board of Governors stipulated a requirement that the University establish a "sinking" fund, commencing in 2017, to ensure that adequate savings are accumulated over 30 years to retire the debenture when it becomes due in 2047. It is also worth noting that while Western's debt load is relatively high compared to that of its peer institutions, the University enjoys a favourable credit rating (AA with stable outlook) from Standard & Poor [2]. There are several reasons for this but chief among them is the strong demand from students seeking admission to Western, as well as the level of reserves the University maintains (pointing to the market gains in the non-endowed funds).

[2] ***Standard & Poor's Financial Services LLC (S&P)*** *is an American financial services company. It is a division of McGraw Hill Financial that publishes financial ratings services, research and analysis on stocks and bonds. S&P is known for its stock market indices such as the U.S.-based S&P 500, the Canadian S&P/TSX, and the Australian S&P/ASX 200. S&P is considered one of the Big Three credit-rating agencies, which also include Moody's Investor Service and Fitch Ratings.*

ALTERNATIVE UNIVERSITY BUDGET MODELS

As referenced earlier in this report, the Budget Model Task Force reviewed a report generated by The Education Advisory Board (EAB) titled *"Optimizing Institutional Budget Models."*[3] This same report was also presented and discussed in detail at the annual Deans Retreat held with Western's senior academic leadership team August 31 & September 1, 2015.

In addition to defining three fundamental university budget models (Incremental, RCM and Performance Based, as described on pg. 3 of this report), the EAB document summarizes key findings from the 35 research briefs it has produced on university budget models between 2008 and 2013. Among the conclusions reached through its research, EAB describes the incremental model as one "that no longer works" because it "ignores differential opportunities and costs." While incremental budgeting is not without some advantages (e.g., relatively simple for leaders to understand and manage, shares resources equitably, which minimizes year-to-year disruption and "political squabbling"), EAB suggests these advantages are outweighed by the model's disadvantages, which include the disincentives it creates for growing revenue and controlling costs; the absence of linkages between investments and outputs; and the difficulty of maintaining the model when revenue is no longer growing.

While an estimated two-thirds of North American universities use some form of incremental budgeting, The Education Advisory Board observes that a growing number of schools are adopting Responsibility Centered Management (RCM) models – including Toronto, McMaster and Queen's in Canada – in which revenue is allocated to the unit that generates it and the unit therefore assumes responsibility for all direct and indirect expenses.

Top reasons for why some institutions choose to shift toward RCM models include the desire to incentivize revenue growth when public funding is on the decline, improve transparency, control costs and increase capacity for strategic investment in institutional priorities. As noted earlier in this report, the Ivey Business School operates under an RCM model. When Ivey adopted this model in 2003-04, there were several compelling reasons for doing so, including the opportunity to significantly grow HBA enrolments (driven by student demand) at a significantly higher tuition rate when compared to student fees charged in other disciplines. Further, the business school is also able to generate additional revenue through ancillary activities (e.g., case publishing, executive education) not necessarily available in other Faculties.

Notwithstanding the success Ivey has achieved while operating under an RCM budget model, it should be noted that The Education Advisory Board has observed instances where American universities that had moved toward RCM models have since begun to retreat from that decision

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

after encountering a range of unanticipated challenges. Indeed, the EAB concludes that the jury is still out on RCM's efficacy to produce desired changes in enrolment, revenue growth and cost containment. What seems evident, however, is that RCM models may work well for some institutions and not for others, depending on their unique circumstances. What is also clear is that the scope of time, money and organizational culture change required to make the transition to an RCM model has proven to be significant at universities that have chosen to embark on the journey.

SUMMARY OF INPUT FROM THE CAMPUS COMMUNITY

In addition to reviewing background information on Western's budget model as well as research on alternative university budget models, the Task Force solicited and reviewed input on the budget model from members of the campus community. The following descriptions summarize feedback received/heard by the Task Force during its consultation period between September 24 and November 26, 2015. During this time, the Task Force received a total of 12 confidential written submissions. It also hosted two Town Hall meetings on October 20 and 26 (attended by ~75 people). As well, background information on Western's budget model and investment and debt management strategy was presented and discussed at the November 26 Leaders Forum and at the December 4 Senate meeting.

All input was received and reviewed by the Task Force under two broadly defined categories. *"In Scope"* refers to comments determined by the Task Force to have a clear bearing on its mandate to assess the strengths and weaknesses of Western's current budget model. *"Outside Scope"* refers to comments determined by the Task Force to fall outside its mandate (e.g., requests and suggestions for increased resource allocation toward specific purposes) but which have been received under advisement for potential consideration in other forums.

In Scope

1. **Problems with funding support for graduate students and postdoctoral scholars:** Several comments were received and heard on this issue, which were referred to the Sub-Committee on Graduate Funding for in depth review. Please refer to its report for more details.

2. **Lack of understanding and clear, transparent communication on the budget itself:** Several comments highlighted there is limited understanding by many campus members on how Western generates revenue, how the budget is developed (including the purpose and application of the annual IBA), and how funds are allocated across the academy.

3. **Barriers to interdisciplinary collaboration**: Comments suggested that Western's budget model should include more mechanisms to increase cooperation between academic units and disciplines while reducing competition and operational/budgetary inefficiencies.

4. **Change use of non-endowed funds**: Comments suggested that Western's policy of not using investment returns from non-endowed funds to support operating budgets needs to be reconsidered.

5. **Centralized vs. decentralized provision of administrative services:** Comments suggested that because Western spends less on non-instruction/research activities as a percentage of its operating budget than its peers, duplication of service at the local and central level is particularly inefficient.

6. **Advocacy for a more "participatory" budget model:** Comments suggested that campus community members who will bear the brunt of negative consequences emanating from budgetary decisions should have greater input on how those decisions are made.

Outside Scope

1. **More funding requested:** Several comments asked that more operational or capital funding be allocated in support of specific academic or operational units/functions — ranging from improved campus maintenance to procurement of lab instrumentation.

2. **Differentiated enrolment standards:** Comments suggested that Western's common first-year minimum entering standard across the academy limits potential for maintaining enrolment in specific disciplines where student demand is trending downward, and that this policy should be reviewed.

3. **Students and internationalization:** Comments suggested that sending students abroad works at counter-purposes to the imperative of maintaining and increasing enrolment in some disciplinary areas. Related comments suggested that all students have a modern languages course requirement as a means to increasing enrolment in that disciplinary area.

BUDGET MODEL TASK FORCE FINDINGS

1. While recognizing the need to continue evolving Western's "hybrid" budget model in order to respond to ongoing changes in the external funding environment – as well as to respond to institutional challenges, priorities and aspirations – strong support remains for the underlying principles that drive the current model: maintaining high student quality, retention and graduation rates within the context of a research-intensive university.

2. The complexity of Western's budget model is an inherent weakness insofar as it presents many difficult communication challenges, especially for senior academic and administrative leaders. Among the various tactics that could be employed to improve budget communication, the following could be considered:
    a. Senior leaders to host town halls both at the campus and Faculty/Unit level at appropriate times during the annual planning and budgeting cycle
    b. Make better use of web and other campus media (e.g., Western News)
    c. Senior university leaders to attend Faculty Council meetings when budget planning is discussed
    d. Deans to engage Department Chairs and School Directors, and their Administrative Officers more actively in the budget planning process
    e. Budget unit heads need to engage more actively in finding ways to simplify budgeting processes and related communication.
    f. Increase opportunities for more timely input on budget decisions at the Departmental level.

3. A key strength of Western's hybrid budget model resides in its demonstrated ability to evolve over time and to adopt various components found in Incremental, RCM and Performance-based models as a means of balancing the need and desire for – *and tensions between* – academic priorities and revenues, Faculty/Unit autonomy, centralized institutional oversight.

4. Strong support remains for the University to retain some central capacity to invest selectively in institutional priorities that support Western's overarching mission and vision as offering the best academic experience for students at a research-intensive university that aspires to compete on the global stage.

5. With the notable exception of the Ivey Business School, which has operated successfully within an RCM framework since 2003-04, the Task Force found no evidence or advocacy during its consultations in support of shifting Faculty budgets further toward an RCM model. Because RCM models require individual Faculties to generate all revenue required to meet all of their expenses, the application of an RCM model would be likely to have disastrous consequences for certain Faculties unable to meet their financial requirements on an independent basis. The Task Force believes that the risks associated with applying an RCM model across all Faculties and Schools would run counter to Western's identity as a

comprehensive university committed to achieving excellence in the full range of academic disciplines.

6. Confusion arising from the lack of understanding about the purpose and application of the Initial Budget Adjustment (IBA) is a particular weakness of the current budget model. While there is no support for shifting responsibility for the inflationary costs that the IBA is intended to cover from the central budget to Faculties/Support Units, there is a clear need to change the terminology and improve communication on how it works.

7. Particularly during periods of resource constraint that place Faculties and Support Units under extra pressure to increase revenue and control costs, there is an appetite among community members for clearer, more timely, and more transparent communication about how the budget planning process works, how investment and debt management policies work, and how the government funding and tuition policy environment influence and drive budgetary decision-making.

APPENDIX A

PROVOST'S TASK FORCE ON UNIVERSITY BUDGET MODELS

Terms of Reference

Solicit input from the members of the Western community concerning the strengths and weaknesses of the current university budget model (including the budget model for graduate student support), and possible alternative budget models, in supporting the academic mission of our University.

Survey budget models used at comparator universities and attempt to assess how effectively those models support the priorities of those institutions.

Issue a report summarizing the input it receives and its findings before the end of 2015 (extended to February 2016).

Task Force Members

- **Janice Deakin**, Provost & Vice-President, Academic (Chair)
- **Gitta Kulczycki**, Vice-President (Resources & Operations)
- **Bob Andersen**, Dean of the Faculty of Social Science
- **Margaret Steele**, Vice Dean, Hospital & Interfaculty Relations, Schulich School of Medicine & Dentistry
- **Krys Chelchowski**, Director of Administration, Faculty of Health Sciences
- **Matt Davison**, Chair of the Department of Statistical & Actuarial Sciences
- **Craig Dunbar**, Associate Professor, Finance, Ivey Business School
- **Ashraf El Damatty**, Chair of the Department of Civil & Environmental Engineering
- **Helen Fielding**, Chair, Women's Studies and Feminist Research, Faculty of Arts & Humanities
- **Stephen Jarrett**, Legal Counsel
- **Angie Mandich**, Associate Professor, School of Occupational Therapy
- **Thomas Sutherland**, Graduate Student Senator, Department of Chemistry
- **Glen Tigert**, University Registrar
- **Arjun Singh**, Undergraduate Student Senator (Observer)

Resources to the Task Force

- **Alan Weedon,** Vice-Provost (Academic Planning, Policy & Faculty)
- **Ruban Chelladurai,** Associate Vice-President (Planning, Budgeting, and Information Technology)
- **M. Karen Campbell,** Special Advisor to the Provost, Vice-Provost Elect (Academic Planning, Policy & Faculty)
- **Malcolm Ruddock,** Executive Assistant to the President and Provost

APPENDIX B

GRADUATE FUNDING SUB-COMMITTEE OF THE PROVOST'S TASK FORCE ON UNIVERSITY BUDGET MODELS

Terms of Reference

Collect relevant data in order to document and understand the Faculty-specific strategies and approaches to funding of graduate students at Western.

Identify key issues in graduate student funding.

Identify and document best practices in graduate student funding.

Submit a detailed report on the above to the Provost's Task Force by Nov. 30 2015 (extended to Jan. 19, 2016).

Sub-Committee Members

- **M. Karen Campbell**, (Chair) Special Advisor to the Provost, Vice-Provost Elect (Academic Planning, Policy, & Faculty)
- **Pam Bishop**, Associate Dean (Graduate Studies), Faculty of Education
- **Ashraf El Damatty**, Chair, Department of Civil & Environmental Engineering, Faculty of Engineering
- **Matt Davison**, Chair, Statistical and Actuarial Sciences, Faculty of Science
- **Helen Fielding**, Chair, Women's Studies and Feminist Research, Faculty of Arts & Humanities
- **Tamara Hinan**, President, SOGS and Graduate Student, Department of Political Science
- **Doug Jones**, Vice-Dean (Basic Medical Sciences), Schulich School of Medicine & Dentistry
- **Ruth Martin**, Associate Dean (Graduate Programs), Faculty of Health Sciences
- **Margaret McGlynn**, Assistant Dean (Graduate & Postdoctoral Studies), Faculty of Social Science
- **Tom Sutherland**, Graduate Student Senator, Department of Chemistry

Resources to the Sub-Committee

- **Linda Miller,** Vice-Provost (Graduate & Postdoctoral Studies)
- **Alan Weedon,** Vice-Provost (Academic Planning, Policy & Faculty)
- **Ruban Chelladurai,** Associate Vice-President (Planning, Budgeting, and Information Technology)
- **Malcolm Ruddock,** Executive Assistant to the President and Provost

Report of the Graduate Funding Sub-Committee of the Provost's Task Force on University Budget Models

January 25, 2016

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1. Introduction

As one of Canada's largest research-intensive universities, Western is committed to graduate education. Western also recognizes that students who choose to undertake full-time graduate studies are choosing to delay their entry into the full-time workforce. To help off-set the financial burden associated with full-time graduate study, Western provides funding support packages for eligible and qualified Research (Category I[1]) Masters and PhD students. In fact, in 2014-15, Western distributed a total of $90.9M in graduate student support from all sources. While this support is not intended to replace potential full-time employment earnings, it does achieve its goal of reducing the cost of investment in full-time study and mitigating financial barriers for students who otherwise may be unable to pursue full-time studies.

"Graduate student support" is defined and discussed in this report as one component of the University's total cost of providing graduate education. Other costs include the deployment of faculty, staff, and physical resources to graduate programs. Western provides graduate student support from various internal and external sources, all of which are described later in this report. The top four sources are Western Graduate Research Scholarships (WGRS), Graduate Teaching Assistantships (GTAs), support from supervisors' research grants, and external scholarships received by students. Combined, these four sources contribute 85% of support dollars that flow to Western's students. All resources are combined in a strategic manner to optimize graduate student support whereby individual students with funding packages of equal value may have their packages constructed from a different combination of sources.

It is important to note that key resource allocation decisions related to graduate student support at Western are generally made at the Faculty level. In some Faculties, decision making is further decentralized to the program level. Each Faculty or program makes its own decisions on how to assemble graduate student support packages in a manner that best enables them to attract, retain, and support top students. Therefore, graduate student support packages may be assembled differently from Faculty-to-Faculty or program-to-program, with available resources deployed in different proportions. In fact, support packages may vary from student-to-student, even within the same program, reflecting student-specific eligibility for access to different funding sources. Funding packages will be described in greater detail later in this report.

Because graduate student support is achieved at Western through decentralized decisions involving multiple internal and external resources, there is a complex array of strategies for assembling individual packages. It is evident that there are substantial differences across campus in the allocation models used and the extent to which funding decisions are documented, communicated, and understood. This underscores the importance of this sub-committee's work. This report aims to build a common understanding of the key issues underlying graduate student support while offering recommendations to improve documentation and communication.

[1] Western has a parallel priority to provide high quality professional (Category II) graduate programs. Students in professional programs are generally not eligible for graduate student support packages. Category II programs will be discussed in a later section of this document.

2. Sub-Committee Mandate, Membership, and Process

The sub-committee was charged with the following Terms of Reference:

a. To collect relevant data in order to document and understand the Faculty-specific strategies and approaches to funding of graduate students at Western
b. To identify key issues in graduate student funding
c. To identify and document best practices in graduate student funding
d. To prepare and submit a detailed report on the above to the Provost's Task Force on University Budget Models

The sub-committee membership was multi-Faculty and included a variety of perspectives including graduate students, Associate Deans, and Department Chairs.

The sub-committee members were:

M. Karen Campbell	Special Advisor to the Provost
Pam Bishop	Associate Dean (Graduate Studies), Faculty of Education
Ashraf El Damatty	Chair, Civil and Environmental Engineering, Faculty of Engineering
Matt Davison	Chair, Statistical and Actuarial Sciences, Faculty of Science
Helen Fielding	Chair, Women's Studies and Feminist Research, Faculty of Arts and Humanities
Tamara Hinan	President, SOGS and Graduate Student, Department of Political Science
Doug Jones	Vice-Dean (Basic Medical Sciences), Schulich School of Medicine & Dentistry
Ruth Martin	Associate Dean (Graduate Programs), Faculty of Health Sciences
Margaret McGlynn	Assistant Dean (Graduate and Postdoctoral Studies), Faculty of Social Science
Tom Sutherland	Graduate Student Senator and Graduate Student, Department of Chemistry

Available as resources to the committee were:

Linda Miller	Vice-Provost, Graduate and Postdoctoral Studies
Alan Weedon	Vice-Provost, Academic Planning, Policy, and Faculty
Ruban Chelladurai	Associate Vice-President (Planning, Budgeting, and Information Technology)
Malcolm Ruddock	Executive Assistant to the President and Provost

Between September and December 2015, the committee met on 7 occasions for 1-2 hours on each occasion. The committee considered the following sources of information:

- Financial data pertaining to graduate program funding and graduate student support provided by the Office of Institutional Planning and Budgeting (IPB) and the School of Graduate and Postdoctoral Studies (SGPS)
- consultations with graduate students, graduate program Chairs/Directors, and Associate Deans to identify key issues, processes, and priorities (a list of consultation meetings is provided in Appendix A)
- letters submitted by faculty, staff, and students in response to calls for input by the Provost's Task Force and by this sub-committee

3. Western's budgetary allocations to Faculties in support of graduate education

Resources are allocated to Faculty budgets to fund expenses related to graduate education. A more detailed description of the history of these allocations is presented in Appendix B. Briefly:

- Prior to 1996, Faculties received budget allocations for academic activities which included graduate education. The rationales underlying these historic allocations are not documented and the funding assumptions underlying historical Faculty base budgets are no longer known.
- Beginning in 2002, there were ongoing allocations, to the University and to Faculties, attributable to incremental enrolment growth in alignment with the provincial government's strategies for investing in universities.
- In two fiscal years, 2010-11 and 2014-15, funds were transferred to Faculty base-budgets to off-set the costs of providing programming, incremental faculty positions and student funding to support incremental graduate enrolments. The total amounts transferred, across the two years, was $47.8 M. Included in the transfer in 2010-11 was $22.8 M associated with the former Graduate Student Scholarship and Training Fund (GSSTF). The GSSTF amounts contained a historic disciplinary adjustment whereby specific Faculties received larger per-student amounts based on their lower use of, and lower access to, student support from external research grants.
- In addition to the above transfers to base budgets, there have been ongoing annual one-time transfers to the Faculties in association with incremental enrolment growth (graduate and undergraduate). The current revenue sharing mechanism, which reflects growth incremental to 2013-14 enrolment, is described in Appendix C.

The above base and one-time transfers have been provided to the Faculties based on enrolment growth. Faculties are then responsible for allocation of the resources to the Faculties' academic priorities through the annual planning and budget process. Through this mechanism, Faculties allocate the resources to graduate student support, as well as to hiring/retaining faculty and staff and acquiring/sustaining other resources necessary to support incremental graduate and undergraduate enrolments. Faculties have chosen to allocate different proportions of the above base and one-time transfers to graduate student support. This will be seen later in Section 5.

It should be noted that Western's incremental revenue sharing is based on the current provincial funding formula. Provincial operating grants to the University include a historical base funding envelope plus increments based on a variety of targeted funding programs including incremental undergraduate and graduate enrolment growth. As well, Western generates tuition revenue from domestic students which is regulated by government and international students which is deregulated. Any change to the provincial grant structure or provincial regulation of domestic tuition increases (for example, a tuition freeze) will influence revenues that support enrolment expansion.

4. Graduate student support at Western

The data on graduate student support presented below have been obtained from Western's student information systems and human resources information systems. Not accounted in the amounts described below are any amounts that do not get distributed to students through Western's financial systems (e.g., employment outside of Western, payment of tuition or stipend directly by an outside agency/government, OSAP, etc.).

In 2014-15, Western delivered a total of $90.9M of financial support to graduate students. Of this, approximately $55M (61%) was from the University's operating budget, with the remainder from external sources such as supervisor research grants and student scholarships. The proportions of internal and external funding in graduate student support packages vary among disciplines.

Data from 2013-14 (on average funding per recipient) comparing Western to other U-6 institutions (the Ontario members of the Canada's U-15 research-intensive universities) indicate that:

- Western places high among U-6 institutions in terms of the proportion of internal (operating budget) funds directed to graduate student support;
- Western places lower among U-6 institutions in the proportion of support graduate students received from external scholarships.

In light of the second bullet point above, the sub-committee sought additional data in regards to factors influencing externally funded tri-council graduate student scholarships. At the Masters level, NSERC and SSHRC applications are adjudicated internally at Western and the University is limited with a quota of awards it can receive. At the doctoral level, Western is limited by a quota of applications it can submit, and the applications are reviewed externally by a committee that reports to the granting agency. Western's NSERC and SSHRC quotas for graduate student awards and applications are based on the volume of research grant activity (by Western faculty members) funded by these agencies. So, faculty grant success rates directly influence the number of awards Western graduate students can apply for and receive.

It is important to note that doctoral awards are portable. For example, a Western Masters student who secures (from an application through Western's quota) a scholarship for their PhD studies may accept the award at another Canadian institution and vice versa. Data provided to the sub-committee by SGPS on NSERC and SSHRC doctoral scholarships reveals evidence of transfers in both directions: scholarships transferred out of Western and scholarships transferred into Western. This is likely also true of CIHR scholarships, but we do not have direct data on this because the applications go directly to CIHR rather than through SGPS. Attracting and retaining scholarship award-holders is a priority and is discussed later in this report in the context of "top-up" funding provided for such students.

Figure 1

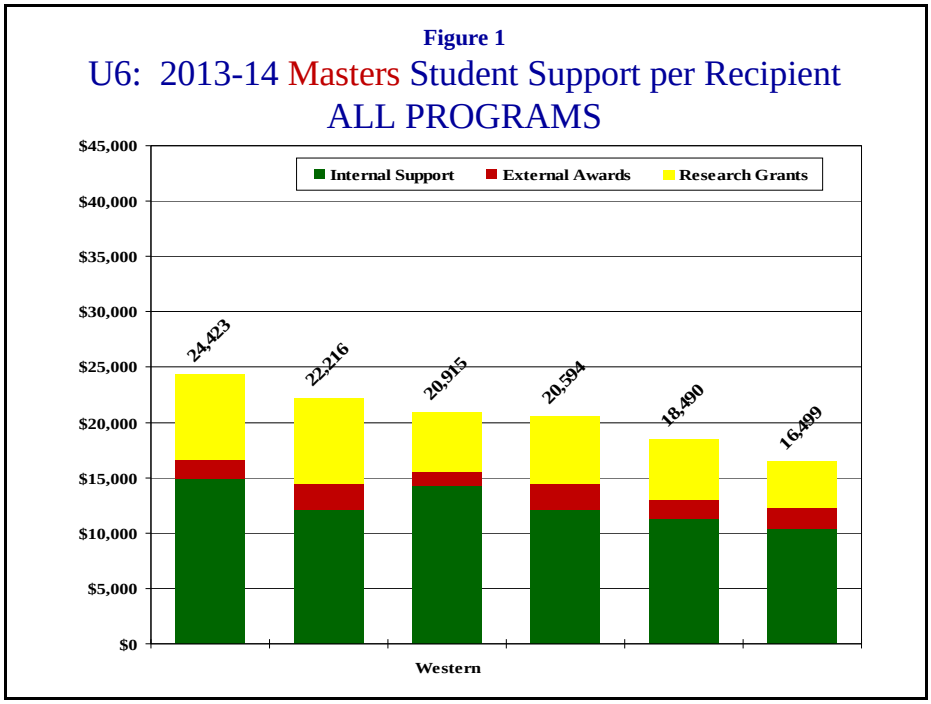
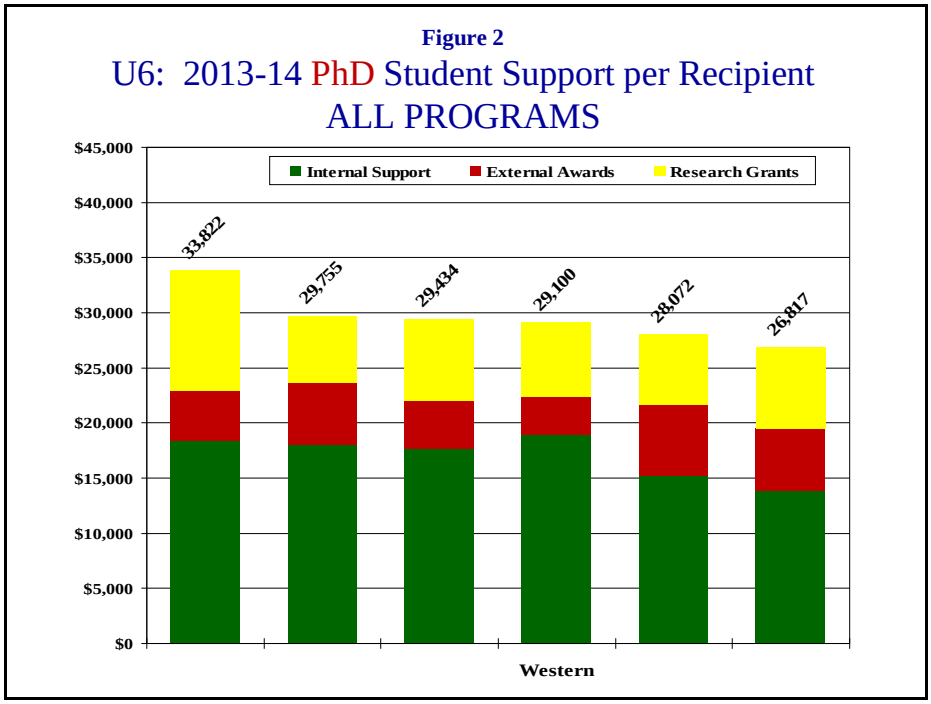


Figure 2



5. Faculty-specific patterns of graduate student support in the last fiscal year (2014-15)

The sub-committee examined data on graduate student support distributed in 2014-15 stratified by the various sources from which it was derived. The $90.9M of financial support distributed to graduate students at Western in 2014-15 was provided to the following student groups:

- $77.2M to "fundable" Category 1 (Research) Masters students and PhD;
- $5.9M to PhD and Category 1 Masters students past their fundability period ("year X" students)
- $7.9M to Category 2 Masters students

Sources of Graduate Student Support

The $77.2M in financial support distributed to Western's fundable[2] Category I Masters and PhD students in 2014-15 came from the following sources.

- 28.6% from Western Graduate Research Scholarship (WGRS); this is provided by Faculties to qualified students
- 28.0% from Graduate Teaching Assistantships (GTA) and other course support such as proctoring and grading
- 21.9% from the supervisor's research grant (usually external but occasionally internal) are used to fund Graduate Research Assistantships (GRAs), which is a mechanism to support a student's work on his or her thesis research project, plus Research Assistantships (RAs) in which a faculty member's research grants are used to employ a student to work on the faculty member's research
- 16.9% from external scholarships from SSHRC, CIHR, NSERC and other external agencies
- 0.8% from donor awards, including endowed student support awards as well as OGS, Queen Elizabeth II and Trillium Awards; the latter are competitive provincial awards that are allocated to the University and adjudicated internally. Two thirds of the funding for these provincial awards comes from MTCU and a matching one third comes from donor funds.
- 0.8% from faculty salaries in roles such as teaching a course as a part-time faculty member
- 0.6% from Faculty Operating Awards, which are scholarships generated within the Faculty
- 0.4% from other Western employment, including co-op and work study employment
- 2.0% from other sources (e.g., MITACS, tri-council foreign study supplements, etc.)

[2] The typical fundability period for Category I Masters students is up to 2 years of full-time registration. The typical period of fundability for full-time PhD students is four years for direct-entry students and five years for those who transfer from Masters to PhD studies.

Graduate Student Support by Source and by Faculty of Registration

The various sources of the $77.2M in financial support for fundable Category I graduate students are available to the Faculties in varying amounts and are used by the Faculties to construct financial support packages as shown in Figure 3.

The committee examined detailed Faculty-specific funding data[3] and made the following observations:

i. **The strategies for constructing student financial support packages from available resources differ from Faculty-to-Faculty.** Generally speaking, the data confirm that Faculties with predominantly SSHRC-funded disciplines deliver a larger fraction of student support from internal resources. Conversely, the data also confirm that Faculties and programs with NSERC-funded and CIHR-funded disciplines provide a larger fraction of support to students in the form of GRA, which are largely funded from supervisor grants. The sub-committee also reviewed the sources for financial support packages at the program level and observed that there is also variation from program-to-program within Faculties as well as variation from student-to-student within programs, and variation for individual students at different stages in their program.

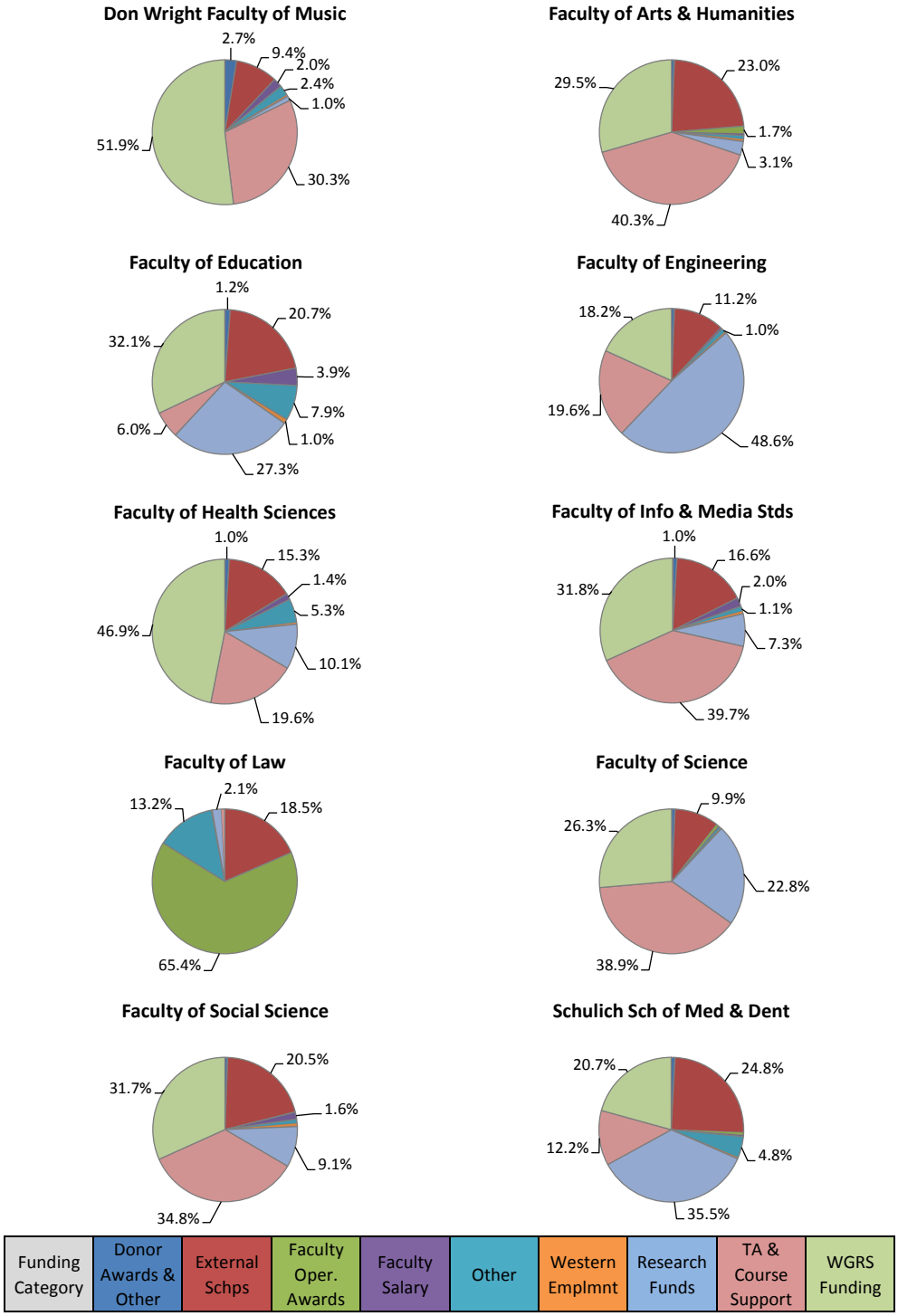
ii. **There is variation around the average level of support.** The committee was told that where very low doctoral funding levels are reported in Western's financial information systems it is generally for students who have waived University-based support packages due to support that flows to them from external sources (e.g., sponsored international students may have resources delivered directly to them rather than through Western's financial systems). The very highest levels of student support are typically received by those who hold high-value external scholarships such as the Vanier Scholarship.

Setting the Faculties' funding models

The Associate Deans provided information on how resources flow to programs within their Faculties. This information was collected by SGPS and transmitted to the sub-committee. It is important to note that this information was provided in mixed formats, with different types of detail. In general, the information highlighted that Faculties that allocate greater fractions of internal resources to programs, were able to report exactly how support was allocated at the program level. These Faculties had detailed models that directed programs regarding allocation to each category of graduate student. In contrast, in Faculties with large supervisor research grant contributions to student support, Associate Deans were able to report what internal resources flowed to the programs, but did not direct allocation beyond that. This reinforced the sub-committee's observation that accountability for graduate student support allocations rests at various levels.

[3] Greater detail on Faculty-specific support of all students is available to members of the University community at https://www.ipb.uwo.ca/internal/Faculty-Specific-Graduate-Student-Support-Data.pdf

Figure 3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Faculty of Health Sciences
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Faculty of Social Science
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34.8%
Schulich Sch of Med & Dent
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24.8%
12.2%
4.8%
35.5%
Funding Category
Donor Awards & Other
External Schps
Faculty Oper. Awards
Faculty Salary
Other
Western Emplmnt
Research Funds
TA & Course Support
WGRS Funding

6. What the Committee heard regarding key issues and practices

Many of the issues heard from the community are related to lack of clarity and understanding of the program/Faculty-specific rationale for student support. As well, there were variations in how well programs communicated to individual students regarding the details of their own support package. The sub-committee also heard worries about the sustainability of some components of funding as well as varying opinions on the specific priorities that should drive allocation decisions. The latter can only lead to informed discussion and potential solutions in the presence of better documentation and communication of program/Faculty-level practices and policies for constructing student financial support packages from the various available sources..

Varied levels of understanding, documenting and communicating graduate student support strategies

Student comments included the following:

a. Not all students feel well-informed regarding how their program constructs graduate student support packages. Further, some do not understand the rationale behind their own funding package and why their package is not identical to other students in their program.
b. Some students are concerned that their sources of support could change. This concern existed even if the total support dollars in the package remain constant. There is a perception of "losing" a component when it is reduced in favour of another funding source. (e.g., if receipt of new GTA support for a term leads to a lower amount received in WGRS funding, students perceive this as taking away something of which they have a right to a "fair share").
c. There are specific advantages attached to certain funding components. For example, the GTA component carries some extended health care benefits and the WGRS component can be credited directly to the students' tuition account, thus reducing the out-of-pocket tuition expense.
d. Some students indicated that they have difficulty finding a staff or faculty member able and willing to fully explain their support package and any changes.

Feedback from faculty suggests that:

a. Not all faculty understand the rationale behind their program's strategies for funding.
b. Many faculty do not understand the funding strategies in programs other than their own and therefore make assumptions (sometimes incorrect) regarding funding strategies elsewhere. This leads to polarizing discussions.
c. Supervisors and graduate programs all put priority on maximizing support to their graduate students and also view this as important for attracting and retaining strong students.

Sustainability of student support strategies

Some faculty in disciplines that historically rely most heavily on internal sources of student support expressed worry about the sustainability of funding given it is dependent on enrolments.

Some faculty in disciplines that rely heavily on GRAs from supervisor external research grants worry about the sustainability of graduate student funding in an environment of lower tri-council grant application success rates. As well, faculty research programs are impacted by the latter. Specifically, in NSERC-funded and CIHR-funded disciplines, graduate students are key contributors to future faculty research grant success (e.g. the student and the supervisor are co-authors on the publications arising from the student's thesis research), so there is a real risk of a downward spiral in both faculty research outputs and faculty capacity to take on future students. Some faculty also reported that uncertainty in the external funding climate influences the supervisor's willingness to undertake a multi-year financial commitment to a PhD student and some opt instead to recruit postdoctoral research trainees.

"Top-up" funding to attract and retain students with external scholarships

Students who do not hold external scholarships are provided with support packages comprised entirely of internal and external resources (i.e., mainly faculty research grants and contracts) available to the program. For students who do hold an external scholarship, the external scholarship contributes the major part of their support package while other external and internal resources are contributed to augment their package (i.e., "top-up" funding). Thus, students who hold external scholarships typically have much larger overall support packages than students who do not hold external scholarships, while requiring fewer of the other resources available to the program. It is generally understood and supported, by students and faculty, that students with and without external scholarships will have a differential call on program resources.

Top-up of students who receive external scholarships is seen as important for several reasons. It allows scholarship students to achieve larger support packages than delivered by their scholarships alone and therefore is a reward for the students' achievements. As well, it is important to ensure that we are successful in recruitment of high-achieving scholarship students when competing against similar programs at peer institutions. Many other universities offer top-up packages for external award holders. Beginning September 2016, Western will have a minimum top-up guarantee for PhD students holding external scholarships. The new Doctoral Excellence Research Award (DERA) provides a clear statement of institutional support for top-up of doctoral students holding external scholarships. The SGPS portion of the DERA is derived from15% of incremental enrolment revenues received by the University (the remaining after the 85% flow to Faculties as described in Appendix C). Each graduate program or Faculty is responsible for finding $5,000 of Faculty funds as their share of each student's DERA.

The sub-committee heard several issues around the top-up of scholarship winners, including:

a. Top-up of external scholarship winners is the normal practice for many programs, but not all. Further, for those who do top-up scholarship winners, the value of the top-up varies and is not always documented.
b. Some program leaders expressed worries about availability of resources to provide top-up funding, particularly in Faculties where smaller fractions of Faculty funds resulting from incremental enrolments flow to the programs for graduate student support. These same individuals expressed worries regarding availability to the program of funds to assemble

the "program share" of the DERA. The sub-committee noted that this share of the DERA is comparable to the amounts many programs already top-up scholarship winners so that the current top-up could be used to provide the program share of the DERA.

c. Students who did not hold an external scholarship at admission but who later received an external scholarship were sometimes not aware in advance of which components (WGRS, GTA, GRA, other) of their pre-scholarship support package would be retained as top-up and which components would be freed for program use to support other students and to support program expansion. This can lead to student disappointment if the model for program top-up is not clearly communicated in advance.

Student travel

Identifying strategies to support student travel has particular relevance to SSHRC-funded disciplines. Although this is not formally considered part of graduate student support packages, the topic was raised in several community consultations. Student travel to attend conferences or to gather data relevant to thesis research is important to student development. Supervisor research grants are able to support student travel in NSERC-funded and CIHR-funded disciplines because a student's research activities and outputs contribute to their supervisor's research program. In disciplines where this is not the case, some Faculties have earmarked small amounts of funding in support of student travel. However, several groups expressed the need for more resources to support student travel. The sub-committee was told that $1.6M in student travel claims was processed by Western's financial systems in 2014-15.

The role of GTA funding in student support packages

Graduate Teaching Assistantships (GTAs) provide an important source of support for graduate students, particularly because they are also important opportunities for development of professional skills in teaching, communication, and leadership. In our community consultations and data gathering, we found that the majority of programs consider GTAs to be a component part of the student support package whereas a few programs consider the GTA to be "on top" of the student's support package. The sub-committee noted that, in many cases, programs would not be able to achieve the minimum support package without reliance on inclusion of GTA support as part of that package

Summer Term support

In some disciplines, students receive support that is not balanced across academic terms. This can arise when students have full GTA assignments for which they are paid during the Fall and Winter terms and have GRA or WGRS components in their support package that are paid in equal installments over all three terms. This is a pattern that applies only in some programs. Students have expressed a preference for balanced funding across terms.

International students

Most programs identified the wish to recruit more international students to enrich their programs. In some programs, international students are essential to sustain enrolment. The University has made a significant commitment to the funding of international students. Firstly, 85% of all incremental tuition revenue from international students is returned to the Faculties through the revenue sharing mechanism. Secondly, despite provincial grant revenue not being received for international students, the University has made a commitment of additional funding ($6,100 per Masters student and $16,400 per PhD student, as described in Appendix C) up to a pre-defined "university-funded international enrolment number" (UFIEN) arrived at between the Dean and the Provost in the annual planning and budget process. There are no limits on the number of international graduate students a program can seek to admit, but the UFIEN determines the University's additional funding commitment. Faculties may recruit, at their own expense, international students in excess of the UFIEN – recognizing that 85% of the tuition revenue for these students will flow to the Faculty budgets.

SGPS has identified several sources of sponsored international graduate students. For such students, sponsors typically cover the equivalent of domestic tuition plus a basic stipend to the student to defray living expenses. This leaves Faculties with the responsibility of funding only the difference between domestic and international tuition. Uptake of these opportunities is one way to enhance the number of international graduate students at Western.

All parties consulted acknowledged the importance of continuing to ensure adequate funding for the international students who are admitted into programs, recognizing that international students have fewer external scholarship sources from which to acquire funding.

Interdisciplinary programs

The sub-committee received correspondence highlighting student support challenges arising in interdisciplinary programs, particularly when the programs are inter-Faculty. Supervisors within a single interdisciplinary program may have differential access to internal resources (WGRS, GTA) for graduate student support due to different funding strategies in their home Faculties. This can have challenging consequences, including instances where students may receive different overall support packages, even though they are registered in the same interdisciplinary program. In other instances, supervisors within the same interdisciplinary programs may need to draw on their research grant resources in differential amounts and therefore have different capacity to attract the best students. A related issue arises for supervisors who participate in more than one graduate program. Such supervisors have more than one option for recruiting graduate students and may make choices to accept students into the program with the funding strategy they view as most favourable. This may create unintended competition between programs for students and may lead to pressure on prospective students to enroll in a program that is not the best academic fit or fit with their career aspirations.

Minimum value of PhD student support packages

The guaranteed minimum student support, from all sources, for PhD students within their fundability period is $12,000 plus tuition. This guaranteed minimum has not changed for several years. Many faculty and students commented on this and suggested that it may be time to review Western's guaranteed minimum value of PhD student support.

Graduate students who are not typically funded

Category II (professional) Masters programs are designed to prepare graduate students for specific professional employment pathways. As well, Western has a new professional doctoral program (Ed.D.) with students who are typically working in teaching or education-related jobs external to the University. Category II Masters students are not typically provided with graduate student support packages. This decision is historic and was initiated based on the expectation that these students will be able to recoup education-related investment in subsequent employment. As well, many of these programs have a shorter duration. In community consultations, it was suggested that the assumptions underlying this historic decision may not apply uniformly to all Category II Masters students. The sub-committee noted that Faculties can, and some do, occasionally choose to fund Category II students where they feel it is reasonable to do so. However, extending support packages more broadly to this category of students would reduce resources available for graduate education in other areas, including support of Category I students.

"Year X" students are Category I Masters and PhD students who have exceeded their fundability period. It is recognized that the challenge of students exceeding their fundability period is not unique to Western and that, with few exceptions, other universities generally do not flow operating money to support packages for Year X students because such students do not draw provincial grant funding to the University. However, while many Year X students at Western are unfunded, there are examples of supervisors providing GRA support to Year X students and, in some disciplines, examples of Year X students hired to teach a course as a part-time faculty member. As well, Year X students are sometimes hired into GTA positions in areas where there is more demand/need for TAs than there are fundable students available. A detailed analysis by SGPS indicates that Year X students are diverse and have exceeded their fundability period for varying periods and for a variety of reasons. Further discussion of this matter is beyond the scope of this report, but the sub-committee notes the issues and urges continued evolution of strategies to reduce the number of Year X students as well as the time spent by individual students in Year X status.

7. Summary and Recommendations

The delivery of graduate student support at Western involves the use of many funding sources with decentralized strategies for combining available resources into student support packages. Therefore, graduate student support packages may be assembled differently from Faculty-to-Faculty and from program-to-program. As well, support packages may vary from student-to-student, even within the same program, reflecting student-specific eligibility for different funding sources. Further, the sources of support within an individual student's package may vary in relative proportion at different stages in a student's program. The complex and decentralized nature of graduate student support is not unique to Western; distributed models are typical at other research-intensive universities. These strategies have generally been successful as demonstrated by the substantial amount of support delivered to graduate students.

These strategies have evolved from a series of historical decisions and adjustments that have accumulated into a large number of complex models that are frequently poorly understood and poorly communicated. This has led to some of the worries expressed by program leaders, faculty, and students. It also increases the difficulty of modifying strategies at the Faculty and institutional level in a cohesive and principle-based way if and when funding sources change. Many of the sub-committee's recommendations, therefore, focus on suggestions to improve the documentation and communication of current funding strategies.

The sub-committee also recommends that it is time to step back and review Western's support strategies and to identify any tactical changes needed to ensure the University will be able to continue to balance issues of fairness, competitiveness, and sustainability as we respond to changes in the external funding environment.

Recommendations

1. **a. Develop clear documentation, at the program and Faculty levels, to explain how funding flows to students from all sources for all categories of students.**

   b. Clear and timely communication of these documented models should come from the Faculty/program leaders/administrators to students, faculty members, and SGPS.

   Specifically:

   - **Documentation should articulate the level of funding for each category of graduate student and the sources that might contribute to this level of funding, as well as how the funding may change (i.e., top-ups, etc) if a student receives an external scholarship**. Some Faculties/programs use tabular formats that we would recommend. An example of the format used in one Faculty is given in Appendix D. In Faculties where the funding models vary across programs, we recommend that program-level descriptions should be collected and reviewed/reported by the appropriate Faculty Associate Dean.

- **Documentation should be available publicly** such that all faculty, staff, and students associated with the program have access to this information. This will ensure that students are aware of how funding is assembled from multiple sources, how the balance of these sources can vary between students, and how their own funding entitlement may change as their individual circumstances change during their programs. This will also ensure clarity up-front as to the value of any top-up packages offered to scholarship recipients so that students know what they will receive if their scholarship applications are successful.
- **The documented program-specific model prevailing at the time of an individual student's admission should be applied to that student for the duration of their fundability period**. It is recognized that availability of internal and external resources may change year-to-year and result in changes to the programs' funding models prospectively. The models should be cohort-specific so that each student knows what to expect during their individual program.
- The documented **models should be reported to, and reviewed by, SGPS** who will ensure that Western's support principles are upheld while balancing the recognized need for discipline-specific variation to ensure competitiveness.

2. a. Clearly document the individual *annual* funding plan for each student

b. Ensure that these are well-communicated to the students to whom they pertain.

In particular:

- Programs should **maintain a detailed description of the annual funding plan for each individual student**. An example is given in Appendix E of a spreadsheet that is used to aggregate student-specific commitments in one Faculty for planning purposes. Such approaches will simplify tracking of funding and will provide a tool for checking the individual students' support against the cohort-specific support commitment.
- The **annual student support letter should be visible on the Student Centre[4]** in order to be available as an ongoing reference for the student and for those responsible for addressing student enquiries. The annual support letter is currently a requirement (template in Appendix F), but some students have reported that they either did not receive the letter from their programs or that they do not remember the contents of the letter.

3. Create a structure **to ensure new graduate program Chairs and graduate program Assistants are provided with the knowledge to undertake their roles effectively**. We also recommend **ongoing development and support** to ensure understanding of student support strategies, institutional requirements, and effective communication practices. There should be identified persons to whom students can turn in order to get clear answers to their funding questions. We note that SGPS offers summer workshops for graduate program Chairs and

[4] The Student Centre" is the University's student information system that holds student-specific demographic, financial, and academic information.

Assistants. Mandatory attendance at one of these workshops could partially address this recommendation.

4. Investigate the feasibility of **moving the delivery and tracking of non-employment (T4a) components of student support packages from Western's Human Resources information systems to Student Centre**. This would enable automatic payment of tuition accounts from any T4a funding source (as currently can be done with WGRS and external scholarships), thus reducing this financial out-of-pocket burden on the students. However, there may be some other operational considerations that need to be weighed in exploring this possibility.

5. Identify structures and avenues for **continued discussion on future evolution of our funding strategies to respond to fiscal changes and enrolment pressures within the system**. Such discussions should include a critical look at current graduate student support strategies and potential changes to position us to be nimble in the face of changes in the funding climate. Western-wide principles should guide discipline specific strategies and, conversely, discipline-specific realities should influence Western-wide policies.

6. Form **an implementation committee, reporting to the Vice-Provost (Graduate and Post-doctoral Studies) to ensure the implementation of these recommendations in the calendar year 2016**. We suggest that recommendations 1-3, at minimum, be implemented in time for the September 2016 graduate student admissions cycle. The implementation committee would advise on templates to be developed/used and would ensure that the implementation processes are feasible and sustainable.

Appendix A

Graduate Funding Sub-Committee Meetings and Community Consultations

Graduate Funding Sub- Committee Meeting		
Date	Time	
Septmber 29, 2015	3:00-4:00 p.m.	
October 13, 2015	9:00-10:00 a.m.	
October 29, 2015	9:00-11:00a.m.	
November 9, 2015	9:00-11:00 a.m.	
November 24, 2015	9:00-11:00 a.m.	
December 14, 2015	8:30-10:30 a.m.	
December 22, 2015	8:30-10:00 a.m.	

Consultations with Faculties and SOGS		
Date	Time	Faculty
October 27, 2015	12:00 p.m.	Faculty of Social Science - Graduate Chairs
October 28, 2015	12:30 p.m.	School of Graduate and Postdoctoral Studies - GEC Meeting
November 6, 2015	1:00 p.m.	Faculty of Arts and Humanities - Graduate Chairs
November 9, 2015	1:00 p.m.	Don Wright Faculty of Music - meeting with Catherine Nolan
November 16, 2015	9:00 a.m.	Faculty of Information and Media Studies - meeting Susan Knabe and Pam McKenize
November 17, 2015	3:00 p.m.	SOGS Executive
November 18, 2015	11:00 a.m.	Faculty of Health Sciences - Graduate Chairs
November 19, 2015	3:10 p.m.	Faculty of Engineering - Graduate Chairs
November 23, 2015	12:30 p.m.	Schulich School of Medicine & Dentistry - Graduate Chairs
November 24, 2015	11:00 p.m.	Faculty of Science - Graduate Chairs
November 25, 2015	6:00 p.m.	SOGS Council
December 15, 2015	9:00 a.m.	Faculty of Science revisit- Graduate Chairs
corrspondence from		Faculty of Law, Richard Ivey School of Business

Appendix B

Western: History of Budget Allocations Associated with Graduate Education

October 8, 2015

Prior to 1996

- About 80% of the University's operating revenue came from government grants – most of which was attached to a stable level of overall enrolment (i.e. the BIU corridor system). Growth in enrolment above the "corridor" did not result in additional grant funding – only additional tuition revenue was available.
- There was occasional additional grant funding for undergraduate enrolment growth – but not for graduate enrolments. Such growth funding was almost always substantially "discounted".
- The Faculty of Graduate Studies at Western (FGS) managed a graduate student support base budget that had evolved over time. Increases to this budget had to be negotiated by the Dean of FGS (with the Provost) on an annual basis.
- FGS transferred these funds to each graduate program – primarily as Special University Scholarship (SUS) funds. This was done differentially, reflecting FGS's assessment of program enrolments, student quality, and funding needs. With respect to "funding needs", graduate programs in disciplines that had less access to research grants for student support purposes received more funding than those programs that had more access to research grants.
- Each Faculty also used a portion of its operating budget to fund GTAs – and the amounts evolved over time to meet undergraduate teaching needs rather than graduate student support needs.
- Overall graduate funding packages were established by each graduate program and consisted of a mix of GTA funds, FGS's SUS funds, external scholarships, and funds from research grants.

1996 to 2002

- The University's Strategic Plan – *Leadership in Learning* – affirmed a policy that 80% of "new/incremental" revenue from graduate student tuition should be added to the FGS student support budget – thus providing an incentive to enable graduate enrolment growth.
- This changed to a policy of allocating 75% of all graduate student tuition revenue to be the total FGS student support budget. Towards the end of this period, the 75% became 78%. This envelope of funds would eventually be known as the Graduate Student Scholarship and Training Fund (GSSTF).

2002 to 2010

- The transfer of the GSSTF to graduate programs became more formulaic – with each program receiving a standard amount per fundable student, standard amount for each external award holder, and a differential amount that reflected each program's access to research grants for student support purposes. (Table 1)
- In the mid-2000's, the Provincial Government – in response to Bob Rae's report *Ontario: A Leader in Learning* – began new investments in universities. First, enrolments that were over the university-specific corridors were provided full funding, and second, a program of funding for graduate enrolment expansion (up to a cap) was implemented.
- Western, in turn, developed graduate enrolment expansion plans – and flowed a portion of the additional revenues to the Faculties through the Graduate Expansion Fund (GEF) and its supplement

GEF+. It should be noted that the Enrolment Contingent Fund (ECF) – which was already in place – also supported graduate enrolment growth. The Deans had full discretion on the use of these funds to support their overall needs in the area of graduate education – including creation of new faculty positions, graduate student support, and other support infrastructure.

2011 to 2014 – a New Revenue Sharing Mechanism

- As part of a new 4-year planning cycle, effective 2011-12, a new mechanism for enrolment-related revenue sharing with the Faculties was implemented – and replaced the previous envelopes that had evolved over time (i.e. the ECF, GEF, GEF+, and GSSTF).
- The new mechanism provided a greater share of the incremental enrolment-related revenues (grant + tuition) to the Faculties, on a slip-year basis: 40% for undergraduate enrolments/teaching, 40% for professional (or category 2) masters enrolments, and 85% for research masters and doctoral enrolments. In total, the new mechanism flowed about 50% more than the total of the previous programs.
- As a starting point for the new mechanism, the previous envelopes (i.e. ECF, GEF, GEF+, GSSTF) were all rolled into Faculty base budgets – at the 2010-11 levels. The amounts rolled into base are shown in Table 2.
- The $22.8 million in GSSTF funding that was rolled into base was exempt from the Initial Budget Adjustment (IBA) during this 4-year period (i.e. 2011-12 through 2014-15).
- It was also a requirement that this $22.8 million had to be used for graduate student support purposes.
- During this period, the baseline year for measuring "incremental revenues" was 2009-10 and the allocations to the Faculties were done on a slip-year basis. For example, growth in 2010-11 over 2009-10 was the basis for allocations in 2011-12. The allocations transferred to Faculties are shown in Table 3.
- If enrolments fell below the baseline, a one-time negative adjustment would be applied to the Faculty budgets.
- Finally, it should be noted that the funds deriving from this revenue sharing mechanism can be used strategically by the Faculties to support their educational priorities – including graduate student support. Faculties' decisions in this regard are based on their academic priorities, workload requirements, and graduate student funding models.
- Therefore, starting in 2011-12, full responsibility for graduate student funding rests with the Faculties – and the models vary across Faculties.

2015 – Start of the Current 4-Year Planning Period

- In the spring of 2015, the current 4-year planning cycle – spanning the period 2015-16 through 2018-19 – was developed.
- The revenue sharing funds associated with the 2012-13 budget year (or 2011-12 enrolments) were rolled into Faculty base budgets – and amounted to roughly half of the revenue-sharing funds (or $19 million) at the end of the previous 4-year cycle. Accordingly, the new baseline year for measuring "incremental revenues" is 2011-12.
- The shares of incremental revenues flowing to the Faculties were modified as follows: 25% for direct-entry undergraduate teaching, 50% for second-entry undergraduate and professional (or category 2) masters enrolments, and 85% for research masters and doctoral enrolments. In addition, the remaining 15% associated with research masters and doctoral enrolments is being allocated to a program aimed at attracting external award winners to our doctoral programs – and this program will be managed the School of Graduate & Postdoctoral Studies (SGPS).
- In this planning period, all funds that are part of the Faculties' base budgets are subject to the IBA.

Table B.1

Western University

Historic Disciplinary Adjustments to GSSTF

These were the amounts attributed to graduate programs based on November 1 student count in the last fall of the GSSTF.

- $4,500 for each Fundable Domestic student (78% average as determined by FGS, within funding period)
- $10,800 for each Fundable International student (78% average as determined by FGS, within funding period)
- $4,000 additional for each externally-adjudicated award holder (OGS/ST, SSHRC, NSERC and CIHR)
- Also, for some Faculties, a differential component was added based on disciplinary differences (support capabilities and strategies, supervisor/supervisee paradigms, student/faculty collaborations, institutional and academic norms)
    - Arts and Humanities: $4,300
    - Faculty of Health Sciences $1,200
    - Education, Law and Social Sciences: $1,800
    - Information and Media Studies: $2,300
    - Music: $3,800

Table B.2

Western University

Enrolment-related Funds Rolled into Faculty Base Budgets in 2010-11 <a>

	Enrolment Contingent Fund (ECF) <b>	Graduate Expansion Funds (GEF & GEF+)	Graduate Student Scholarship & Training Fund (GSSTF)	Total
Arts & Humanities	662,740	1,110,000	3,532,600	5,305,340
Business	0	0	0	0
Education	411,450	440,200	791,400	1,643,050
Engineering	771,536	1,233,400	3,403,800	5,408,736
Health Sciences	1,076,700	1,946,800	1,994,000	5,017,500
Information & Media Studies	417,450	569,400	435,600	1,422,450
Law	352,950	52,600	54,400	459,950
Medicine & Dentistry	588,980	773,100	2,594,100	3,956,180
Music	538,850	429,900	1,119,600	2,088,350
Science	880,360	1,521,800	4,608,600	7,010,760
Social Science	777,930	1,181,800	3,082,700	5,042,430
Interdisciplinary Programs	1,173,300	582,500	1,185,300	2,941,100
Total	7,652,246	9,841,500	22,802,100	40,295,846

<a> i.e. actual 2009-10 levels

<b> The ECF includes undergraduate and graduate growth funding. The graduate component cannot be separated out.

Table B.3

Western University

Graduate Revenue Sharing -- Funds Flowed to Faculties

	2011-12	2012-13	2013-14	2014-15	2015-16*
Arts & Humanities	$1,143,813	$824,884	$737,072	$501,582	$444,481
Business	$0	$0	$0	$0	$0
Education	$182,573	$357,187	$1,300,195	$3,328,957	$5,906,685
Engineering	$616,192	$551,530	$1,021,315	$1,041,136	$2,182,855
Health Sciences	$494,554	$576,563	$1,598,340	$1,564,234	$2,026,565
Information & Media Studies	$354,179	$389,644	$777,669	$555,068	$318,791
Law	$58,513	$161,532	$85,403	$113,851	$129,720
Medicine & Dentistry	$247,545	$663,366	$968,020	$1,997,157	$1,510,354
Music	$77,021	-$2,871	-$46,259	$258,064	$296,928
Science	$1,534,834	$2,129,476	$2,401,304	$1,774,501	$2,317,950
Social Science	$1,096,598	$1,375,631	$1,392,598	$1,327,339	$2,300,375
Interdisciplinary Programs	$294,077	$430,754	$557,149	$535,848	$528,665
Total	$6,099,899	$7,457,696	$10,792,806	$12,997,737	$17,963,369

* Includes $7.1M added to base

Appendix C

Western University

Technical Notes on the Mechanism to Share Incremental Enrolment-related Revenues with the Faculties for the 4-Year Planning Cycle: 2015-16 through 2018-19

Updated September 29, 2015

A. Overview

- Current basic structure/mechanism started in 2011-12.
- Shares incremental tuition and grant revenues with the Faculties.
- Mechanism applies to all Faculties except self-funded programs.
    - Self-funded programs include all Ivey programs, the AQ courses in Education, and International Medical/Dental enrolments.
    - In addition, the B.Ed. program is excluded from this mechanism because the government is restructuring the program.

B. Funds Rolled Into Base Budgets

- The 2012-13 revenue-sharing allocations have been rolled in to 2014-15 Faculty base budgets. New baselines will be the 2013-14 enrolment/teaching levels.

C. Transitioning into the next 4-Year Planning Cycle (2015-16 to 2018-19)

- The overall structure of the mechanism remains unchanged for the upcoming 4-year planning period (2015-16 through 2018-19) – but there are some modifications which are described in section D below.
- New enrolment "floors" have been established for each Faculty – which correspond to the funds rolled into base budgets:
    - The new floors are the 2011-12 Weighted Teaching Units (WTUs).
    - Going forward, in any given year, if a Faculty's WTUs fall below its floor a one-time budget reduction equivalent to the Faculty-specific average funding per WTU rate will be applied (for that year).

D. Details of the Revenue-Sharing Mechanism – starting in 2015-16

- Funding will be provided on a slip-year basis
    - i.e. 2015-16 funding will be based on 2014-15 enrolments/teaching.
- Incremental tuition and grant revenue will be shared with Faculties through three separate funding envelopes
    - Undergraduate Envelope
    - Non-Research Masters Envelope
    - Research Masters / PhD Envelope

      Note: SGPS has informed Deans of the categorization of Masters programs into the "Research" and "Non-Research" groups

- Government grants are available (when provided by government) for domestic students only – and, in the case of graduate students only for those within the government funding-eligibility period.
    - International students do not attract government grants.
- Only the level/rate of funding provided by government will be shared with the Faculties.
    - It is possible that, in any given year, government grants may be 'discounted'. Government may also end funding of enrolment growth at any time – which would require the necessary internal adjustments or discounting.
- Tuition revenue sharing will be based on incremental tuition revenues – which will be a function of rate and volume increases.
- If necessary, these revenue sharing allocations may be subject to budget reduction adjustments – in the context of the University's overall financial situation.

E. Specifics of the Undergraduate Envelope

- Incremental tuition and grant revenues will be calculated based on program enrolments, but – for direct-entry programs – the Faculties' share will be based on students taught (FCEs).
    - That is, Faculty-specific allocations will ultimately be based on the amount of undergraduate teaching regardless of the home Faculty of the students.
- Tuition and grant revenue in 2014-15 will be incremental to 2013-14 for funding in 2015-16.
    - i.e. as indicated above, allocations are based on slip-year revenue growth.
- Since international students are ineligible for government funding only incremental international student tuition is shared.
- The details of the calculations are as follows:
    - ***Step 1***: Calculate Faculty-specific undergraduate enrolment-growth grants in 2014-15 over 2013-14 levels. This calculation is based on FFTEs (fiscal full-time equivalents) and BIUs (basic income units – which are weighted enrolments used by government for grant calculations) over all three undergraduate terms. It is driven by each student's program and degree-objective. It should be noted that year-over-year change (e.g. 2014-15 to 2013-14) can result in a negative revenue figure.
    - ***Step 2***: Calculate Faculty-specific tuition revenue in 2014-15 over 2013-14 levels. This calculation is based on FFTEs overall all three terms. This calculation factors in registered Faculty, year-in-program, and immigration status.
    - ***Step 3***: The sum of the changes in grant and tuition revenues will form the Faculty-specific incremental revenues:
        - 25% of incremental revenues from direct-entry undergraduate enrolments flows to the Faculties (this is a modification from the previous 4-year cycle).
        - 50% of incremental revenues from second-entry (or professional) undergraduate enrolments flows to the Faculties (this is a modification from the previous 4-year cycle).
    - ***Step 4***: Apply each Faculty's revenue to the teaching matrix (which uses the average of the actual teaching distribution for the most recent two years) and distribute those revenues based on where the students in a particular Faculty take their courses. For example, assume Faculty X generates $200,000 in incremental revenues based on students registered in that Faculty. However, students in Faculty X take courses in Faculties X, Y, and Z in a 60%, 20%, 20% distribution respectively. Here, the $200,000 in revenue from Faculty X's students is distributed as follows -- Faculty X $120,000 (60%), Faculty Y $40,000 (20%), and Faculty Z $40,000 (20%).

F. Specifics of the Graduate Envelopes

- Incremental tuition and grant revenue will be earned and distributed on the basis of program enrolments.
- As indicated above, government grants are not available for domestic students beyond their MTCU funding-eligibility period. All international students are ineligible for government grants.
- Year 1 Direct-to-PhD students are treated as Masters students – by government and in our revenue-sharing mechanism.
- A supplement will be provided for incremental international enrolments in Research Masters Programs ($6,100 per student) and PhD Programs ($16,400 per student).
    - Incremental students will be net growth based on Fall enrolments and will only include students who are SGPS funding-eligible.
    - Only Masters students in the first two years of study and PhD students in the first four years of study will be included in the calculation of the supplements.
    - International student enrolment levels must receive approval from the Provost (through the University's planning process) in order to be eligible for the above supplements.
    - Faculties can have higher international enrolments – than the Provost-approved levels – but these additional enrolments will not attract the "supplemental funding".
- Tuition sharing applies to all students.
- Tuition and grant revenue in 2015-16 will be based on 2014-15 enrolments/teaching.
    - i.e. as indicated above, allocations are based on slip-year revenue growth.
- The details of the calculations are as follows:
    - ***Step 1***: Calculate Faculty-specific graduate expansion grants in 2014-15 over 2013-14 levels. This calculation is based on eligible Fall FTEs. It is driven by each student's program and degree-objective. It should be noted that year-over-year change (e.g. 2014-15 to 2013-14) can result in a negative revenue figure.
    - ***Step 2***: Calculate Faculty-specific graduate tuition revenue in 2014-15 over 2013-14 levels. This calculation is based on FFTEs over all three academic terms. This calculation factors in registered Faculty, degree-objective, program category, and immigration status.
    - ***Step 3***: The sum of the changes in grant and tuition revenues will form the Faculty-specific incremental revenues – and the proportions to be shared with the Faculties are as follows:
        - 50% for Non-Research Masters programs (this is a modification from the previous 4-year cycle)
        - 85% for Research Masters and PhD programs. In addition, the remaining 15% will also be set aside to support the Faculties with graduate enrolment expansion – but the funds will be allocated selectively/differentially by the Provost in direct support of graduate education (through the University's planning process). (this is a modification from the previous 4-year cycle)
    - ***Step 4***: Apply international student supplements to incremental enrolments at a rate of $6,100 for Research Masters students, and $16,400 for PhD students. The supplements will apply only to students who are SGPS funding-eligible, and Masters students in the first 2 years of study and PhD students in the first 4 years of study.

Graduate diploma programs beginning after January 1, 2015 will not attract grant funding as part of the revenue sharing allocation. The sharing of tuition revenue will continue (see Section G).

G. New High-Tuition Programs

- New programs with a 2015-16 annual domestic tuition in excess of $10,441 (the category 2 tuition for existing programs) will have a modified mechanism for revenue sharing which distributes 50% up to the base $10,441 tuition, 65% between $10,441 and $18,412, and 85% on the amount over the $18,412.

ILLUSTRATION ONLY <using 2015-16 rates>

			Tuition	Notes
1	Program XYZ		$30,000	
2*	Base Tuition Fee		$10,441	
3	Tuition Sharing on Base Amount	50.0%	$5,221	= row 2 * 50%
4*	Breakpoint Tuition Fee		$18,412	
5	Tuition Sharing on Breakpoint - Base	65.0%	$5,181	= (row 4 - row 2) * 65%
6	Tuition Sharing on Actual - Breakpoint	85.0%	$9.850	= (row 1 - row 4) * 85%
7	**Total Tuition Sharing**		**$20,252**	= row 3 + row 5 + row 6
8	Grant (if any)		$13,076	
9	**Total Grant Sharing**		**$6,538**	= row 8 * 50%
10	**Total Revenue Sharing**		**$26,790**	= row 7 + row 9

- The same arrangement (excluding grants) will be implemented for international tuition – with the tuition breakpoint set at $35,393. The regular category 2 tuition fee is $25,813.

- The tuition fees noted above are effective for the 2015-16 year. The same arrangement will be in effect beyond 2015-16, but the domestic and international breakpoints will be incremented annually based on actual tuition increases in future years.

- All other aspects of these programs remain per the documentation noted above.

Graduate diploma programs will have an adjusted structure for sharing tuition revenue. Specifically, the tuition breakpoint shown in rows 2 and 4 (see table above) will be reduced to 70% of the rates shown - - thus, row 2* = $7,309 and row 4* = $12,888.

Appendix D
Example Template of a Faculty's Graduate Student Support Model
Tabular Documentation of Allocation Plan by Category of Student

Arts and Humanities

	Category	GTA pay Fall 2015 and Winter 2016 terms based on 10 hours per week and including 4% vacation pay	WGRS - total for 3 terms; programs allocate per term	TOTAL Arts Funding: GTA + WGRS	External Scholarship Annual Value	Total with External Scholarship	**Estimated** annual tuition based on 3% increase for domestic students; 4% increase for International students	Balance after Tuition Payment and before deductions	GTA Payment Fall 2015 & Winter 2016 $358.25/month and including 4% vac pay (based on 2014-15 levels)	Total Funding: Arts Package + External Scholarship + GTA Payment	Balance after Tuition Payment and before deductions
1	MA Domestic										
2	MA International										
3	MA Domestic OGS										
4	MA Domestic CGS										
5	PhD Domestic										
6	PhD Domestic HP										
7	PhD International										
8	PhD International OGS										
9	PhD Domestic OGS										
10	PhD Domestic OGS/HP										
11	PhD Domestic SSHRC DF										
12	PhD Domestic SSHRC DF **NEW AWARD**										
13	PhD Domestic SSHRC DF/HP										
14	PhD Domestic SSHRC DF/HP **NEW AWARD**										
15	PhD Domestic CGS										
16	PhD Domestic CGS/HP										
17	PhD International Trillium										
18	PhD International Vanier CGS										
19	PhD International Vanier CGS **NEW AWARD**										
20	PhD Domestic Vanier CGS										

WGRS MA Domestic: no increase

WGRS MA Int: $200 increase

WGRS PhD Domestic: $100 increase

WGRS PhD Int: $375 increase

Appendix E
Example Template to Track Term-by-Term Funding Plans for Individual Students
(kept confidentially at the program level)

Engineering - Graduate Student Support

Input Fields **Funding Fields** S2015 (Term) DRAFT (Supervisor) NOTE: "Tab to Next field.

Student Information									Supervisor	Term Funding						
A									B	C	D	= C + D	E	F	G	H = A+C+D+E+F	I
									Journal	POST	POST	POST	POST	POST			
Student #	Name	Academic Plan: 21137 = MESc 26137 = PhD	Dept CBE CEE ECE MME	Cumulative Terms	Residency Status	Scholarship	Scholarship Funding Support $	Fundable (Y / N)	Graduate Research Funding Earned: "Transfer to Research"	"WGRS" (Scholarship from Faculty)	"WGRA" Charge to Research Account ("Tuition >WGRS)	Tuition Fees Per PS	GTA	GRA	Research Account(s) # and %'(s) (i.e., NXXK 50%; NXXF 50%)	Total Funding for Term	GRA for 1 Month (assuming paid evenly over 4 months)
						TOTALS											

Appendix F

Annual Financial Support Package

2015-2016

The Graduate Program in xxx has designed an annual financial package for you. The following information and regulations should be noted:

1. This annual financial package comes from a variety of sources, and will differ from student to student.
2. Should you decline any component of your financial package (e.g., should you decline a Graduate Teaching Assistantship), your financial package will be adjusted accordingly. Any component that you decline will not be compensated with alternative funding.
3. If you hold or are awarded an external scholarship (e.g., OGS, QEIIGSST, OTS, SSHRC, NSERC, CIHR), your funding may be adjusted and the Graduate Chair will inform you of the program's policies.
4. If your residency status changes at some point during your program of study, your funding package may be adjusted.
5. To be eligible for the full financial package, you must:
   (a) be a full-time student,
   (b) be within the funding period as stipulated in SGPS Calendar (grad.uwo.ca). Doctoral students must apply for Tri-Council (NSERC, SSHRC, CIHR) and Ontario government awards (OGS/QEII) for which they are eligible.
   (c) continue to meet program conditions for progression.

Your financial support package for 2015-2016 will include the following funding components:

	Fall 2015	Winter 2016	Summer 2016
Graduate Teaching Assistantship (without the GTA Collective Agreement additional amount)	$ -	$ -	$ -
Faculty Scholarship (Name of award)	$ -	$ -	$ -
Research Income (GRA, RA)	$ -	$ -	$ -
WGRS	$ -	$ -	$ -
External Scholarship	$ -	$ -	$ -
...	$ -	$ -	$ -
Total	$ -	$ -	$ -
Total Annual 2015-2016 Financial Support Package(without the GTA Collective Agreement additional amount)			$ -

If your financial support package, described above, includes an appointment as a Graduate Teaching Assistantship (GTA) in 2015-2016, it is anticipated that you will receive the GTA Collective Agreement additional amount, which was $1,433 in each term in 2014-2015 in which a graduate student held a 10 hour per week, or 140 hours per term appointment. This additional amount is paid in four (4) monthly instalments of $358.25 while employed student is employed as a GTA. If you hold a Graduate Teaching Assistantship appointment for less than 10 hours per week (or less than 140 per term), this amount will be prorated over the period of your employment as outlined in the Collective Agreement between the University and the Public Service Alliance of Canada. However, please note that this GTA Collective Agreement additional amount is subject to negotiations between the University and PSAC for 2015-2016 and beyond.

Total Western Income: (including GTA Collective Agreement additional amount)	$ -

_____ _____

Graduate Chair Signature Date

_____ _____

Student Signature (I have read and understand the above) Date

Please return signed letter to your graduate program office by xxxx, 2015*

Performance and Activity Indicators

Annual Report to the Board of Governors

January 2016

President's Message

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

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

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

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

Dr. Amit Chakma
President and Vice-Chancellor

The Primary Data Sources

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

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

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

The Format for the Indicators

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

1. Western compared to peer institutions over time,

2. Western compared to peer institutions at a point in time (the most recently available year), or

3. Western's performance over a period of time with no peer comparator data.

Acknowledgements

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

Secondary School Grades of Incoming Students

Figures 1, 2, and 3

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

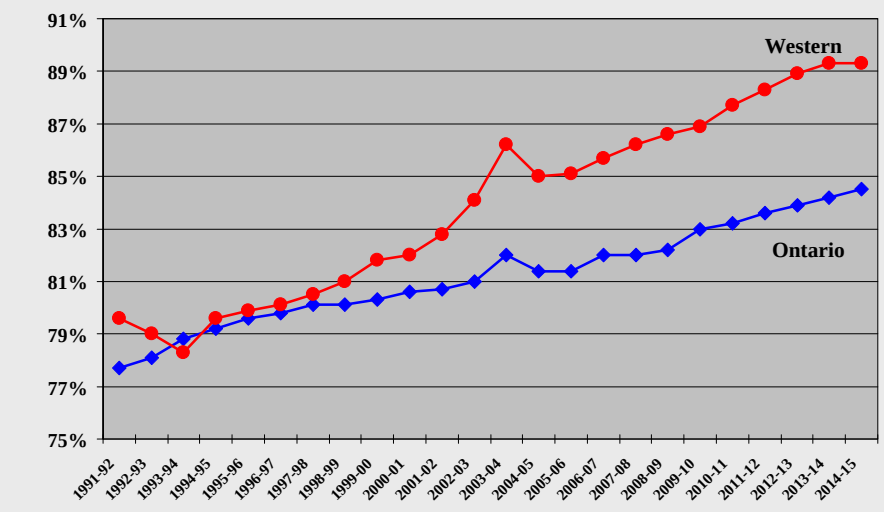
Calculation of Indicator: The analysis displays the final Ontario secondary school average grades for all first-time applicants who registered in the first year of study as full-time students at an Ontario university.

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

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

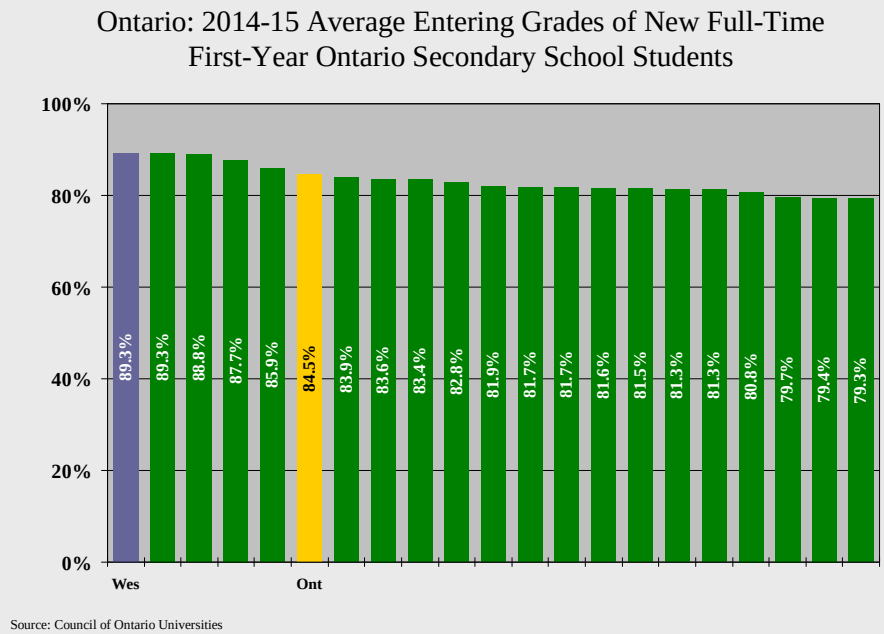
Western's success in attracting the best students is particularly pronounced at the highest end of the grade scale. In 2014-15, about 48% of Western's first-year class has a minimum secondary school average of 90% compared to 25% for the aggregate of other Ontario universities.

Figure 1



Source: Council of Ontario Universities and Western University

Figure 2



Source: Council of Ontario Universities

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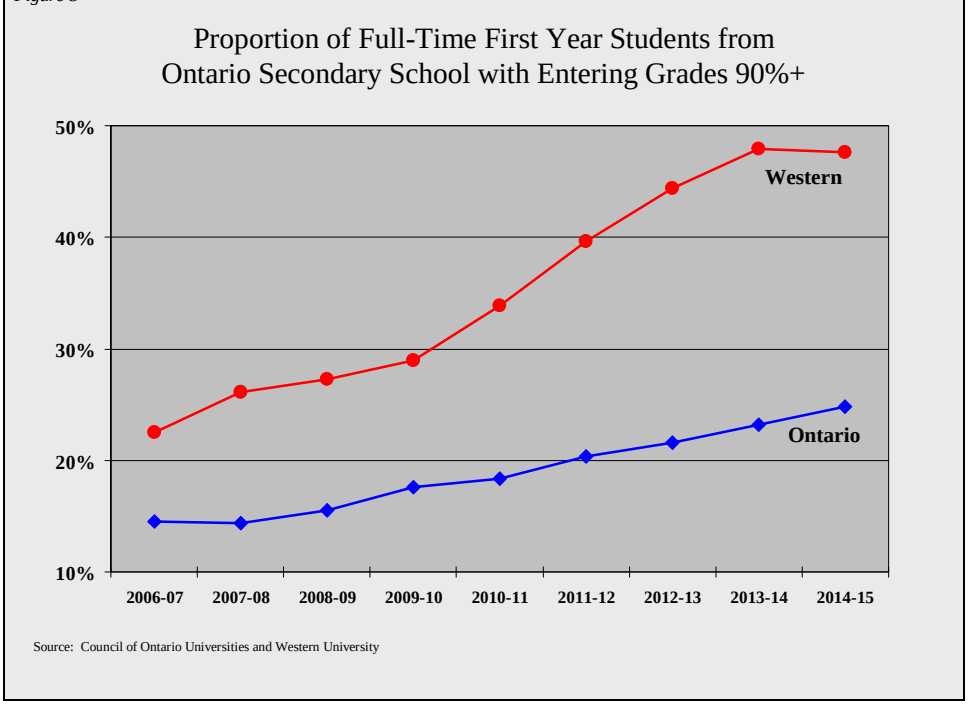
Figure 3


Proportion of Full-Time First Year Students from
Ontario Secondary School with Entering Grades 90%+
50%
40%
30%
20%
10%
Western
Ontario
2006-07
2007-08
2008-09
2009-10
2010-11
2011-12
2012-13
2013-14
2014-15
Source: Council of Ontario Universities and Western University

Undergraduate Student Retention Rates

Figures 4 and 5

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

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

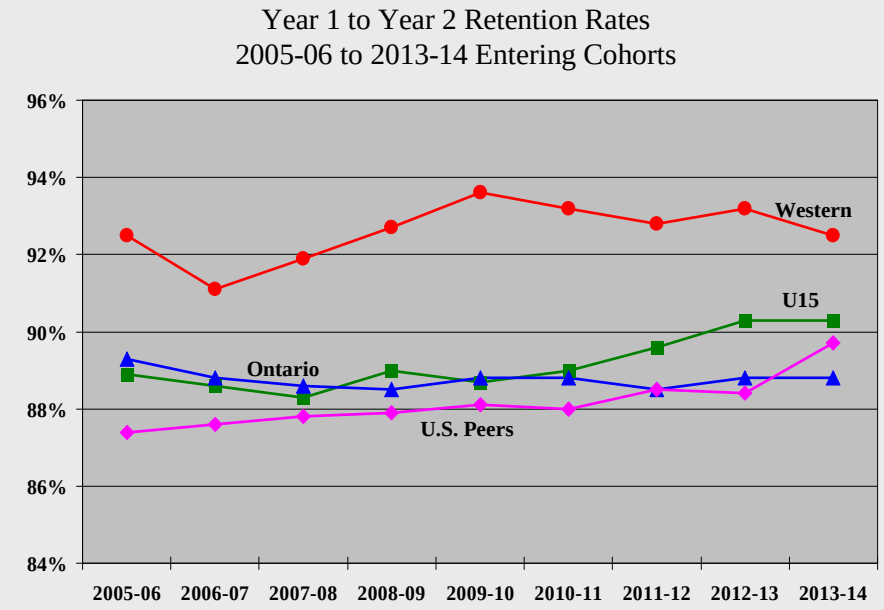
Relation to Strategic Plan: Metric B: Achieve the highest student retention and graduation rates among Canada's leading research-intensive universities.

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

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

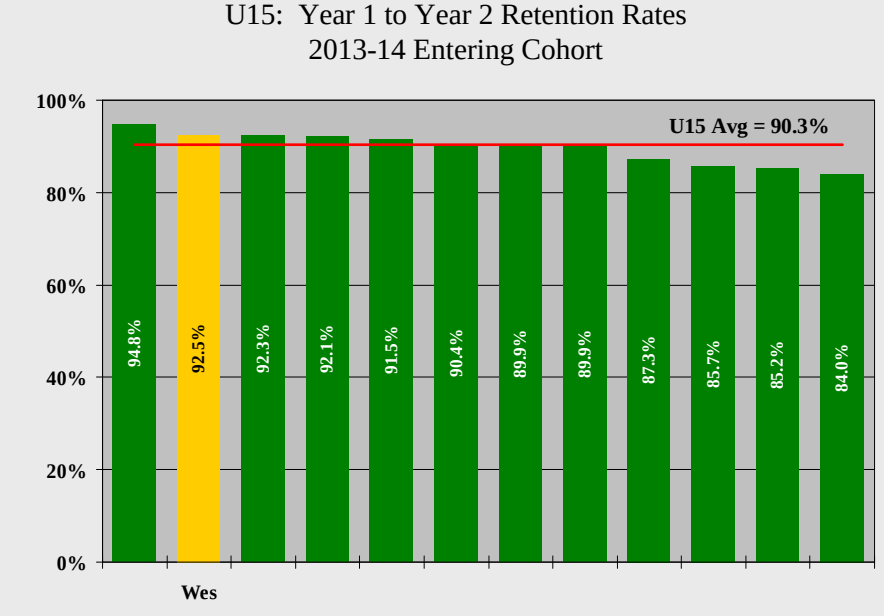
Western compares favourably in year 1 to year 2 retention rates with other Canadian institutions as well as our American peer group. Within the U15 group, Western ranks second in year 1 to year 2 retention rates.

Figure 4



Source: August 2015 CSRDE Peer Institutional Reports. U.S Peers include the U of Arizona, U of Iowa, U of Georgia, U of Missouri-Columbia, U of North Carolina at Chapel Hill, U of Pittsburgh, U of Utah, and Ohio State University

Figure 5



Source: August 2015 CSRDE Peer Institutional Reports. Excludes Alberta, Laval, and Saskatchewan

Undergraduate Student Graduation Rates

Figures 6 and 7

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

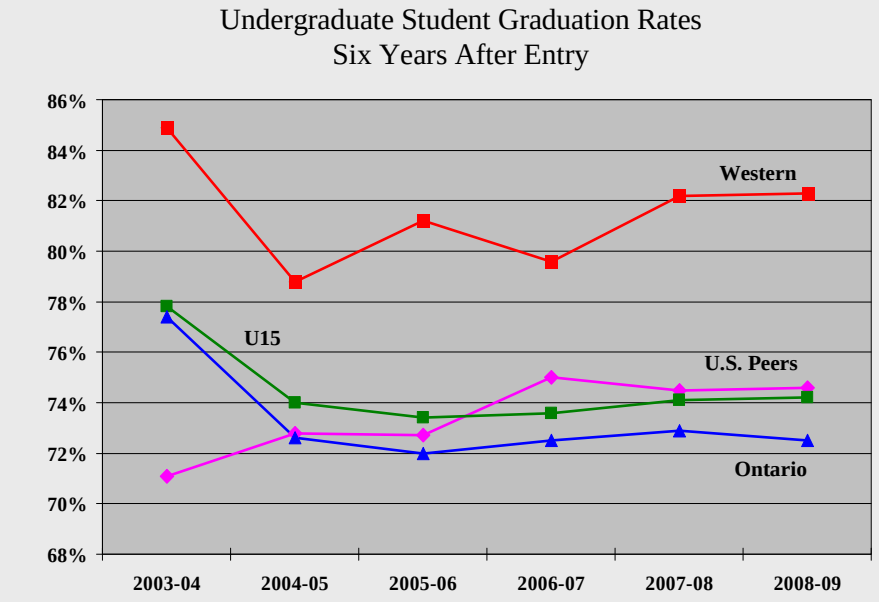
Calculation of Indicator: Each year the participants in the CSRDE submit data for the number of students who have successfully graduated from direct-entry undergraduate programs within six years of their entry into the program.

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

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

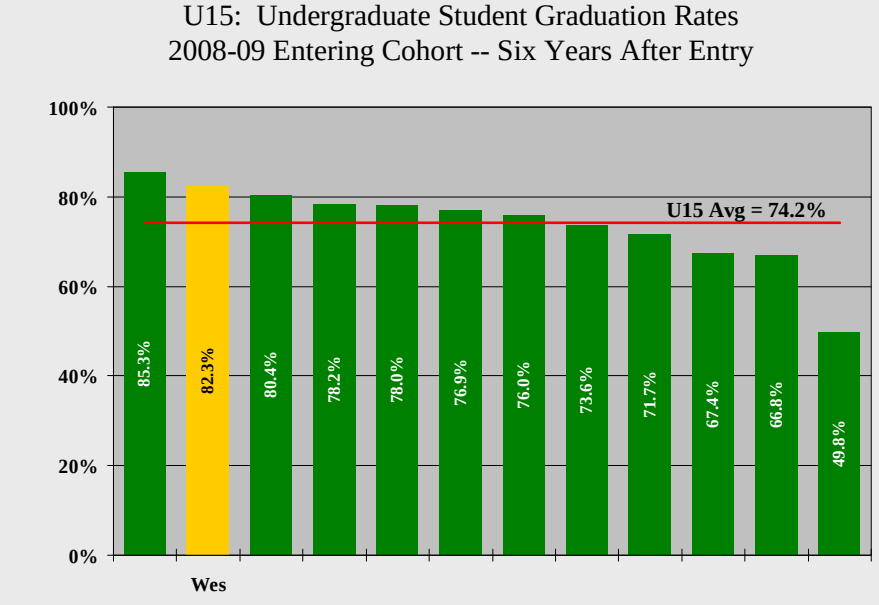
Western's six-year graduation rate is substantially higher than the U15 average, the Ontario average, and the average for U.S. peer institutions. Within the U15 group, Western's graduation rate ranks second overall.

Figure 6



Source: August 2015 CSRDE Peer Institutional Reports. U.S. Peers include the U of Arizona, U of Iowa, U of Georgia, U of Missouri-Columbia, U of North Carolina at Chapel Hill, U of Pittsburgh, U of Utah, and Ohio State University

Figure 7



Source: August 2015 CSRDE Peer Institutional Reports. Excludes Alberta, Laval, and Saskatchewan

Doctoral Students: Completion Rates and Time-to-Completion

Figures 8 and 9

Data Source: U15 Data Exchange.

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

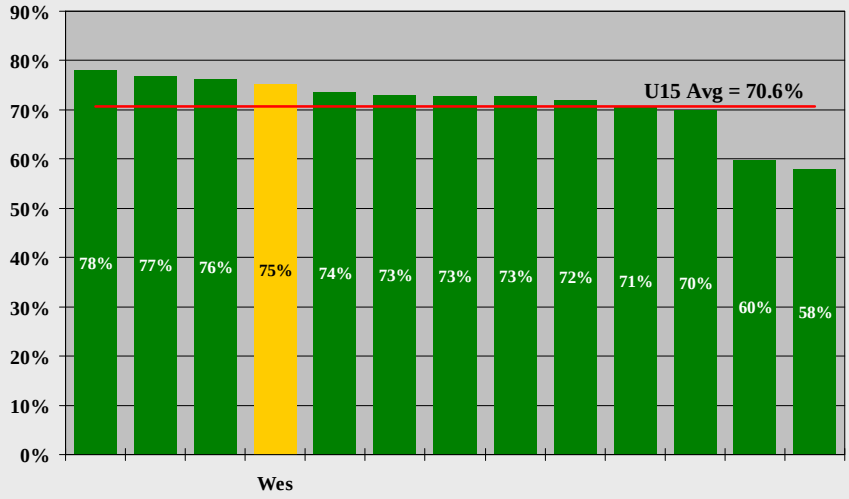
Relation to Strategic Plan: Metric B: Achieve the highest student retention and graduation rates among Canada's leading research-intensive universities.

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

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

Figure 8

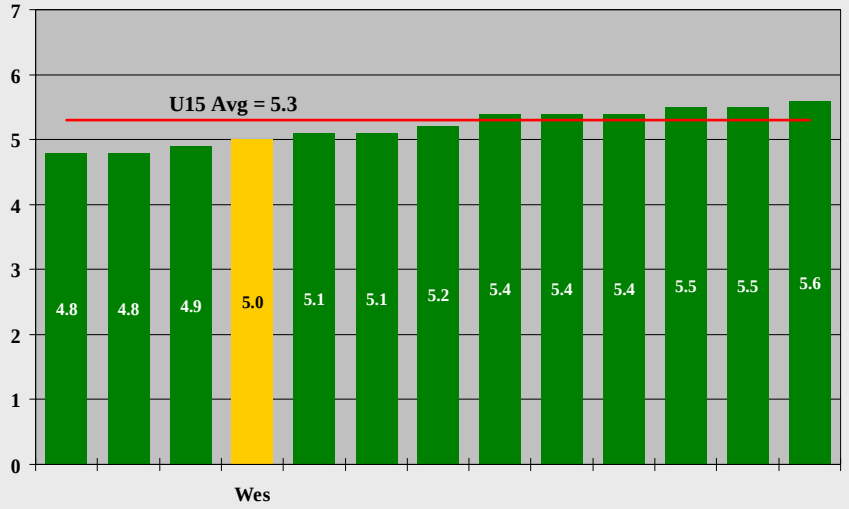
U15: Doctoral Degree Completion Rates
2000-2004 Entering Cohorts – All Disciplines
at Nine Years After Entry



Source: U15 Data Exchange. UBC data are for 2003 and 2004 only; Laval data are for 2002-2004 only; Manitoba data are for 2001-2004 only; Alberta and Montreal data are for 2000-2003 only. Excludes Dalhousie and Saskatchewan

Figure 9

U15: Average Number of Years to Doctoral Degree Completion
2000-2004 Entering Cohorts – All Disciplines



Source: U15 Data Exchange. UBC data are for 2003 and 2004 only; Laval data are for 2002-2004 only; Manitoba data are for 2001-2004 only; Alberta and Montreal data are for 2000-2003 only. Excludes Dalhousie and Saskatchewan

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

Figures 10 and 11

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

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

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

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

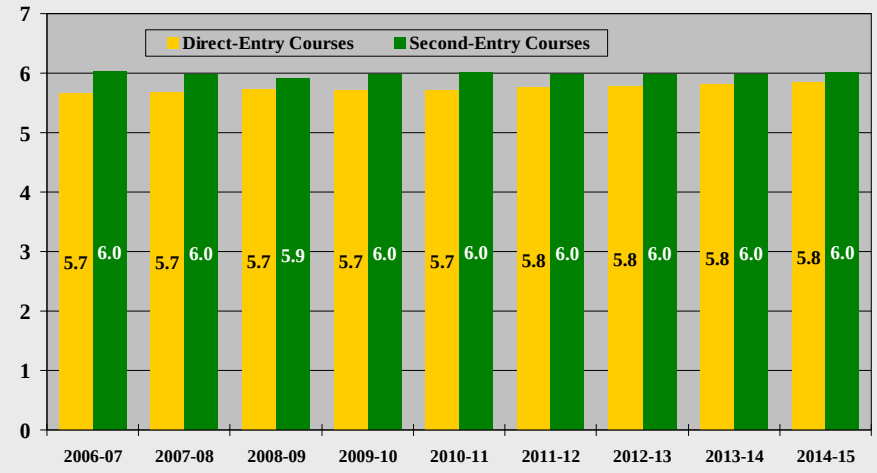
Data Source for Figure 11: Exit survey of all Western undergraduate students at time of graduation.

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

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

Figure 10

Western: Instructor and Course Evaluations
Ratings of Effectiveness of the Instructor

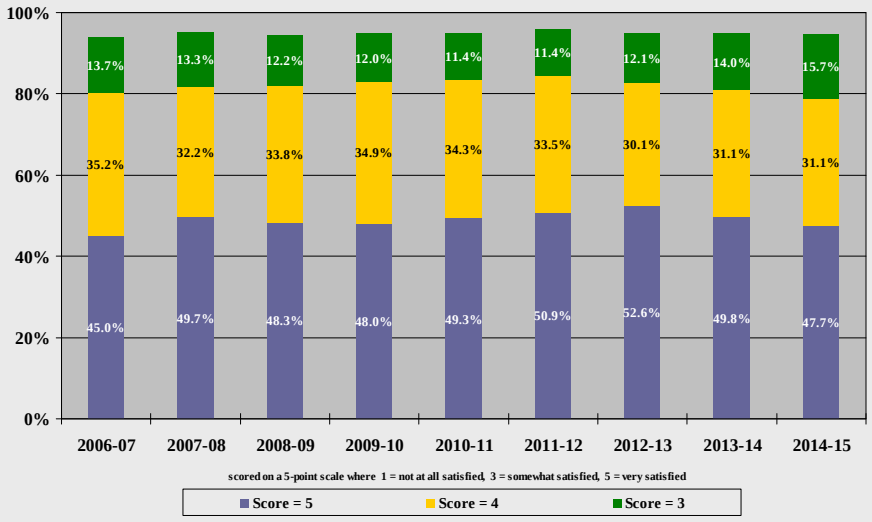


Grading Scale: 7-Outstanding; 6-Very Good; 5-Good; 4-Satisfactory; 3-Borderline; 2-Unsatisfactory; 1-Very Poor

Source: Western University

Figure 11

Western: Overall Satisfaction with Education Received
Percentage of Responses Between 3 and 5 (on a 5 point scale)



Source: Western University

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

Figures 12 and 13

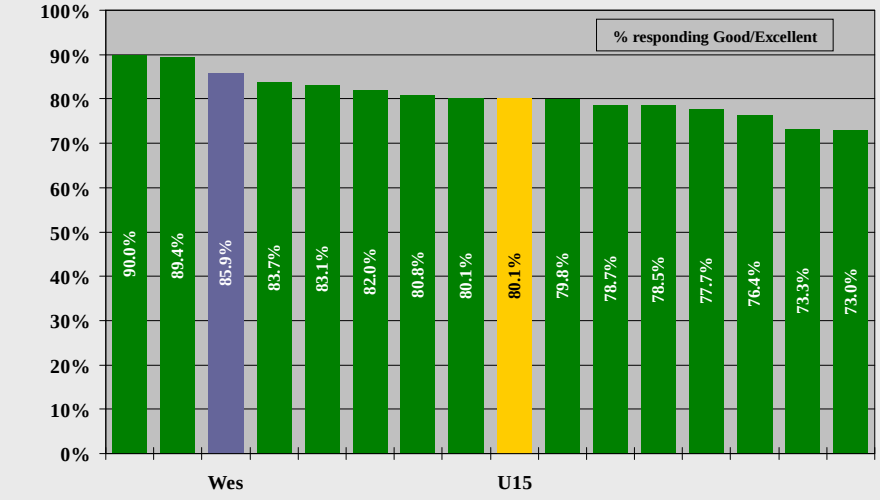
Data Source: National Survey of Student Engagement (NSSE).

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

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

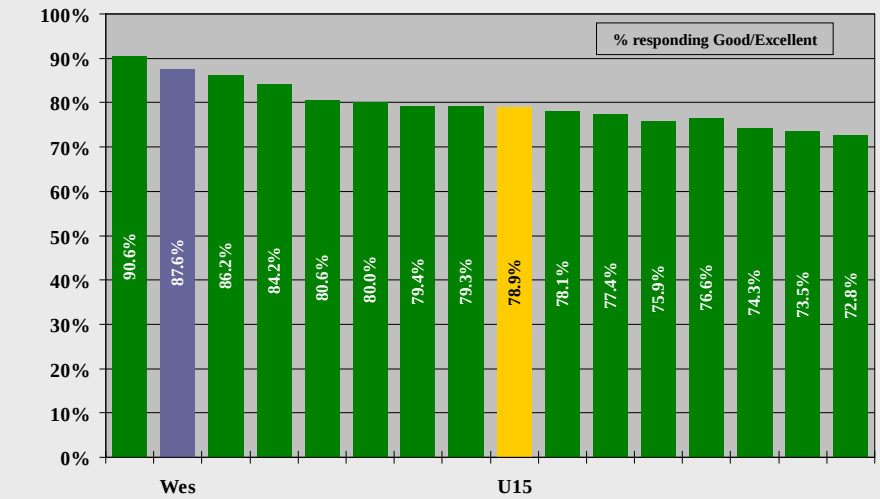
Commentary: About 86% of first-year and 88% of fourth-year students at Western ranked their Western experience as good or excellent. Western far exceeds the U15 average – and ranks third among first-year students and second among fourth-year students.

Figure 12



Source: NSSE 2014 -- U15 Data Exchange

Figure 13



Source: NSSE 2014 -- U15 Data Exchange

International Experience Opportunities for Our Students

Figure 14

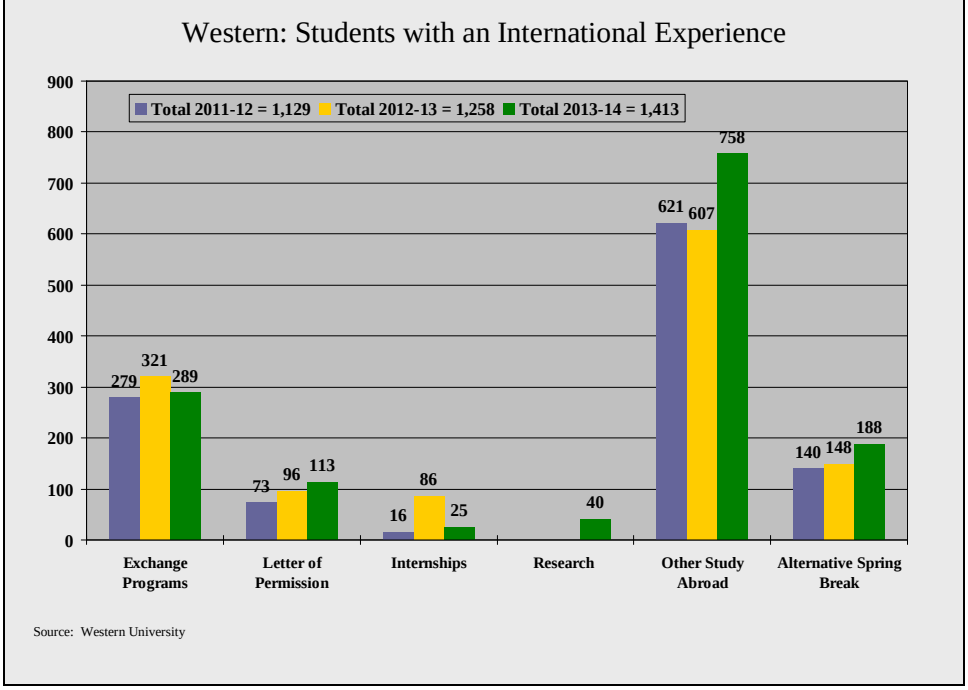
Data Source for Figure 14: Western University.

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

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

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

Figure 14



Source: Western University

Out-of-Province and International Undergraduate Students

Figures 15 and 16

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

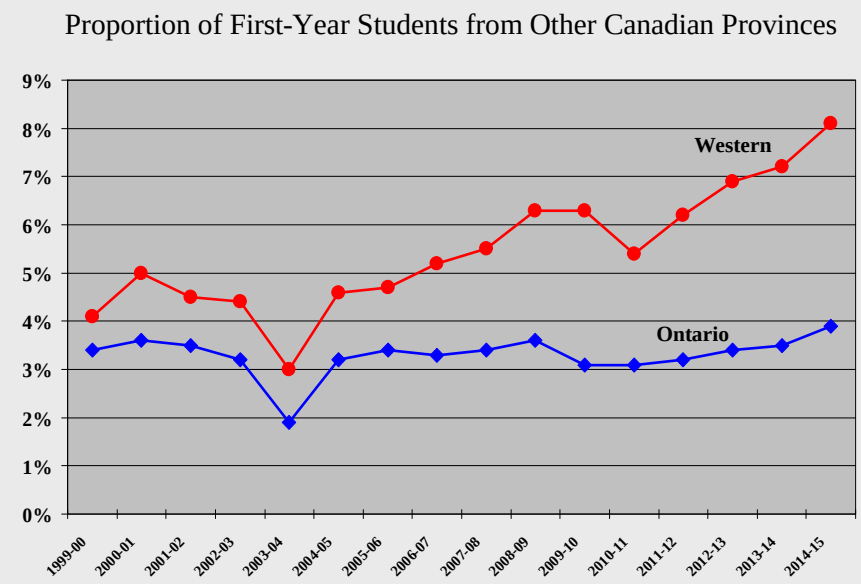
Calculation of Indicator: First-year out-of-Province and international students as a proportion of total full-time first-year direct-entry enrolments – compared to the aggregate of Ontario universities.

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

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

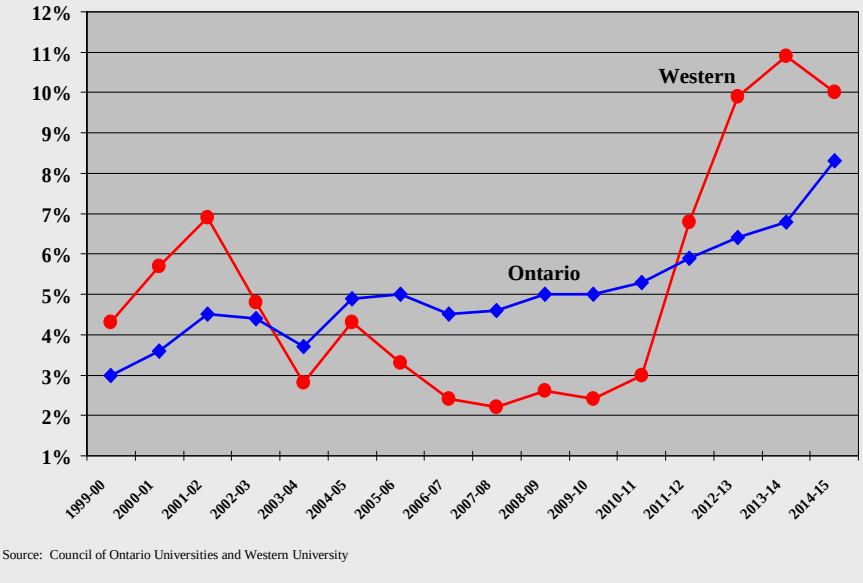
Expansion of undergraduate international enrolment is a strategic priority for the University, and various recruitment strategies have been implemented to achieve enrolment growth. In the most recent year, about 10% of our first-year intake was international students.

Figure 15



Source: Council of Ontario Universities and Western University

Figure 16



Source: Council of Ontario Universities and Western University

Graduate Student Enrolment as a Proportion of Total Enrolment

Figures 17 and 18

Data Source: U15 Data Exchange and Western University.

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

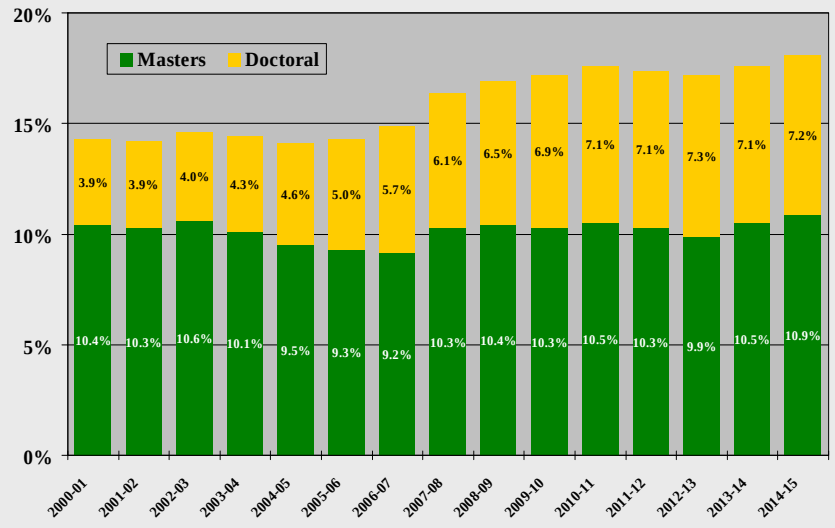
Relation to Strategic Plan: Metric E: Increase graduate student enrolment to at least 20% of the total student body.

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

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

Figure 17

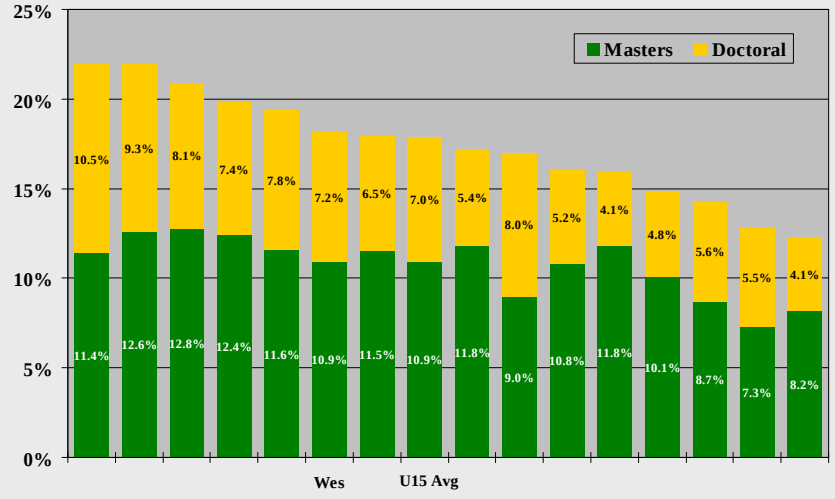
Western: Full-Time Masters and Doctoral Students
as a Proportion of Total Full-Time Student Enrolment



Source: Western University

Figure 18

U15: Full-Time Masters and Doctoral Students
as a Proportion of Total Full-Time Student Enrolment
2014-15



Source: U15 Data Exchange

Gender Balance of Faculty and Staff

Figures 19 through 22

Data Source: U15 Data Exchange and Western University.

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

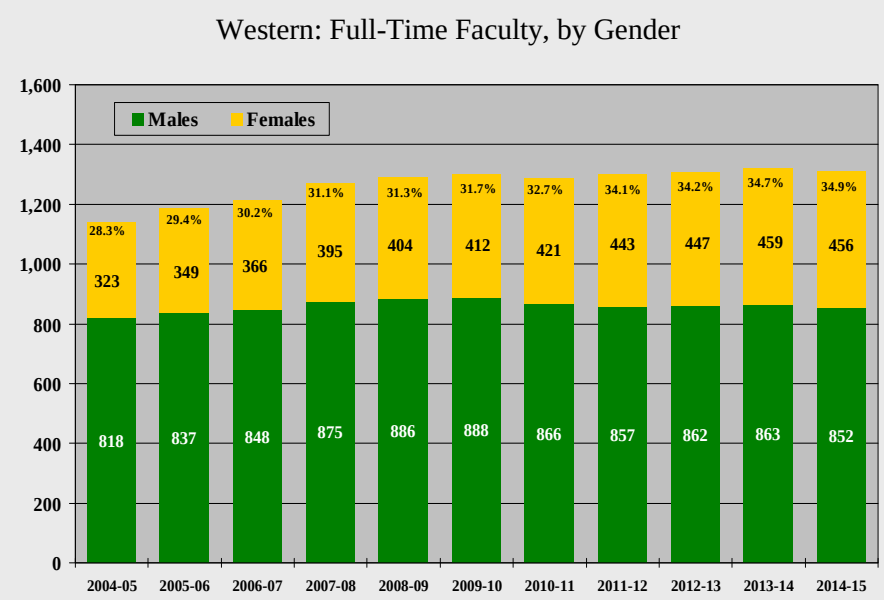
Relation to Strategic Plan: Metric F: Increase diversity among our faculty and staff, including the recruitment and retention of designated employee groups (including women, visible minorities, aboriginal persons, and persons with disabilities) to lead or exceed the U15 averages for representation.

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

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

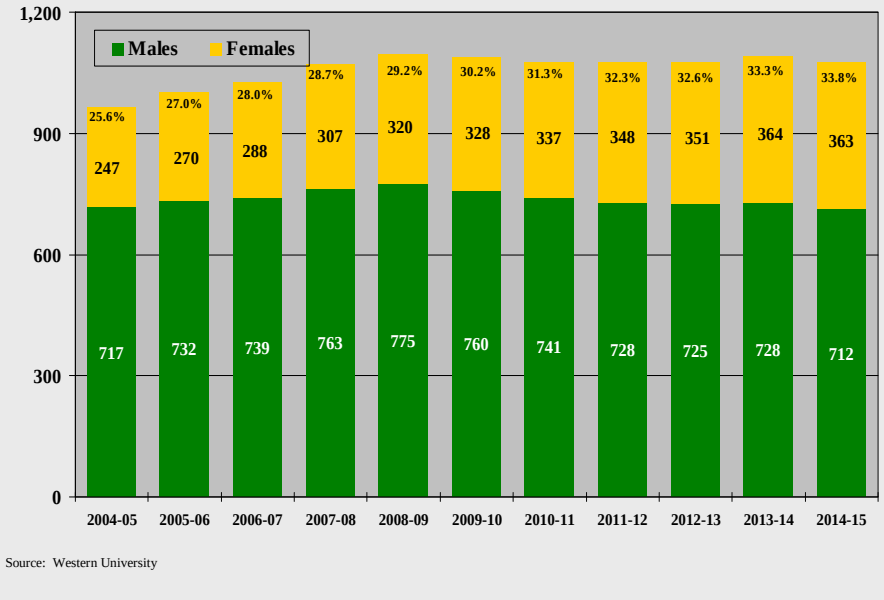
The proportion of women in the full-time staff category at Western has remained stable at about 64%.

Figure 19



Source: Western University

Figure 20



Source: Western University

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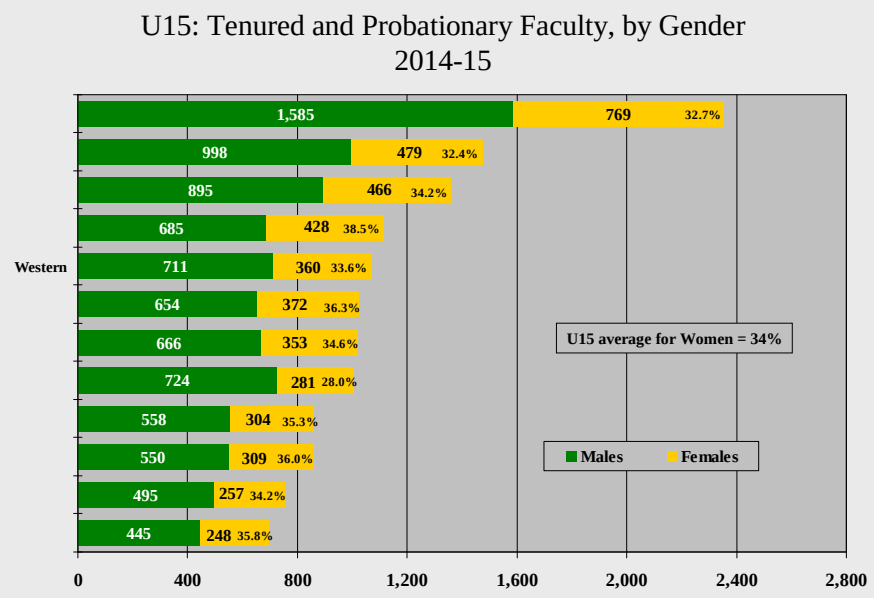
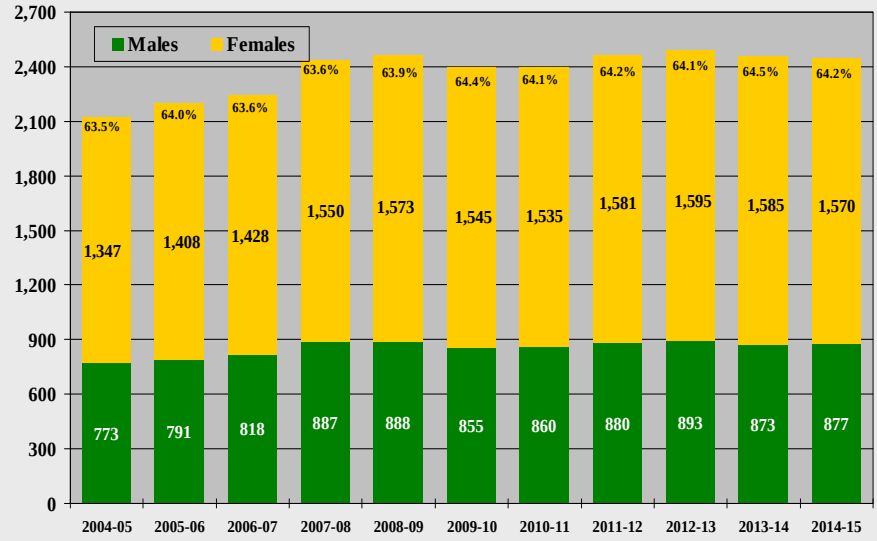
Figure 21



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

Figure 22



Source: Western University

Research Chairs

Figures 23 through 25

Data Source: Western University.

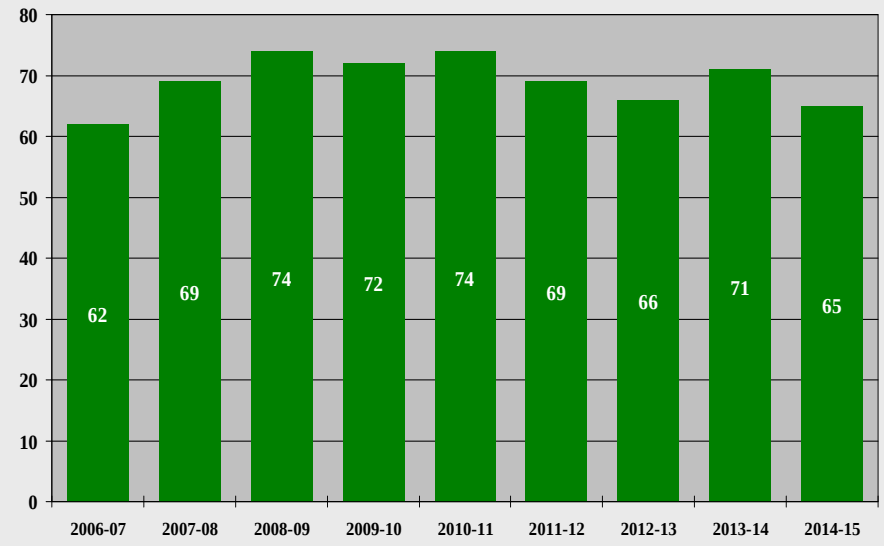
Calculation of Indicator: Counts of externally-funded research chairs and endowed chairs at Western – between 2006-07 and 2014-15.

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

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

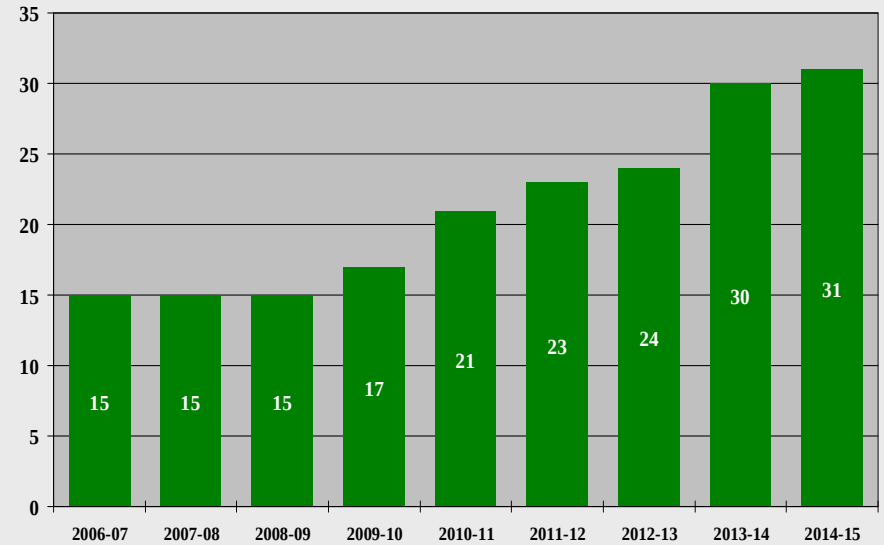
The number of endowed chairs continues to grow – reflecting the emphasis placed on this priority in our fundraising campaign and the commitment of University matching funds in recent years.

Figure 23



Source: Western University

Figure 24



Source: Western University

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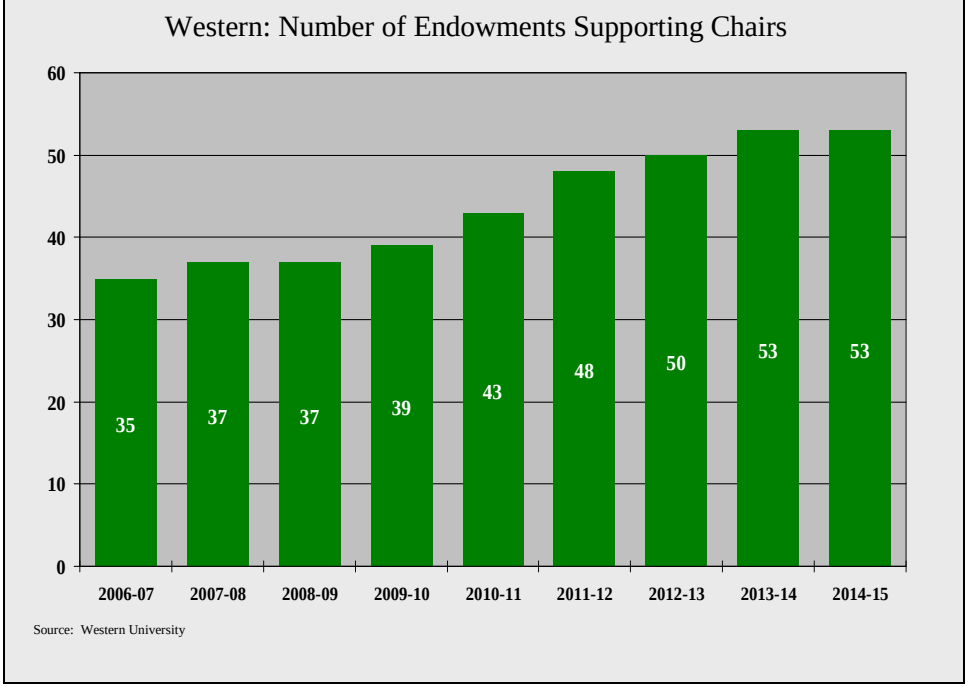
Figure 25



Source: Western University

Research Funding

Figures 26 through 28

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

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

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

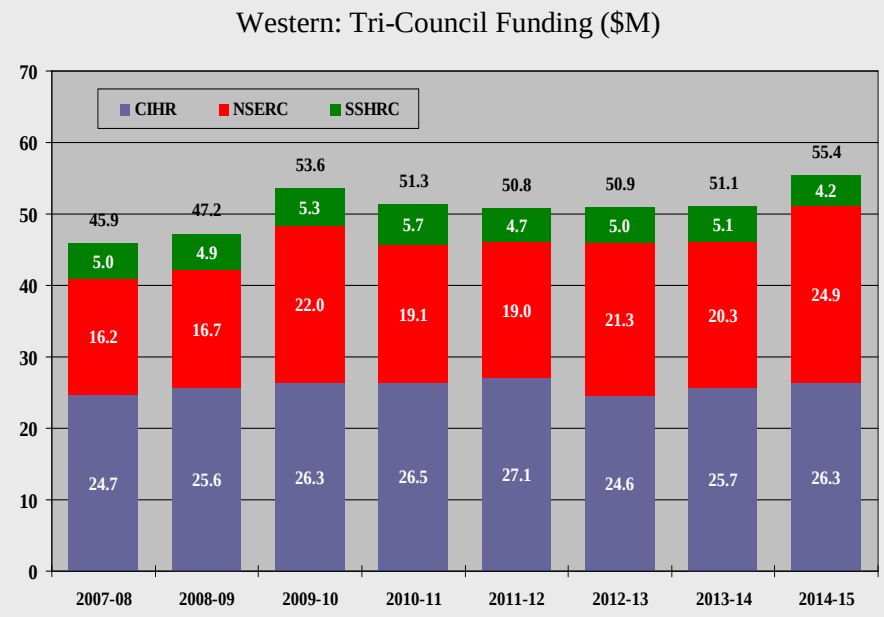
Commentary: In recent years, the total value of funding from the granting councils has remained fairly stable – with a modest increase in the most recent year, largely due to an increase in the NSERC component. However, our shares from CIHR and SSHRC have declined and our share from NSERC has increased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

Data Source for Figure 28: Western University

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

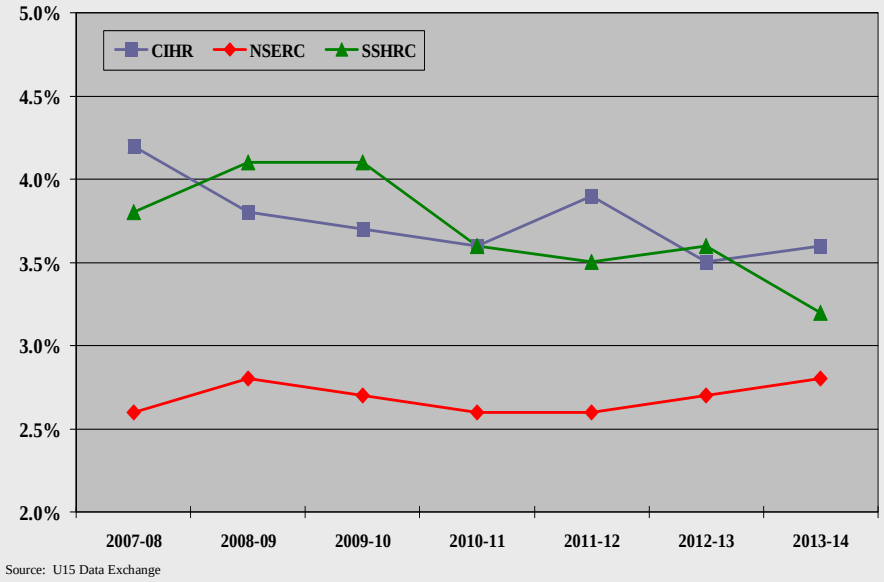
Commentary: Total research funding has remained stable – with minor fluctuations over the 8-year period. The sources of funding include the federal granting councils, other federal government programs, provincial government programs, corporations, foundations, and associations.

Figure 26



Source: Western University

Figure 27



Source: U15 Data Exchange

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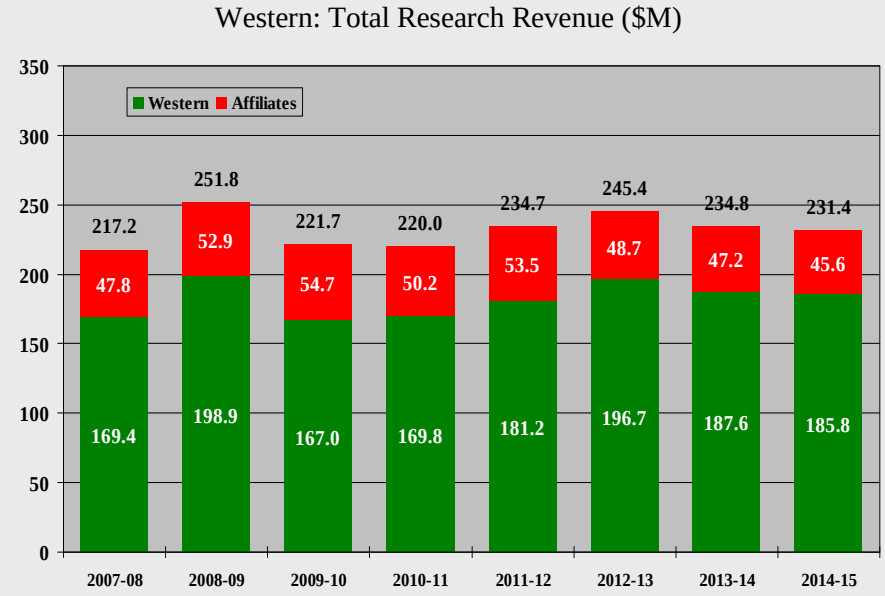
Figure 28



Source: Western University

Teaching and Research Awards

Figures 29 and 30

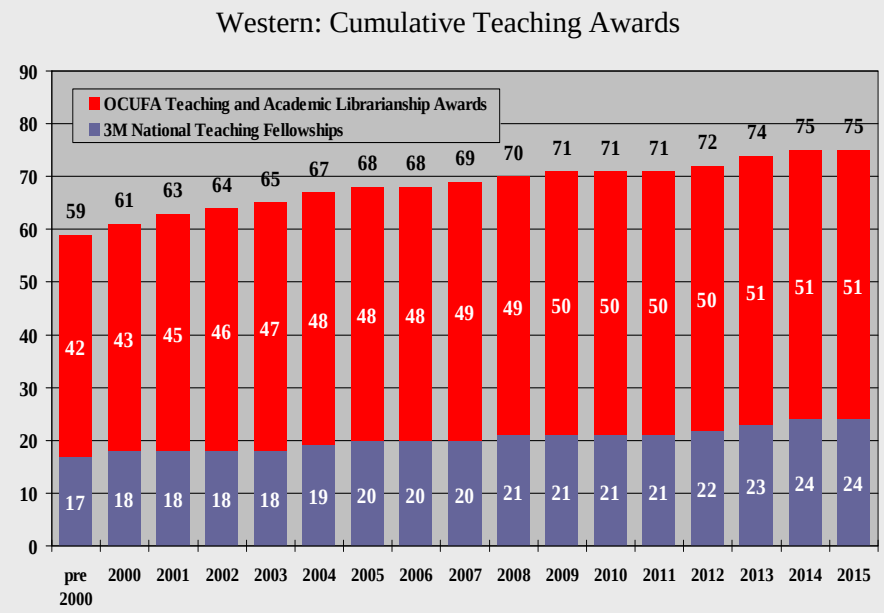
Data Source: Western University.

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

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

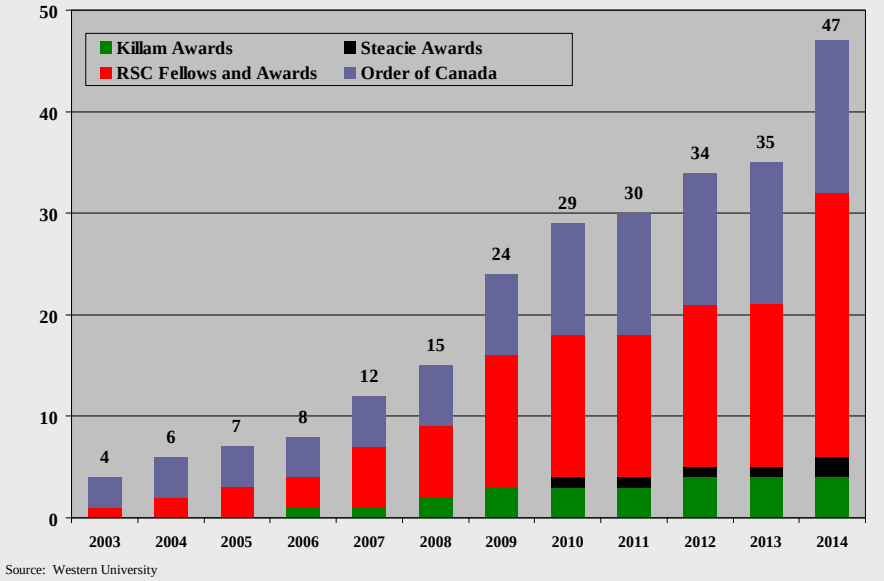
Commentary: The cumulative number of teaching awards – both the OCUFA and 3M Awards – shows a steady pattern of increase. On the research awards side, there is a similar pattern of increase. It should be noted that, starting in 2014, the RSC Fellows and Awards include a new category for new scholars,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

Figure 29



Source: Western University

Figure 30



Source: Western University

Internationally Ranked Faculties, Schools, and Departments

Figure 31 and 32

Data Source: Western University and Ranking Agencies

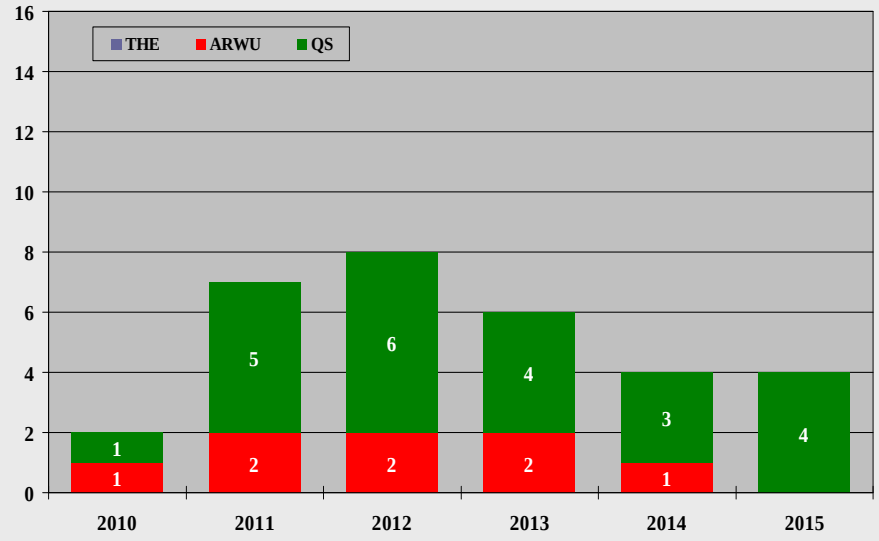
Calculation of Indicator: The number of Departments at Western that rank among the top 100 in the following major international ranking exercises: the Quacquarelli Symonds (QS) World University Rankings, the Times Higher Education (THE) World University Rankings, and the Academic Ranking of World Universities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

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

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

Figure 31

Western: Programs in "Top 100" – QS, THE, ARWU



Source: Western University and Ranking Agencies

Figure 32

Western: Programs/Fields Ranked in "Top 100"

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

Source: Western University and Ranking Agencies

Western: Share of Operating Revenue from Non-Provincial Sources

Figure 33

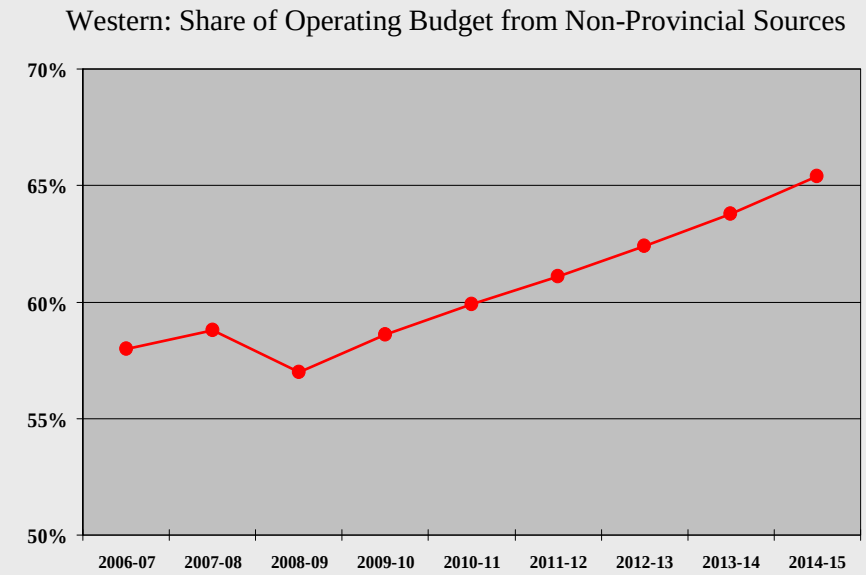
Data Source: Western University.

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

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

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

Figure 33



Source: Western University -- Operating Budget Document. i.e. excluding Core/On-Going Provincial Government Grants

Western's Total Endowment Value

Figure 34

Data Source: Western University

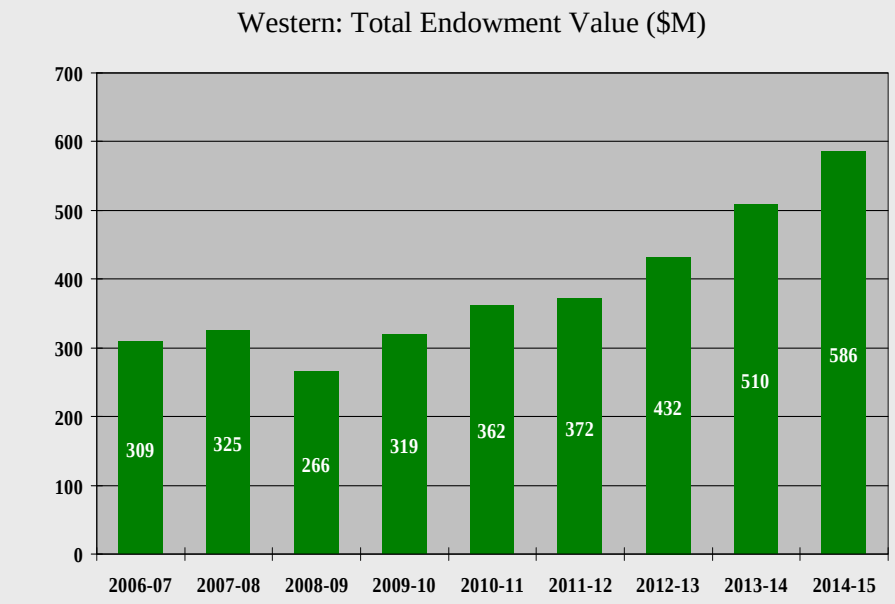
Calculation of Indicator: This indicator is a summary of the total value of Western's endowments at the end of the fiscal year.

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

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

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

Figure 34



Source: Western University Audited financial statements as of April 30th

Comparative Endowment Levels

Figures 35 and 36

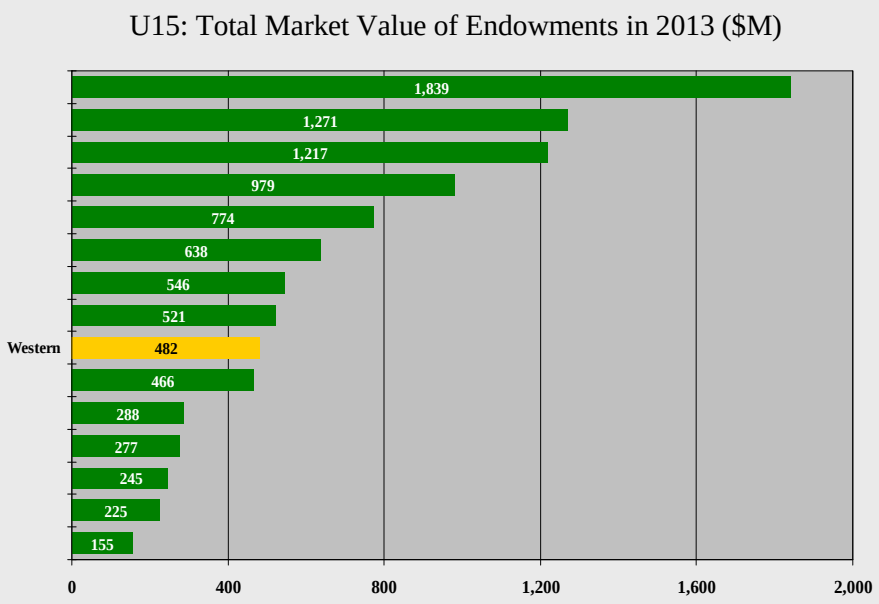
Data Source: The U15 Data Exchange.

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

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

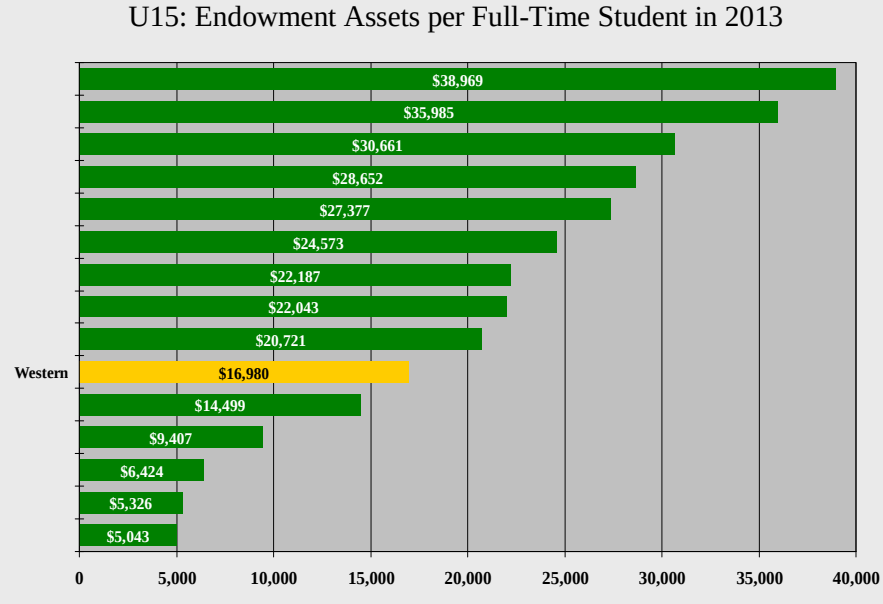
Commentary: The analysis shows that Western's endowment fund, as compared to other U15 institutions, is quite modest in absolute terms. Western's relative position within the U15 is higher by one position compared to the last report. Endowment levels at all of the U15 institutions have increased as a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

Figure 35



Source: U15 Data Exchange

Figure 36



Source: U15 Data Exchange

Fundraising Campaign

Figures 37 and 38

Data Source: Western University.

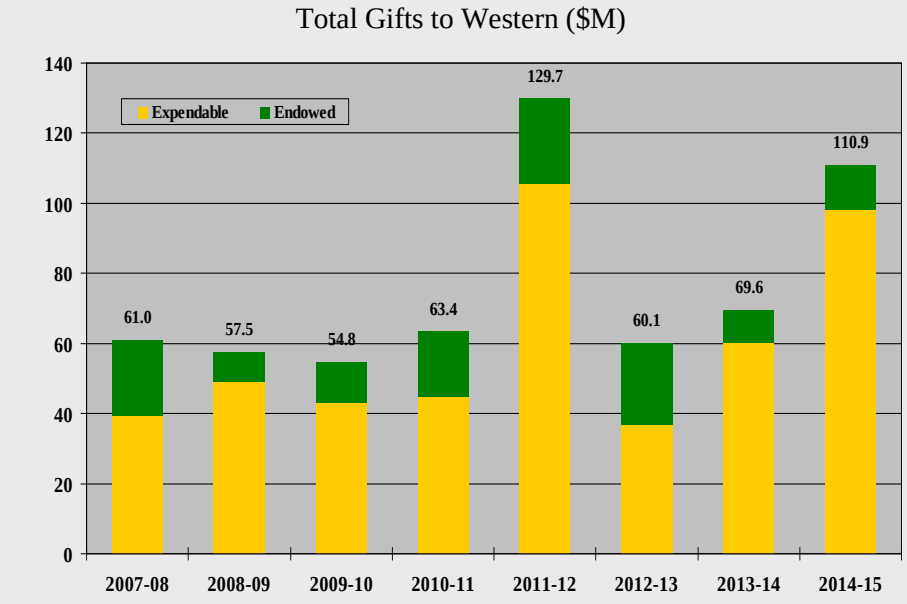
Calculation of Indicator: The value of annual gifts to Western and the cumulative status of funds raised to-date, as part of our current Fundraising Campaign.

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

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

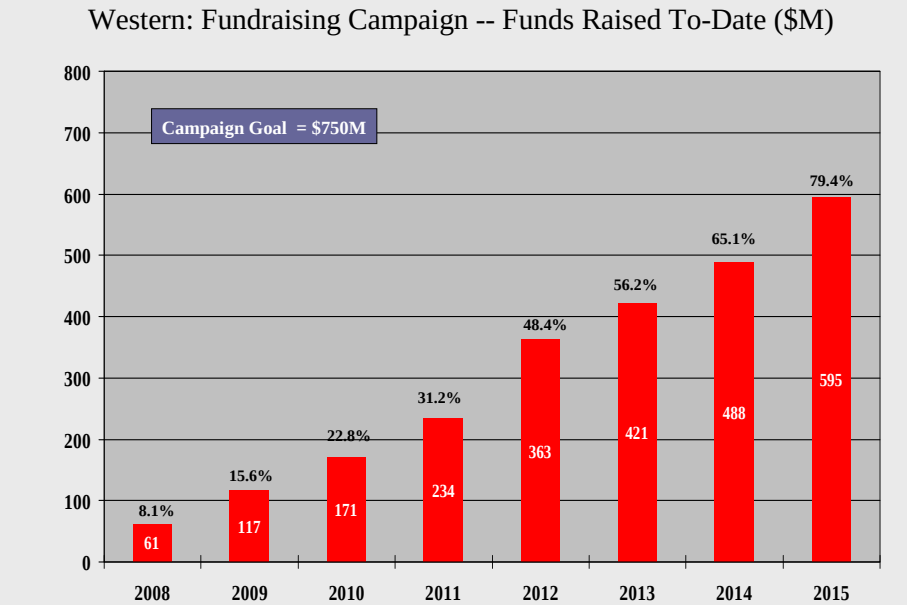
Our current fundraising campaign ends with 2017-18, with a goal of raising $750 million. As of April 30, 2015, we were at 79.4% of this goal – or $595 million.

Figure 37



Source: Western University

Figure 38



Source: Western University

Alumni Engagement

Figure 39

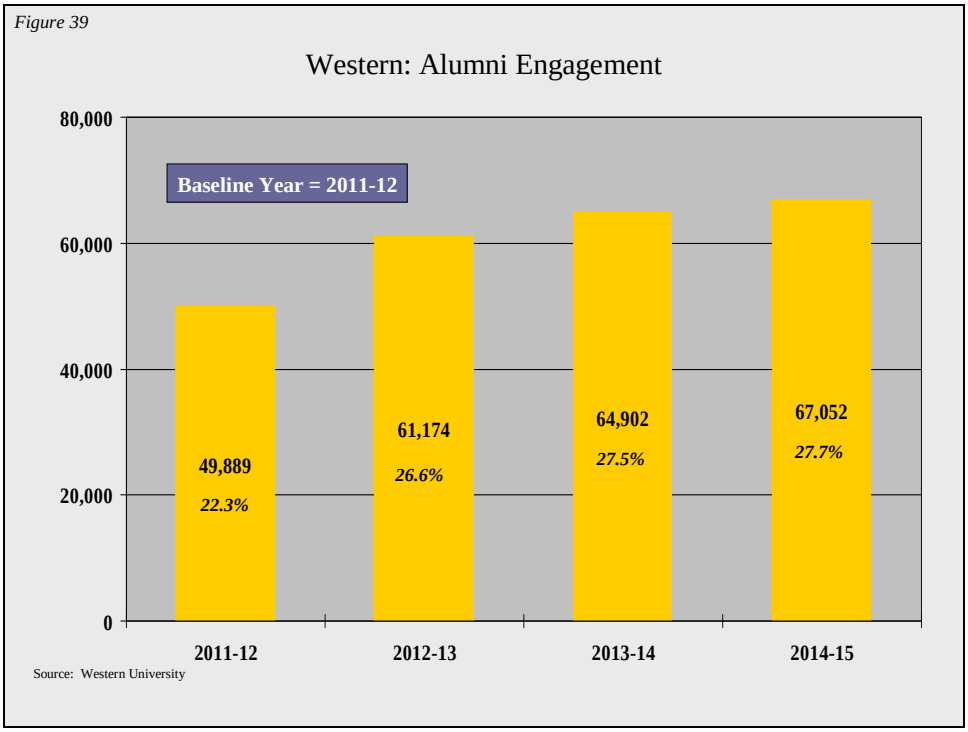
Data Source: Western University.

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

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

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

Figure 39


Western: Alumni Engagement
80,000
60,000
40,000
20,000
0
Baseline Year = 2011-12
49,889
22.3%
61,174
26.6%
64,902
27.5%
67,052
27.7%
2011-12
2012-13
2013-14
2014-15
Source: Western University

ESTABLISHMENT AND DONOR FUNDED NAMING APPROVALS

Establishments/Approvals Type of Gift	Relevant MAPP Policies	Gift Acceptance/Donor Agreement Processes[1]	Other Approvals	VP External	VP Research	Scholarship Review Subcommittee	SCAPA	URB	SCUP	Senate	FRDRC	Property & Finance	Board of Governors
Named Funds	2.1 Gift Acceptance; 1.44 Naming Policy	Relevant Dean; Dept/School/Program Chair; and other consultations as appropriate		Approves donor/gift agreement									
Named Student Awards Establishment of award and the donor namimg presented together	2.1 Gift Acceptance; 1.44 Naming Policy; 2.10 Student Scholarships, Awards and Prizes	Relevant Dean; Dept/School/Program Chair; Vice-Provost (Academic Programs); and other consultations as appropriate		Approves donor/gift agreement		Recommends	Approves			For Information		Approves	For Information
Named Academic Positions Establishment of an academic position and donor naming usually presented together	2.1 Gift Acceptance; 1.44 Naming Policy ; 2.22 Funding of Academic Chairs, Professorships and Designated Faculty Fellowships	Relevant Dean(s); Relevant Dept/School/Program Chair; Provost; and other consultations as appropriate	Faculty Relations, Financial Services for confirmation of consonance of terms of refererence with various policies	Approves donor/gift agreement					Normally Recommends[2]	Normally Approves[2]		Approves	For Information
Buildings	2.1 Gift Acceptance; 1.44 Naming Policy; 1.9 Naming of Campus Buildings, Physical Structures and Space	President; Vice-Presidents, Relevant Dean(s); Relevant Dept/School/Program Chairs or Unit Heads; and other consultations as appropriate		Approves donor/gift agreement							Recommends		Approves
Building Components and Spaces	2.1 Gift Acceptance; 1.44 Naming Policy; 1.9 Naming of Campus Buildings, Physical Structures and Space	Relevant Dean; Relevant Dept/School/Program Chair or Unit Heads; and other consultations as appropriate		Approves donor/gift agreement							Approval by Subcommittee One[3]/ For Information to FRDRC; or to full FRDRC		For Information
Named Faculties, Schools, Departments and Programs	2.1 Gift Acceptance; 1.44 Naming Policy	Relevant Dean; Relevant Dept/School/Program Chair; and other consultations as appropriate	President, Vice-Presidents, Faculty Council and Faculty Executive	Approves donor/gift agreement					Recommends	Approves & Recommends to Board	Recommends	Recommends	Approves
Other - lectures, collections, ornamental structures, programs of service or recreation and the like	2.1 Gift Acceptance; 1.44 Naming Policy	Relevant Dean, Relevant Dept/School/Program or Unit Head; and other consultations as appropriate		Approves									
New Research Institutes - Establishment and Naming Information on establishment and donor funding with naming presented together in all materials.	Policy 7.9 Establishment, Governance and Review of Research Institutes, Centres and Groups; 2.1 Gift Acceptance; 1.44 Naming Policy;	Relevant Dean(s); Relevant Dept/School/Program Chairs; and other consultations as appropriate	Dept/School/Program Chairs; Relevant Dean(s); VP Research; Committee on Research Institutes[5]	Approves donor/gift agreement	Recommends (as chair of CRI)			Recommend		Approves & Recommends to Board	Approves Naming through Subcommittee Two[4]/ For Information to FRDRC; or full FRDRC		Approves
New Research Centres - Establishment and Naming Information on establishment and donor funding with naming presented together in all materials.	Policy 7.9 Establishment, Governance and Review of Research Institutes, Centres and Groups; 2.1 Gift Acceptance; 1.44 Naming Policy	Relevant Dean(s); Dept/School/Program Chairs and other consultations as appropriate	Dept/School/Program Chairs; Relevant Dean(s)	Approves donor/gift agreement	Approves			For Information		For information	Approves Naming through Subcommittee Two[4]/ For Information to FRDRC; or full FRDRC		
Research Groups - Establishment and Naming Information on establishment and donor funding with naming presented together	Policy 7.9 Establishment, Governance and Review of Research Institutes, Centres and Groups; 2.1 Gift Acceptance; 1.44 Naming Policy	Relevant Dean(s); Dept/School/Program Chairs; and other consultations as appropriate	Relevant Dean(s) for Approval; VP Research for Approval of Naming	Approves donor/gift agreement - recommends naming	Recommends naming						Approves Naming through Subcommittee Two[4]/ For Information to		
Naming of Previously Established Institutes, Centres and Research Groups - would follow process for approval of establishment of the entity	2.1 Gift Acceptance; 1.44 Naming Policy	Relevant Dean(s); Dept/School/Program Chairs; and other consultations as appropriate	As required by type of entity	Approves donor/gift agreement	Recommends naming			As required by type of entity		As required by type of entity	Approves Naming through Subcommittee Two[4]/ For Information to FRDRC; or full FRDRC		As required by type of entity

[1] Consultations with senior administration, faculty and staff regarding gift to receive opinions and guidance; to ensure compliance with applicable policies; and/or signing of donor agreement

[2] SCUP may approve on behalf of the Senate and Board through confidential process to accommodate a public gift announcement

[3] FRDRC Subcommittee One consists of the Chair of FRDRC, Chair of P&F and the President; Subcommittee may recommend to full FRDRC for approval

[4] FRDRC Subcommittee Two consists of the Chair of FRDRC, Chair of P&F, the President and Provost; Subcommittee may recommend to full FRDRC for approval

EXHIBIT IV

REPORT OF THE UNIVERSITY RESEARCH BOARD
(URB)

Interim Report of the URB Task Force Steering Committee – Support for SSAH Research at Western University

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FOR INFORMATION

1. **Interim Report of the URB Task Force Steering Committee – Support for SSAH Research at Western University**

See **Appendix 1**.

URB Task Force Steering Committee
Support for SSAH Research at Western

Interim Report

January 20th, 2016

Steering Committee Membership:
Andrew Nelson (Chair); Cathy Benedict; Jacquie Burkell;
Alison Doherty; Jonathan Vance, Charles Weijer

Contents

Preamble

The Task Force Steering Committee (SC) was formed by the University Research Board (URB) at the request of the Vice-President (Research) to examine the ways in which researchers in Social Science, Arts, and Humanities (SSAH) disciplines are supported at Western. The proposal for this Task Force was first presented to Senate by Dr. Capone as part of the President's *Engaging the Campus Community* report (S.15-107a) on June 5th, 2015. The final details were approved by the URB and were presented to Senate by Dr. Capone as part of the *Report of the University Research Board* (S.15-166) on September 18th, 2015. The Membership, Mission and Terms of Reference of the Task Force, were included in the Senate documents of that date in Exhibit IV, Appendix 1. That document is included here as Appendix A. This interim report was to be delivered in mid-January, and a final report in early April, 2016.

This task force is one of several initiatives that were undertaken as part of the Western community's response to the issues surrounding Executive compensation and wider concerns about governance at Western. See http://www.uwo.ca/univsec/ for a listing of these initiatives. Concerns expressed by the Western SSAH community focused on the current structure of internal funding, on the perceived lack of appreciation for and support of SSAH research, and on a perceived bias against SSAH research in official communications and advocacy efforts from the University (see the "Working Paper on Research Funding at Western University, July 19th, 2015, prepared by a faculty working group in the Faculty of Arts & Humanities - https://senateoflilliputwest.wordpress.com/ah-working-papers/research/).

The details of the Terms of Reference were crafted to address these issues, and are presented in Appendix A, but they can be summarized here as follows:
1) what is the external (to Western) context for SSAH research?
2) how is SSAH research valued at Western, and how does Western recognize leading edge scholarly activity in the SSAH disciplines?
3) how is SSAH research supported at Western, and how can that support be improved?

In order to pursue these areas of inquiry, the steering committee recruited members for three working groups, which map onto the three key questions presented above. Each working group includes two or more SC members, additional faculty from the 8 SSAH faculties (with one representative from Schulich), and a graduate student. Complete working group membership is presented here in Appendix B. The SSAH ADR group has been an important advisory group, as well as a vehicle for disseminating information.

Activities

The three working groups have been following different schedules and strategies as a means of addressing their key questions.

Working Group #1 – external context. The initial step taken to address the external context was for SC members Nelson & Weijer to visit the primary SSAH funding agencies in Ottawa on September 28th, 29th and 30th. During that visit, they met with Vice President or equivalent staff members of Canadian Institutes for Health Research (CIHR), National Science and Engineering Research Council (NSERC), Social Science and Humanities Research Council (SSHRC), National Centres for Excellence (NCE), Canada Foundation for Innovation (CFI) and the Canada Council for the Arts. We are grateful for the cooperation and assistance of these individuals. They are listed in Appendix C. Since then, Working Group 1 has been collating the notes from that visit, working through council documents and following up to the visits with telephone conversations. One important task being undertaken by this working group

is to analyze the rhetoric and design of the web sites of the external agencies, as well as a discourse analysis of their (and our own) strategic plans seeking to understand how the design and language use reflect the stated goals of those institutions.

Working Group #2 – SSAH research at Western. The working group includes one representative from each of the eight SSAH faculties on campus. With the support of the VPR, we have hired two research assistants to assist with this component of the task force activities.

This working group has taken a dual-pronged approach to gauge the opinions of SSAH researchers at Western, including both qualitative consultations and an online survey that will be made available to all SSAH faculty members. Each faculty representative is coordinating consultations within their faculty, facilitated by an interview guide developed by the Working Group (included here as Appendix D). These consultations began in November, and will continue until mid-February. Across the SSAH faculties, a variety of consultation approaches are being used, including individual interviews, group interviews, discussions at departmental and faculty meetings, and email exchanges. These consultations allow a rich and fine-grained exploration of issues with small groups and/or individuals within each faculty. The working group is also undertaking an online Qualtrics survey of SSAH faculty members at Western. The survey has been drafted, based on the interview guide and early results of the faculty consultations. The survey is included as Appendix E. The link to the survey will be distributed to all SSAH faculty members by the Associate Deans of Research in the respective faculties, with the objective of maximizing participation from SSAH faculty members. The results of the survey and faculty consultations will be integrated into a report summarizing faculty member perspectives on the ways in which SSAH research is supported at Western.

Working Group #3 – support for SSAH research at Western. Working Group #3 has been sampling a variety of aspects of the ways in which SSAH research is supported at Western and how that support might be improved. This includes:

- a consultation on centrally controlled internal funding support for SSAH research at Western, being done as part of the WG #2 consultations
- analysis of historic versus current funding patterns (being done in consultation with Patrick Callaghan)
- a survey of internal funding practices at other universities
- consultation with communications officers in the various faculties and at RDS and Western Communications
- consultation with Western Alumni

Finally, the three working group members who are students have formed a separate working group to sample the students' perspectives on supports for SSAH research at Western.

In addition, the committee Chair has met, or will soon meet, with the eight SSAH faculties at the Chair or Director level to discuss the activities of the task force.

Interim Findings

The activities of this task force are ongoing, and the SC is keen not to anticipate any of the conclusions of the final report. However, the mission and terms of reference of the task force were designed with an iterative flow of information from one section to the next. This is particularly true of the external context of the SSAH disciplines in Canada, so that context will be explored in some detail here. Final recommendations will be presented in the final report of this task force.

1). The External Context for SSAH Research in Canada

For our assessment of the external context for SSAH research in Canada, we chose to visit with CIHR, NSERC, SSHRC, NCE, CFI and the Canada Council for the Arts during a trip to Ottawa in September 2015. The Canada Council does not fund research, but many of its concerns with relevance, excellence and value for dollars are similar to those that cross the SSAH spectrum. These visits were followed up with emails and telephone calls as appropriate. The Federation for Humanities and Social Sciences and the Canada Research Chairs secretariat were not visited at that time, but separate consultations were held with them.

In the wake of the fall 2015 election, there is a sense of relief and optimism for the future of research in Canada among the granting councils. From the SSAH perspective, the new Minister of Science, Kristy Duncan, has a PhD in Geography, the new Minister of Innovation, Science and Economic Development, Navdeep Singh Bains, has a degree in Finance, and the long form census has been quickly restored. However, many contacts were also cautious, noting that funding for research had also been cut by previous Liberal governments. An interesting analysis of the current research situation in Canada can be found in a Times Higher Education article: https://www.timeshighereducation.com/features/are-blue-skies-back-for-canadas-scientists.

In the following section, each agency will be reviewed, touching on their mandate, their current strategic direction, and where appropriate, comments about specific concerns, issues and opportunities.

SSHRC

SSHRC is coming to the end of its current strategic plan *Strengthening Canada's Cultures of Innovation - Strategic Plan 2013-16* (http://www.sshrc-crsh.gc.ca/about-au_sujet/publications/strategic_plan_2013-16-plan_strategique_2013-2016_e.pdf), which saw substantial changes in program architecture (initiated in the document *Framing Our Direction 2010–12*). These changes saw the streamlining of SSHRC's myriad funding opportunities into three main areas: Insight, Partnership and Talent. SSHRC's next strategic plan will apparently not be "revolutionary", but it will focus the emphasis on three broad areas:

- SSHRC's role in equipping the research community to deal with and promote research excellence in the context of the evolving landscape – includes the greater integration of Aboriginal research
- partnerships – expand and extend reach – including knowledge mobilization
- connect the SSAH disciplines to Canadians (Imagining Canada's Future – see below)

The current program architecture is deemed to be solid, so the focus will be on capitalizing on our research efforts and responding to demand from the community at large. Open access, digital data management and knowledge mobilization will continue to be areas of emphasis at SSHRC.

An important feature of SSHRC's current strategic plan has been its emphasis on *Imagining Canada's Future*. This initiative was launched in 2011, but it is outlined in the 2013 document *Imagining Canada's Future - Future Challenge Areas and Sub-questions* http://www.sshrc-crsh.gc.ca/society-societe/community-communite/Future_Challenge_Areas-domaines_des_defis_de_demain-eng.aspx. SSHRC has assigned an Associate Vice President to this area (Ursula Gobel). The objectives of this initiative are to inspire researchers to work collaboratively on issues of relevance to Canada today, to position SSHRC research as making a valid and concrete contribution to Canadian society, now and in the future, and to provide a framework for communicating the value of SSAH research to stakeholders and society at large.

Since the new program architecture was rolled out, SSHRC has tinkered with the way budgets are handled, which has led to some confusion within committees and to applicants. The principle outcome has been the concentration of larger sums of money in fewer projects, driving success rates down considerably from historic levels of ca. 40% (37% in 2011-2012, the last year of Standard Research Grants) to ca. 25% (23.4% for Insight grants in 2015-16) (http://www.sshrc-crsh.gc.ca/results-resultats/stats-statistiques/index-eng.aspx). Applications to the Insight program were down by approximately 320 in the fall of 2015, perhaps reflecting the reduction in success rate.

One SSHRC issue that continues to be a source of frustration with the social determinants of health research community is the decision that SSHRC should not fund health related research. This decision was the result of the 2008 "Strategic Program Review" as part of the 2009 Federal budget, and it fell under the heading "Streamlining research activities to reduce overlap in granting programs" (see http://www.budget.gc.ca/2009/plan/bpa3-eng.html). As this was a decision of cabinet, no additional public reports with details about the decision are available. SSHRC has certainly heard the concerns of the research community and they are making some efforts to improve the situation. For example, over the years, the guidelines for subject matter eligibility have solidified and become clearer (see http://www.sshrc-crsh.gc.ca/funding-financement/apply-demande/background-renseignements/selecting_agency-choisir_organisme_subventionnaire-eng.aspx), and this year a joint CIHR-SSHRC Partnership Development Grant opportunity in "Healthy and Productive Work" was rolled out (see http://cihr-irsc.gc.ca/e/49213.html). However, it is clear that the overall decision to remove health from SSHRC's mandate will not change any time soon. Thus, our researchers should take advantage of the opportunities that do arise, and we should support them to be better positioned within CIHR (see below).

CIHR

According to the Parliamentary act of creation for the CIHR (Canadian Institutes of Health Research Act, S.C. 2000, c. 6 http://laws.justice.gc.ca/eng/acts/c-18.1/page-1.html):
"The objective of the CIHR is to excel, according to internationally accepted standards of scientific excellence, in the creation of new knowledge and its translation into improved health for Canadians, more effective health services and products and a strengthened Canadian health care system, by"… among other things,
"(d) encouraging interdisciplinary, integrative health research through the creation of Health Research Institutes that

(i) together pertain to all aspects of health,
(ii) include bio-medical research, clinical research, research respecting health systems, health services, the health of populations, *societal and cultural dimensions* of health and environmental influences on health, and other research as required." (emphasis added)

Thus, CIHR's mandate encompasses all major themes of health research, *regardless of the discipline*, under the four pillars of 1. Biomedical, 2. Clinical, 3. Health Services and 4. Social, Cultural, Environmental and Population Health.

In the wake of the 2008 Strategic Program Review referred to above, all health related research that had previously been funded by SSHRC or NSERC was directed to CIHR, where, according to the CIHR Act it should have found a welcoming home. However, it is clear that this has not been universally the case. The committee structure and rigid quantitative approach to analysis, among other things, made it difficult for SSAH-health oriented projects to be successful at CIHR (see Graham, J. et al. 2011. The end of medical anthropology in Canada. University Affairs http://www.universityaffairs.ca/opinion/in-my-opinion/the-end-of-medical-anthorpology-in-canada/). The lack of coordination among the councils has been recognized (see CIHR's International Review Panel Report, June 2011 - http://www.cihr-

irsc.gc.ca/e/43993.html). However, there are signs that things are improving. According to internal CIHR data made available to the committee, CIHR has seen a 69.9% increase in applications for health-related social science and humanities research over the past 10 years, with an average success rate of 28%. This represents a total of $254.6M for Investigator initiated projects and $115.7M through priority-driven mechanisms.

CIHR is in the throes of unrolling its new funding program scheme as outlined in its strategic plan *Health Research Roadmap II: Capturing Innovation to Produce Better Health and Health Care for Canadians* (see http://www.cihr-irsc.gc.ca/e/48964.html). The new Roadmap created two new streams of funding, the Foundation and Project schemes, and replaced the previous committee structure with a new College of reviewers. While there is a great deal of debate in the community about this new Roadmap (see Drinkjakovic J., 2014 Funding changes usher in a dark age for Canadian science – Globe & Mail - http://www.theglobeandmail.com/news/national/funding-changes-usher-in-a-dark-age-for-canadian-science/article22100092/) it is possible that this initiative may further improve the chances for SSAH researchers at CIHR (see Halbersma J. 2014 It's time for social scientists of apply for CIHR grants. University Affairs http://www.universityaffairs.ca/opinion/in-my-opinion/time-social-scientists-apply-cihr-grants/).

NSERC

NSERC started its new strategic plan: *NSERC 2020* in 2015 (see http://www.nserc-crsng.gc.ca/NSERC-CRSNG/NSERC2020-CRSNG2020/index_eng.asp). NSERC has avoided the program architecture upheaval that the other tricouncils have undergone, as they are satisfied that the current system is functioning effectively (as reinforced by external appraisal). NSERC 2020 identifies four aspirational priorities:

- Fostering a science culture in Canada.
- Building a diversified and competitive research base.
- Strengthening the dynamic between discovery and innovation.
- Going global.

One of their major concerns is to increase diversity in their pool of researchers, particularly increasing supports for women, Aboriginal researchers and researchers at different stages of their careers. (see also http://www.universityaffairs.ca/news/news-article/nsercs-big-plans-for-the-next-five-years-funds-pending/).

Discovery grants are the core of the NSERC program, and they take up approximately one third of the total budget. Discovery grants are open to any kind of research that fits NSERC's core mandate. According to the NSERC Act (Natural Sciences and Engineering Research Council Act R.S.C., 1985, c. N-2; see http://laws.justice.gc.ca/eng/acts/N-21/) "the functions of the Council are to (a) promote and assist research in the natural sciences and engineering, other than the health sciences…". and to be eligible for NSERC funding, the "The intended objective(s) of the research must primarily be to advance knowledge in one or more of the natural science or engineering disciplines." (see http://www.science.gc.ca/default.asp?lang=En&n=FEE7261A-1#NSERC1). SSAH research that is commonly funded by NSERC includes primatology, paleontology (pre-*Homo sapiens*), econometrics and some areas of psychology, however, research teams funded by NSERC are becoming increasingly interdisciplinary (although NSERC's usage of "interdisciplinarity" appears to be more intra-council than at SSHRC or CIHR).

NSERC's Strategic Partnership Grants (see http://www.nserc-crsng.gc.ca/Professors-Professeurs/RPP-PP/SPG-SPS_eng.asp) appear to be a vehicle that could permit collaboration of SSAH and NSERC

researchers, particularly where the research has policy or socio-economic implications. In such collaborations, as much as 30% of the budget can be ear marked for the extra-NSERC experts. Strategic Partnership Grants are targeted on four areas: 1) Advanced Manufacturing, 2) Environment and Agriculture, 3) Information and Communications Technologies and 4) Natural Resources and Energy.

Summary Comments on the Tricouncils

All three tricouncils share several components to their current strategic plans. They all stress:

- interdisciplinarity
- collaborative teams and partnerships
- international collaborations
- a focus on Aboriginal issues
- open access publications
- data management
- digital curation
- knowledge mobilization/translation/transfer
- making the research visible and relevant to Canada

Beyond the components of the strategic plans, there are other elements in common including:

- when asked about what kinds of research they fund, they all point to the Parliamentary Acts of creation, although it is clear that there is some room for reinterpretation of those acts (see CFI below).
- there is some measure of interest in cross-council cooperation, but there are clearly differing levels of enthusiasm amongst the different councils. The external impression is that SSHRC appears to have the most enthusiasm in this area and NSERC the least. There will apparently be a TC3+ (tricouncils+CFI) interagency summit in 2017 to explore possible mechanisms for more collaboration/cooperation. In the meantime, focused opportunities such as the SSHRC-CIHR Partnership Development Grant and the NSERC Strategic Partnership Grant are at least cause for optimism.

CFI

According to the CFI Budget Implementation Act, 1997, S.C. 1997, c. 26 (see : http://laws-lois.justice.gc.ca/PDF/B-9.81.pdf), CFI was established primarily to allow for "the modernization, acquisition, development, operation or maintenance of *research infrastructure* by the recipient in Canada;" (emphasis added). "Research" was defined as
"the attempt by careful scientific or technical enquiry, experimentation, study, observation, analysis and recording to discover new facts, knowledge and information, to develop new interpretations of facts, knowledge or information, or to discover new means of applying existing knowledge, relating to
(a) a science;
(b) health;
(c) engineering; or
(d) the environment."
That definition would not appear to allow for the consideration of much SSAH research.

However, CFI's *Strategic Road Map 2012-2017* (see http://www.innovation.ca/sites/default/files/pdf/2011%20CFI%20Strategic%20Roadmap%20final%20English%202012-04-04.pdf), "identifies three specific areas of opportunity where CFI can contribute to

increase our ability to understand the world in which we live, address *social, economic* (emphasis added) and environmental challenges and improve the health and well-being of Canadians:

- Sustaining and enhancing the world-class capacity of Canada's research institutions;
- Fostering collaboration and integration between academic research and the private, public and not-for-profit sectors; and,
- Increasing the global influence of Canadian research in ways that benefit Canadian society."

In the years since its creation, CFI has funded many SSAH projects. For instance, according to data shared with the committee by CFI, within the JR Evans Fund, approximately 50% flow to projects identified with CIHR, 45% to NSERC projects and 5% to SSHRC projects (including several here at Western). While the percentage appears to be small, many of the SSAH projects are small, and the success rates are comparable across the councils. According to the information available on the CFI funded projects web site http://www.innovation.ca/en/OurInvestments/ProjectsFunded/Downloaddatabase, the total breakdown in among its four "sectors" is:

Sectors	CFI dollars	percentage of total $5,413,640,644
Arts and Literature	$55,356,504	1.0%
Health	$1,736,449,630	32.1%
Human and Social Sciences	$216,564,908	4.0%
Natural Sciences	$3,406,269,602	62.9%

This represents a total investment in the SSAH sector of $271,921,412.

CFI is keen to "break the myth" that it is not a SSAH-friendly agency. They have worked with SSHRC and The Federation to identify areas where problems exist, and to get the appropriate kind of expertise on evaluation panels. Our informants did identify several common issues that they felt caused problems with SSAH projects:

- the key question that needs to be clearly articulated is: "how does the infrastructure enable the research"?
    - many SSAH projects have a database angle, but the creation of a database cannot be an end in and of itself, it must fill a gap to enable research not otherwise possible
- SSAH researchers tend to have excellent "big questions", but they often fail in framing the questions in impactful ways.
- SSAH projects need to do a better job of demonstrating that they have the necessary expertise on the team to complete the project

Our informants noted that the barriers to SSAH projects were often at the institutional level; in terms of the level of institutional support and the allocation of funding envelopes. In addition, institutions can do a better job of making the linkage between SSHRC's Partnership Program and CFI eligibility (see http://www.innovation.ca/en/OurFunds/CFIFunds/JohnREvansLeadersFund/SSHRC) and of encouraging SSAH based CFI projects in general. They also allowed that CFI also needs to do a better job of messaging to the SSAH community.

NCE

The Network of Centres of Excellence appears not to have been created by an Act of Parliament, as most of the other granting agencies were. Rather, the NCE was created in 1989 as a collaborative undertaking including SSHRC, NSERC, CIHR, Industry Canada and Health Canada (who continue to jointly manage the program). Its creation "was prompted and guided in large part by discussions with the National

Advisory Board on Science and Technology, and the Council of Science and Technology Ministers" (NCE 2004, The Networks of Centres of Excellence Program: 15 Years of Innovation and Leadership 1989-2004. Anniversary Report - http://www.nce-rce.gc.ca/_docs/reports/NCE-histEN.pdf). Thus, the program does not have a legislatively defined mandate, and the explicit interagency governance model encourages (requires) interdisplinarity and flexibility. The goal of the program as stated in the program guide is "to mobilize Canada's research talent in the academic, private, public, and not-for-profit sectors and apply it to the task of developing the economy and improving the quality of life of Canadians." (http://www.nce-rce.gc.ca/ReportsPublications-RapportsPublications/NCE-RCE/ProgramGuide-GuideProgramme_eng.asp).

NCE projects seek to find "solutions to major *social*, *economic* or health issues calls for a collaborative approach and a wide range of research expertise." (emphasis added) (http://www.nce-rce.gc.ca/Programs-Programmes/NCE-RCE/Index_eng.asp). There are four programs within the NCE envelope, but the majority of SSAH research is focused in the "classic NCE" program (Networks of Centres of Excellence Program - http://www.nce-rce.gc.ca/Programs-Programmes/NCE-RCE/Index_eng.asp). These networks are large (involving researchers from two or more tricouncils, multiple institutions, and community and private sector partners) and the emphasis is on mobilization (including commercialization) of research rather than primary research.

The NCE program is actively seeking to break down the barriers between the tricouncils. The involvement of SSAH researchers over the years has apparently ebbed and flowed. Our NCE contacts informed us that approximately 20% or the researchers in networks funded by this program come from SSAH disciplines (ca. 65% from NSERC and 31% from health science disciplines [researchers could identify more than one]). The actual distribution of funds was not tracked across the tricouncil sectors. Like CFI, our NCE contacts expressed the opinion that SSAH projects tend to have good research problems as outlined in letters of intent, but when they fail, it is in the execution of the full application. The plans need to be very clear, as do the indicators and bench marks of success, and ultimate self-sustainability is a key outcome.

The key indicator for success in the NCE program is an established track record of collaborative research. Thus, when the calls for proposals come out, it is already too late to put together a team. In this way, the NCE program is much like a SSHRC Partnership grant. Some universities establish explicit multiyear plans to set up research groups for NCE proposals. The difficulty with such a strategy is that the target of the next NCE call (2018) has not yet been established (our contact talked about the "awesome responsibility of targeting the call").

2). How is SSAH research valued at Western, and how does Western recognize leading edge scholarly activity in the SSAH disciplines?

The results of the internal discussion of this issue are not yet available, and impressionistic data will not be presented here. However, how excellence and impact were defined was part of the discussion with the external groups. That information will be summarized here.

Evaluation of Excellence by External Agencies

The discussion with the external agencies of how excellence is recognized and evaluated was one of the most enlightening aspects of this exercise. The very clear conclusion is that there is *no single metric, or set of metrics or qualitative indicators that can be utilized across agencies and even within agencies across different programs*. Furthermore, different indicators are utilized, depending on whether the

researcher is being assessed, the project, the program or the agency. Finally, the "inputs" into research evaluation are quite variable, running from automated citation counts to the subjective evaluation of text in final reports.

If we can gain a better understanding of how external agencies assess excellence, we can better determine how to assess it internally to improve the competitiveness of our researchers and to more effectively communicate the outcomes of our research (see below). While it is beyond the scope of this interim report to provide a detailed analysis of the external agencies' measurement of impact, some broad themes can be highlighted.

The main theme that was common to all agencies was that the primary assessment of the excellence of a researcher's *application is done by peer review at the committee level*. Thus, agency metrics are not imposed from above to the committee level. It is certainly true that "cultures of assessment" exist within agencies (see the comments about CIHR and SSAH researchers above), but these exist because of norms held by researchers in specific fields rather than agency-specific policies. The second common theme was that it is necessary to communicate the excellence of researchers and the *outcomes of their research* to stakeholders and the general public. This will be explored in more detail in the next section.

From that commonality, all else was variable. For the assessment of impact of outcomes, there appears to be a continuum of emphasis on bibliometrics/scientometrics, from the strong emphasis in CIHR and NSERC (see Table 1 of CIHR's Roadmap and http://www.cihr-irsc.gc.ca/e/documents/CIHR-strat-plan-eng.pdf), through the highly variable emphasis in SSAH disciplines, to the Arts, where one informant talked about assessing "the value of mind". It is broadly recognized that it is more difficult to express impact on the "softer" end of that continuum, but there are a number of efforts currently under way, including the controversial Research Excellence Framework (REF - http://www.ref.ac.uk/) from the UK, and Quality Metrics (http://www.artscouncil.org.uk/what-we-do/research-and-data/quality-work/quality-metrics/), also in the UK, and Culture Counts (https://culturecounts.cc/about/) in Australia.

SSHRC Commissioned a report on the use of bibliometrics in the social sciences in 2004 (Archambault and Gagné, 2004. The use of bibliometrics in the social sciences and humanities. Science Metrix – Final Report) which made several recommendations, including:

"Science-Metrix advises SSHRC to implement the following recommendations on the use and development of bibliometric tools for SSH research evaluation.
Recommendation 1**.** Assign bibliometrics-based mapping and evaluation work only to qualified entities. Organizations specializing in the use of bibliometrics are very familiar with the limitations of their tools and know how to interpret results with due care and caution. In particular, projects involving bibliometrics must entail explaining how the following variables affect study results:

- What types of publication (articles, books, etc.) are used in the discipline under consideration and what is the rate of coverage of these media in the information sources used?
- How are the indicators used in the study (count, citation/co-citation/co-word analysis, bibliographic coupling) affected by the internal variables of each discipline and the specific characteristics of the data sources used?

Recommendation 2**.** Promote research on determining the specific characteristics of SSH publication practices, and particularly on the following aspects:

- The proportion of the literature in each discipline represented by journal articles, monographs, book chapters, conference proceedings and other document types;
- The proportion of the literature in each discipline devoted to topics of more local interest and the proportion of research published in publications with limited distribution;
- The size and scope of the pool of citations from both books and articles.

Recommendation 3. Promote research on devising quantitative methods for identifying emerging fields and on methods for tracking their development.
Recommendation 4**.** (A) Promote research on understanding the influence of open access publications and self-archiving on trends and developments in SSH knowledge dissemination media; and (B) promote research on using data available through open access for research mapping and evaluation.
Recommendation 5. Play a proactive role in formatting data in the Common CV (CCV) System so that it can be used to map and evaluate Canadian research." (pages 59-60).

Beyond the development of the CCV (which has not been universally received with enthusiasm), it is not clear how these efforts have proceeded in the intervening years.

The Federation for the Humanities and Social Sciences has an ongoing project that seeks to develop a set of indicators that can measure the impact of SSAH research (see http://www.ideas-idees.ca/blog/measuring-impact-social-sciences-and-humanities). Their preliminary working paper was delivered in October 2014 (see http://www.ideas-idees.ca/sites/default/files/2014-10-03-impact-project-draft-report-english-version-final2.pdf). They propose that there are five broad areas where SSAH research has impact, and that these areas can be measured using "baskets" of indicators. These areas include scholarship, capacity, economy, society and culture and practice and policy. The entire agenda of the November 2015 Federation meeting was devoted to the measurement of impact in the SSAH (see http://www.ideas-idees.ca/sites/default/files/sites/default/uploads/general/2015/2015_annual_conference_agenda_en.pdf). The Federation intends to take up this significant issue in the upcoming year, with the goal of identifying, integrating, and coordinating insights from researchers, institutions, and organizations relevant to SSAH research (including but not limited to SSHRC).

Working Group 2 Activities

The working group has drafted an interview guide (consultation guide November 24 – attached to this report as Appendix D) to assist individual working group members in carrying out their consultations. We have also hired two research assistants to provide support as required for consultations.

Members of the working group have been carrying out consultations starting in early December. Consultations have taken a variety of formats, including individual interviews, group interviews, informal discussions, discussions at departmental and/or faculty council meetings, and consultation by email.

Members of the working group met on January 11th to discuss progress on consultations and to share strategies for participant recruitment. At that same meeting we discussed the format and content of the survey to be sent to faculty members. We also discussed the delivery of the survey. A draft survey was circulated to Working Group members on January 11th. Members reviewed the draft and provided feedback. The revised survey is attached to this report as Appendix E. A Qualtrics version of the revised survey will be produced and a link to the survey will be sent to the Dean of Research in each of the SSAH faculties (FIMS, Health Sciences, Arts and Humanities, Social Sciences, Education, Law, Music and Business). The SSAH Associate Deans of Research will circulate the link by email to all faculty members on January 18th, requesting feedback by January 28th.

Together, the results of faculty consultations and the online survey will provide comprehensive feedback from SSAH faculty regarding SSAH research on campus.

The Request for SSAH Metrics at Western

At the same time as this committee has been consulting with the SSAH community at Western, a request has been made from the Office of the VPR for the Associate Deans of Research to create "a list of research metrics in order to ensure…the most useful, actionable, metrics for planning and decision making" (October 28, 2015). It was not the objective of this committee to develop nor recommend a specific set of metrics. Rather the goal was to investigate how excellence was recognized at Western, being cognizant of the issues raised above that no single set of research indicators can adequately represent the range of SSAH disciplines. The work of this committee and the ADRs effort is proceeding separately, but in parallel.

3). How is SSAH research supported at Western, and how can that support be improved?

Working Group #3 deals with three related matters: administrative processes and practices for the allocation of internal research funding; the types of internal research funding available (small grant vs large grant; research costs; conference attendance, etc.) and how that has changed in recent years; and advocacy and communications regarding research achievements.

Administrative processes and practices

This is the most fundamental of the subjects in that it deals with the internal research grant process: e.g. applying through ROLA, the monitoring of grants, and regulations regarding payment for research assistants. Part of the goal here is to understand how the administrative processes function and whether any changes can be made to make them more user-friendly to researchers. It is also important to understand the perceptions that SSAH researchers have of the administrative process. Are the necessary supports in place for the kinds of research they do?

Internal funding mechanisms

Members of the working group are examining the evolution of internal funding mechanisms at Western, particularly after the changes introduced in 2011. With the help of Patrick Callaghan (RDS), we are collecting longitudinal data from ROLA regarding funding utilized by researchers in the SSAH (by department and faculty) to determine whether access to internal research funding has improved or worsened since 2011.

We are taking advantage of the broad consultations being undertaken by the other working groups to survey opinions on these matters. We are particularly interested in colleagues who have elected not to apply for any kind of research funding (internal or external), and their reasons. There are some researchers who simply do not need research funding and are productive and respected scholars. On the other hand, there are colleagues who believe that they are disadvantaged in any internal funding competitions, and that it is not a wise use of time to embark on the process of application.

Members of the working group are also surveying internal funding mechanisms at other universities to understand how SSAH scholarship is funded elsewhere. The goal here is to determine if there are any relevant practices that can be adopted and adapted at Western.

One corollary of the common emphasis on interdisciplinarity, collaborations and partnerships among the tricouncils (outlined in Section 1 above) is that the solitary scholar who requires smaller amounts of money to do their research is increasingly being left out of the funding equation. This issue was discussed at the SSHRC Leaders' meeting in Ottawa in December, and SSHRC may start to provide some guidance to institutions around the use of SSHRC Institutional Grant (SIG) funds to help to cover this gap.

Advocacy and communications regarding research achievements

The promotion and celebration of research achievements is a critical part of the research process. Researchers must feel that their work is valued by their institution and that research accomplishments in all disciplines are equally valued. Communicating research achievements is also critical because of the priority that funding bodies place on public engagement, knowledge mobilization, broader impact, and so on.

We are engaging in a comprehensive survey of communications to determine how decisions regarding advocacy are made, the relative priorities given to advocacy in certain faculties, and methods for improving an appreciation of the need for advocacy among SSAH researchers.

Finally, we are working towards a comprehensive measurement of communications over the last five years, to understand whether perception is grounded in reality. This is important because looking at individual cases is misleading. For example, of the "51 Firsts" listed on the Research Western website (see: http://www.uwo.ca/research/51_firsts/) , only ten concern research in SSAH; forty-one relate to STEM research. On the other hand, of the eighteen stories highlighted by *Western News*'s "Newsmakers of 2015", at least ten relate directly to SSAH research (see http://news.westernu.ca/2015/12/westernnewsnewsmakers2015/) .

Communications Strategies for the External Agencies

As mentioned above, the external agencies are very keen to communicate the quality research being done by their researchers to stakeholders and the general public. According to CIHR "Impact - We will demonstrate the value and impact of our investments, we will engage Canadians, and we will ensure they are at the centre of our decisions." (http://www.cihr-irsc.gc.ca/e/49027.html). Perhaps the most important aspect of the agencies' communications strategies is that they are ultimately *dependent on information provided by the researchers and institutions* – particularly project reports. Thus, the reports that many researchers view as onerous and burdensome are in fact the base of the chain of the communications effort by these agencies. The agencies are also constantly on the lookout for case studies to feature and media notes to highlight, so it behooves the researchers themselves as well as the University's communications team to be ready to provide such material when it is needed (see http://www.innovation.ca/sites/default/files/EOA/2013/CFI-CTP_Policy_Highlights_EN_web.pdf for a CFI example featuring Western researcher Ting Lee).

CFI is an example of an agency with a very well developed evaluations/communications system. They have a Director of Outcome Evaluation and, among other things, her office oversees the production of CFI's "PERAF" (Performance, Evaluation, Risk and Audit Framework) document (see http://www.innovation.ca/en/OurInvestments/BeingAccountable/Performanceevaluationriskandauditfram

eworkPERAF). This document and its review makes information available for management, accountability, and communication purposes. This document makes for a very interesting read.

SSHRC has opted to build the capacity for communications as an integral part of their strategic plan under the heading "Imagining Canada's future" (see http://www.sshrc-crsh.gc.ca/society-societe/community-communite/Imagining_Canadas_Future-Imaginer_l_avenir_du_Canada-eng.aspx). In this initiative, SSHRC is positioning SSHRC research as being relevant to the Canada of today and the future. The initiative is focused around a series of six questions that were chosen to "spark the imaginations of researchers across the humanities and social sciences disciplines. We hope that researchers across Canada will see their fields broadly represented in these questions, and will be inspired to participate in a national conversation about the contributions that the humanities and social sciences can make to address the challenges of the future." (see http://www.sshrc-crsh.gc.ca/society-societe/community-communite/Imagining_Canada_s_Future_Technical_Report-Rapport_technique_d_imaginer_l_avenir_du_Canada-eng.pdf)

At the grass roots level, our SSHRC informants commented that universities need to have better communications and advocacy strategies, including social media. This year, SSHRC will be working with the Canadian Association of Graduate Students to provide training for doctoral students in public presentations and the writing of op eds. This suggests that activities that would not normally be considered research indicators from the perspective of promotion and tenure, have value to the communication of research impact and knowledge mobilization in other forms (see the discussion of indicators above).

Summary

The activities of this task force are ongoing, particularly the consultation with the SSAH community at Western, so, as stated above, it is not the intent of this interim report to present specific recommendations at this time. Rather, the objective is to report on the activities of the three working groups and to frame the discussion within the external context. It is clear that the external context provides some direction for the ongoing discussions, and many of the themes outlined here will be useful for better informing our researchers, better positioning them to take advantage of opportunities and better supporting them through the application, execution and communication aspects of the research process.

Next Steps

The working groups will continue to flesh out the information presented in this report, and they will continue to consult with the SSAH community at Western. The input from researchers to the survey and interviews will be extremely important to achieving the mission of this task force. To that end, researchers at Western are encouraged to participate in the online survey and interviews, and to contribute any additional information by following the email link at:
http://www.uwo.ca/univsec/about/gov_review/urb_index.html

The final report of this task force will be completed in April, 2016 for delivery to the URB and to Senate in May/June.

Appendices

Appendix A - URB Task Force Steering Committee – Support for Research in Social Science, Arts and Humanities at Western

Initial Report

A. Membership

The Task Force Steering Committee was formed by the University Research Board at the request of the Vice-President (Research) to examine how researchers in Social Science, Arts, and Humanities disciplines are supported at Western. URB appointed the following individuals as a steering committee to guide the work:

Andrew Nelson (Chair) ADR, Social Science (Anthropology)
Cathy Benedict Director of Research, Music
Jacquie Burkell ADR, FIMS
Julia Emberley Arts & Humanities (English)
Jonathan Vance Social Science (History)
Charles Weijer Arts & Humanities (Philosophy)

Since the steering committee was first formed, Julia Emberley has had to step down temporarily. We are recommending that she be replaced by Alison Doherty, Health Sciences (Kinesiology).

B. Mission & Objectives

The committee has met three times over the summer to discuss the mission and objectives of the review and to develop a work plan for moving forward, for which we are seeking URB's approval.

Mission

The social sciences, arts, and humanities are central to Western's vision and mission. Indeed, world-class researchers in these disciplines are found across the university in eight of Western's Faculties and Schools. Changes in both the internal and external contexts make it timely to examine how social science, arts, and humanities research is valued and funded. The Task Force will recommend strategies and concrete action plans that will better support success, growth and leadership in research in these disciplines at Western.

Objectives & Work Plan

The committee has identified three main areas to examine and, in consultation with URB and the ADRs, will constitute three working groups, one for each of the main objectives. Each working group will include at least one member from each of the eight Faculties in which social science, arts, and humanities research is conducted. Members of the steering committee have been assigned to act as coordinators for the working groups. Those coordinators have begun to design work plans that will be discussed in more detail at the URB meeting on September 8. A brief outline of each follows.

1. How do external entities, including funding agencies and professional organizations, define leading edge scholarly activity in social sciences, arts, and humanities disciplines?
    a. What are their priorities now?
    b. Where are they going in the next five years?

Andrew Nelson and Charles Weijer will coordinate the work in this area. As a first step, they will be consulting directly with the major funding agencies in Ottawa and professional organizations to fully understand the external context. Once that consultation is completed, the group will examine where Western fits currently and how it might best position itself for the future.

2. What are the strengths, weaknesses, opportunities of and threats to social sciences, arts, and humanities research at Western?

a. How do units at Western define leading edge scholarly activity?
b. How is research in the social sciences, arts, and humanities valued and measured at Western?
c. How is research in the social sciences, arts, and humanities valued and measured outside of Western?
d. In what ways are these values and measurements aligned with the external context?

Jacquie Burkell, Cathy Benedict and Charles Weijer will coordinate the work of this group. They will conduct a document review, and, in consultation with the ADRs, develop a list of individuals and groups with which to meet within each Faculty/School, recognizing that each unit deals with research issues differently. They have begun to develop a series of questions that may be put to individual researchers and groups and are considering whether to conduct a common survey of all researchers in the social sciences, arts, and humanities disciplines at Western. They will also take part in a town hall to be held later in the fall to which all researchers in the related disciplines will be invited.

3. How is research in the social sciences, arts, and humanities supported at Western and how can this be improved?

a. Specifically, how can (i) administrative practices and processes, (ii) funding, and (iii) recognition be improved?
b. How can Western better communicate the results of leading edge scholarly activities in social sciences, arts, and humanities disciplines?
c. How can Western advocate for social sciences, arts, and humanities research more effectively?

Jonathan Vance and Andrew Nelson will coordinate the work of this group. The individuals to be consulted across campus will vary depending on the question. For example, a review of administrative practices and processes will require targeted consultations with those in Research Development Services who do the work that supports those processes; understanding communication and promotion of research activity will require consultation with the Department of Communications and Public Affairs, staff in individual Faculties with responsibility for promotion and celebration of research, and individuals at other universities to understand best practices here and elsewhere. The group will also want to understand how researchers promote and communicate their own work and how they can be encouraged to do that more effectively. With respect to examining the various internal funding programs, discussion with the full research community via the town hall would be appropriate.

C. Communications and Outreach

The information gathering strategy adopted by this taskforce includes the targeted communications and outreach described above, and a single town hall event for all interested researchers to attend. The current plan is to hold that meeting in early to mid-October. Discussions for other means of gathering input are still under way.

A web page - http://www.uwo.ca/univsec/about/gov_review/urb_index.html - has been set up for the Task Force that will provide updates from time to time on the work of the committee, scheduled meetings, questions for comment, etc.

Once the URB has approved the mission, objectives and work plan for the task force, a broad communication will be sent to all researchers about the task force's work with an invitation for input. A dedicated email address (urb-task-force@uwo.ca) has been established for the task force to which individuals or groups can provide comments.

An interim report will be provided to the VPR by mid-January for presentation to the URB at their meeting in February. A final report will be presented in early April.

Appendix B - URB Task force working group membership

#1 – what is the external (to Western) context for SSAH research?

- Andrew Nelson, Charles Weijer, Cathy Benedict
    - Alan Leschied (Education), Jim Davies (FSS), Jeff Dixon (Schulich), Joshua Lambier (student A&H), Sam Trosow (FIMS/Law), Janice Forsyth (FHS)

#2 – How is SSAH research valued at Western, and how does Western recognize leading edge scholarly activity in the SSAH disciplines?

- Jacquie Burkell, Cathy Benedict, Charles Weijer
    - June Cotte (Business), Jessica Polzer (Health Sciences), Amanda Grzyb (FIMS), Valerie Oosterveld (Law), Stephen Bird (Education), Chris Brown (Arts and Humanities), Don Abelson (Social Science), Leslie Kinton (Music), Diana Moriera (student member, FSS)

#3 – How is SSAH research supported at Western, and how can that support be improved?

- Jonathan Vance, Andrew Nelson
    - Kelly Olson (A&H), Tamara Hinan (student, FSS), Vicki Schwean (Education), Scott MacDonald (student FIMS), Jane Toswell (A&H)

The research assistants are: Jaclyn Nardone (FIMS) and Crystal Gaudet (Health Sciences).

Appendix C - External Agencies and Individuals Consulted

The task force gratefully acknowledges the assistance of the following individuals and organizations:

Canada Research Chairs - Marie-Lynne Boudreau, Senior Program Officer

CFI - Laurent Messier, Manager, John R. Evans Leaders Fund
- Mireille Labrie, Senior Programs Officer
- Sharyn Szick, Senior Programs Officer, responsible for Western University
- Laura Hillier, Director of Outcome Evaluation

CIHR - Jane Aubin, Vice-President, Research, Knowledge Translation and Ethics Portfolio and Chief Scientific Officer

Federation for the Humanities and Social Sciences
- Gauri Sreenivasan, Director of Policy and Programs
- Peter Severinson, Policy Analyst

Canada Council for the Arts - Kelly Wilhelm – Head, Policy, Planning and Partnership Section
- Gabriel Zamfir, Senior Research Officer, Research and Evaluation Section
- Alexis Andrew, Director, Research, Evaluation and Performance Measurement Section

NCE - André Isabelle, Associate Vice-President of the Networks of Centres of Excellence

NSERC - Pierre Charest, Vice-President, Research Grants and Scholarships Directorate

SSHRC - Tim Wilson, Director Partnerships
- Jean-Francois Fortin, Director Research, Training portfolio
- Ursula Gobel, Associate Vice President, Imagining Canada's Future
- Brent Herbert-Copley, Executive Vice President
- Ted Hewitt, President

Appendix D - Final Consultation/Interview Guide

Preamble:
As part of the Senate Research Board Task Force examining the environment around Social Sciences, Arts, and Humanities (SSAH) research at Western, we are conducting individual/group consultations with faculty members. This consultation process is distinct from the discussions of "metrics" that have been initiated recently at the faculty-level. The findings of our university-wide consultations will be amalgamated into a report and will form the basis for recommendations to the Senate Research Board on SSAH research at Western. Specific individuals, departments, schools and faculties will not be identified in the report and all information provided is anonymous and confidential. Thank you for your input. Your insights to the SSAH research environment at Western are invaluable.

Background:

- Review background and purpose of consultation and distinguish consultation from conversations about Metrics happening at faculty level.

Introductory questions:

- To start, tell me a bit about your research. What do you study?
- What contributions does your research make? And to whom/what communities does your work contribute?

1. Supports

- What supports are most important for your research?
  - [prompts: people, administration, financial, recognition]
- What sources of support have you received for your research at Western?
  - [prompts: people, administration, financial, recognition]
- What do you think of the current internal funding programs at Western (Strategic Support for Success programs, FRDF programs)
- Have you applied for these programs? Why/why not? (If yes) Have you been successful? Why/why not?
- How has the shift in internal funding programs at Western affected your research?
  - [prompts: shift from ADF large/small research grants and SSHRC Internal Research and Conference grants to FRDF and Strategic Support for Success programs]
- If you could start fresh, what would you like to see in Western's internal funding programs?

2. Challenges

- What challenges have you faced doing your research at Western?
  - [prompts: within your dept./school/faculty; people, administration, money, recognition, strategic plan, ethics, other?]
- How unique do you think these challenges are in comparison to those that other SSAH researchers face at Western? How could these challenges be addressed?
- How have you managed to continue your research in the face of these challenges?
- Are there specific processes or procedures at Western that are challenges to doing your research?

3. Opportunities:
   - How could your research be better supported at Western?
     - [prompts: financial, recognition, administration, promotion, other]
   - What could be done to better support SSAH research at Western more generally?
   - How can we better communicate the contributions and successes of SSAH research within and beyond academia?

4. Threats:
   - What future do you see for SSAH research at Western?
   - What future do you see for your research at Western?

5. Assessing the Value of SSAH at Western:
   - How do you define 'leading edge' research? Provide examples of leading edge research activity in your field.
   - What is valued about SSAH research at Western?
   - What about your research is valued at Western? How do you know that?
   - Do existing assessment processes (e.g., APE) capture the value of your research?
   - How can the value of your research be captured?
     - [prompt – processes, assessment formats]

Appendix E - Faculty Survey - Social Science, Arts, and Humanities Research At Western

Thank you for taking the time to give us your opinions about social science, arts, and humanities research at Western. This confidential survey is part of an ongoing faculty consultation process that will report back to the University Research Board and Senate on the research climate for social science, arts, and humanities research at Western. If you would like to read about the mission and terms of this task force, please see more here:

http://www.uwo.ca/univsec/about/gov_review/urb_index.html

This survey should take between 10-15 minutes of your time, and we thank you in advance for participating!

PAGE BREAK IN THE SURVEY

To begin, please give us your thoughts on the ***support for conducting your research*** at Western. On a scale from 1 to 5, where 1 designates Strongly Disagree and 5 designates Strongly Agree, please tell us your level of agreement or disagreement with the following statements:

THE SCALE POINTS WILL RUN ACROSS THE TOP, AND EACH QUESTION WILL HAVE A "DON'T KNOW" OPTION AVAILABLE.

1) I receive the necessary *staff administrative support* I need to conduct and complete my research.
2) I receive the necessary *external financial support* I need to conduct and complete my research.
3) The support for my research from *my faculty* level administrators is adequate.
4) The support for my research from *university* level administrators is adequate.
5) The graduate students I need to conduct and complete my research are available to me.
6) The availability of *internal* funding for my research is adequate.
7) The staff assistance in applying for *internal* funding is adequate for my research needs.
8) The process for applying for *internal* funding at Western is easy to understand.
9) The staff assistance in applying for *external* funding at Western is adequate for my research needs.
10) The process for applying for *external* funding at Western is easy to understand.

PAGE BREAK IN THE SURVEY

For the following questions, please check all that apply.

11) What sources of support have you received for your research at Western?
    a. Financial
    b. Administrative/staff
    c. Graduate student assistance
    d. Publicity/external communication of your research

12) What kinds of support would you have liked to receive, but did not, at Western?
    a. Financial
    b. Administrative/staff
    c. Graduate student assistance
    d. Publicity/external communication of your research

PAGE BREAK IN THE SURVEY

13) Please tell us, from a support standpoint, what has made the biggest positive impact on your research at Western? Why?

OPEN-ENDED

14) Please tell us your thoughts on the internal funding program at Western. Does it meet your needs? If you were to change it, how would you do so?

OPEN-ENDED

PAGE BREAK IN THE SURVEY

Now, please give us your thoughts on the ***challenges with conducting your own research*** at Western. On the same scale from 1 to 5, where 1 designates Strongly Disagree and 5 designates Strongly Agree, please tell us your level of agreement or disagreement with the following statements. If you have faced challenges, we would like to know what they are, so there will be follow-up open-ended responses.

THE SCALE POINTS WILL RUN ACROSS THE TOP, AND EACH QUESTION WILL HAVE A "DON'T KNOW" OPTION AVAILABLE.

15) I have faced challenges from within my own department or faculty, related to conducting my research.
16) I have faced challenges at the University level, related to conducting my research.
17) I have faced financial challenges at Western, related to conducting my research.
18) I have faced challenges in receiving recognition for the research I conduct.
19) Western's Strategic Plan presents challenges for me, and my program of research.
20) I have faced challenges obtaining research ethics approvals at Western, related to conducting my research.

****NOTE: For questions 15-20 inclusive, if someone answers 3 or higher, please add an open-ended follow-up question: "Please tell us more about these challenges.".**

On the same scale from 1 to 5, where 1 designates Strongly Disagree and 5 designates Strongly Agree, please tell us your level of agreement or disagreement with the following statements.

21) Social sciences, arts, and humanities research at Western should have better financial support.
22) It is a good idea to focus Western's internal funding priorities on helping faculty apply for Tri-Council grants.
23) Western's internal funding for social science, arts, and humanities research should focus on smaller amounts of money for a greater number of researchers, rather than larger amounts of money for a smaller number of researchers.
24) The current method of allocating internal research funds at Western is appropriate.
25) Social sciences, arts, and humanities research at Western has to have better recognition from the university.
26) Social sciences, arts, and humanities research at Western has to have better promotion for visibility outside the university.

PAGE BREAK IN THE SURVEY

27) Please tell us which faculty you are in at Western.

Arts & Humanities
Education
FIMS
Health Sciences
Ivey Business School
Law
Music
Social Science

PAGE BREAK IN THE SURVEY

28) Please tell us your rank at Western.

Full Professor
Associate Professor
Assistant Professor
Lecturer/Adjunct
Other

If you have any further comments or questions for the task force, please email us at:

urb-task-force@uwo.ca