

**Planning for 2006-07: Final Year of Four-Year Planning Process  
Guidelines for the Faculties**

September 30, 2005

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**A. Introduction**

These guidelines launch the planning process for the final year of Western's first multi-year plan which spans the period 2003-04 to 2006-07. At the start of this 4-year planning period, Faculties developed Academic Plans that summarized their priorities, identified strengths in teaching and research, and established links between their plans and the commitments identified in the University's Strategic Plan. In each of the following years, Faculties updated their Academic Plans in the context of changes in the University's overall budget situation and reported on progress made towards implementing their plans. Increased revenue stemming from updates of major funding sources, including the Provincial Government's investment in support of increased undergraduate enrolments and Federal Funding of Indirect Costs of Research, allowed for substantial enhancement of unit budgetary allocations relative to those agreed to at the outset of the 4-year plan.

The outcomes of the planning processes of the past three years (i.e. the first three years of the 4-year plan) resulted in multi-year budget and faculty/staff complement recommendations. The budget recommendations included substantial multi-year UPIF commitments, Enrolment Contingent Funding (ECF), Increased Cohort Funding (ICF), Canada Research Chairs (CRCs), targetted program expansion base funding, Provost's Academic Support Funding (PASF), Graduate Expansion Funding (GEF), and other one-time and capital funding commitments – all of which spanned the four years of the multi-year plan.

These guidelines begin the fourth and final year of our 4-year planning process in the context of unprecedented investments in Ontario's universities by the Provincial Government. In response to the Rae Review of the Province's post-secondary system, the Ontario Government has made multi-year operating and capital funding commitments over a 5-year period – 2005-06 to 2009-10. At the end of this 5-year period, operating grants to Ontario universities are expected to have increased by over \$500 million in support of graduate enrolment expansion, unfunded BIUs (i.e. funding for enrolment growth in past years that was not adequately funded), expansion of medical/clinical programs, and overall improvement in the quality of education we offer our students.

This year's planning process also marks the transition to Western's next multi-year plan, which will begin in 2007-08. As part of this transition, Faculties are being asked to submit drafts of their renewed Academic Plans in this cycle, with the objective of finalizing these plans in the late spring or early summer of 2006. These draft Academic Plans will be

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made available to the University's Strategic Planning Task Force, whose work is currently underway. In turn, it is hoped that the draft report of the Strategic Planning Task Force, expected to be available in June 2006, can be used to inform the final versions of the Faculty Academic Plans. In developing the new Academic Plans, Deans are asked to allow for broad input, by involving individuals, research groups, centres and institutes, teaching programs, and others that can provide advice on planning priorities to Department Chairs, School Directors, and Faculty Deans.

In addition to provision of the draft Academic Plans, Faculties are invited to advise the Task Force directly by providing an *up to three page commentary (attached separately to your planning document)*, which considers some or all of the following points:

1. What are the most significant issues and/or opportunities for the future that should be considered by the Task Force, and how would you address these matters?
- ii. Are there specific directions being considered in your Faculty with significant potential for impact on the University that should be considered in the next Strategic Plan?
- iii. Where should the emphasis be placed over the next strategic planning cycle given the foundation achieved in the current plan and the expectations arising from the government's recent investment in post-secondary education?
- iv. What are/should be the distinguishing elements that comprise the "best student experience" at Western *for both undergraduate and graduate students*? In your Faculty, how do you describe to potential students the outcomes expected from their Western experience, how are these outcomes measured, and to what extent are these outcomes achieved?
- v. As Western strives to establish a secure place amongst the most research intensive universities in Canada, what opportunities and obstacles are most significant for your Faculty? What are the most significant measures of research progress in your Faculty?
- vi. Looking forward, what are the most important factors that will affect (i) undergraduate and graduate student demand in your program areas, (ii) research success, (iii) faculty recruitment and retention, and (iv) internationalization?

## **B. University Operating Revenues and Expenditures**

### **1. Revenues**

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The major sources of University operating revenues are: provincial government base operating grants, accessibility funding from the Province to support the undergraduate enrolment growth resulting from the Increased Cohort, tuition fees, federal funding for indirect costs of research, and the substantial new provincial funding described above – i.e funding for graduate enrolment expansion, unfunded BIUs, medical/clinical program expansion, and quality improvements. Our projections of revenues from these sources (excluding the funding for medical/clinical program expansion) show incremental funding of approximately \$20 million in 2006-07 over that projected in the May 2005 University budget.

Tuition fees have been frozen in 2004-05 and 2005-06 and the provincial government provided compensatory grant funding. The Province is currently in the process of reviewing its tuition fee policy, and the recommendations are expected to be released in the coming months.

## **2. Expenditures**

- Provisions have been made for increases to employee salaries and benefits, taking into account the Province's expectation that incremental funds flowing from the spring 2005 provincial budget will not be used to increase salaries.
- Our enrolment/teaching-based funding programs – the Enrolment Contingent Fund (ECF) and the Graduate Expansion Fund (GEF) – will continue into the future. ECF and GEF provisions have been modelled on the basis of our current enrolment projections.
- Funding for our student aid programs – undergraduate scholarships & bursaries and graduate student support – continues to be a high priority.
- We must set aside funds for a number of other **University-wide expenditures**, including the following:
  - Library Acquisitions
  - Research Support
  - Student Recruitment
  - Deferred Maintenance and Facilities Enhancements
  - Physical Plant Utilities
  - Operating Costs of New Facilities

In response to the additional provincial government funding, which was announced after the University's 2005-06 Budget was approved by the Board of Governors, the Board approved in-year incremental expenditures in support of faculty/staff appointments, instructional laboratory equipment upgrades, graduate student space enhancements, library enhancements, information technology infrastructure upgrades,

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and additional custodial services. These expenditures have also been incorporated into our budget projections.

### **C. Resources Available to Each Unit and the Budget Planning Exercise for 2006-07**

A set of revenue projections for the Faculty for the final year of the 4-year planning period has been provided in Appendix A. The revenues are based on the recommendations made last year, and include:

- **Base Budgets** – the net result of the starting base budgets (i.e. the multi-year recommendations made in the 1st year of our 4-year plan), the funds available through faculty retirements after the application of the University's Faculty Turnover Recovery Policy, program expansion funding, and self-funded programs.
- The recommended **CRC Allocations** for the Faculty. The appointment of allocated CRCs (included in Appendix A) is subject to approval by the University and the CRC program.
- **University Priority Investment Fund (UPIF)** commitments for the 4-year planning period.
- Differential funding allocations based on each Faculty's projected increases in undergraduate and graduate teaching responsibilities from **the ECF and the GEF**.
- **One-Time and PASF** commitments made in the first three years of the 4-year planning process.
- The **2005-06 In-Year Base and One-Time Commitments** (described above) in support of faculty/staff positions, instructional laboratory equipment upgrades, and graduate student space enhancements.

Appendix A shows historical operating revenue information for the Faculty and the 2006-07 revenues to be used for modelling purposes. Note that the historical revenue figures include centrally-funded salary and benefit increases but these central allocations are not yet included in the revenue projections for 2006-07.

As has been the case in recent planning cycles, this budget planning process is a modelling exercise only. The actual final revenues -- to be recommended in the spring of 2006 -- will be a function of: (1) the base budget recommendation after consideration of the actual values of a number of university-level revenue and expenditure variables, (2) differential budget decisions, (3) updates to enrolment/teaching projections which will result in new ECF/GEF estimates, and (4) refinement to other revenue lines. In addition, funding

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associated with negotiated salary and benefit increases will be added to Faculty budgets at the appropriate times during the coming year.

#### **D. Elements of the Planning Submission**

##### **1. The Faculty Draft Renewed Academic Plan**

Each Dean is asked to provide, as a separate document, a two-page summary of the Faculty's Renewed Academic Plan as well as a copy of the latest draft of the renewed Academic Plan itself – which should clearly be linked to the commitments and priorities outlined in the University's current Strategic Plan. The Academic Plans should be written in a form that readily allows their priorities to be used to justify resource allocations to the Faculty, and should include:

- a. a description of the Faculty's priorities for the next five years (i.e. for the academic years 2006-07 to 2010-011) expressed in terms of its strengths and emerging strengths in the areas of teaching and research;
- b. a description of the approach the Faculty will take to ensure collaboration across academic units and Faculties in interdisciplinary areas of teaching and research;
- c. a general description (and where known, a detailed description) of areas where incremental graduate or undergraduate enrolment, new graduate or undergraduate programs and incremental faculty hiring will be occurring;
- d. a description of the process of consultation of faculty, staff, and students that was used to renew the Faculty Academic Plan;
- e. a description of how the Faculty's renewed Academic Plan addresses issues raised in the reports of external consultants used in support of OCGS reviews of graduate programs and in the reports of external consultants used in support of the activities of committees struck to appoint or renew Chairs, Directors, or the Dean;
- f. a description of how the Faculty's Academic Plan achieves a balance between, and an integration of, the teaching and research missions, and a description of any attempts to modify this balance;
- g. a description of the Faculty's activities and aspirations in international teaching and research, in the context of the University's Strategic Plan for internationalization.

As has already been indicated to Deans, the draft Faculty Academic Plans and their summaries that will be submitted with the planning guidelines will be shared with the University's Strategic Planning Task Force. In addition, all the Faculty Academic

Plans and their summaries will be made available to all Deans in order to provide an opportunity for identification of areas of potential cross-Faculty involvement. The Plans and their summaries will also be made available to the Vice-President (External) to aid in the identification of Faculty fundraising priorities, to the University Librarian as an aid to priority setting in development of access to collections, and to leaders of other support units to assist them in developing their unit operational plans, which will be in direct support of the Faculties.

## **2. Current Academic Issues within the Faculties**

In addition to the matters described in sections 3 through 14 below, the planning submission should contain the following:

- a. The specifics of enrolment plans, including the expansion of graduate enrolments and the undergraduate teaching plans in the context of a stable overall University undergraduate enrolment.
- b. Details of current CRCs and those expected to be appointed in the future, and the relationship between these appointments and the Faculty's renewed Academic Plan. In those cases where no appointment has been made to a CRC 12 months or more following the allocation to the Faculty, Deans must present a case requesting the continuation of the allocation.
- c. A listing and descriptions of CFI/ORF proposals and any other major external research infrastructure proposals that are planned for the coming years. Here again, proposals should be related to the Faculty's renewed Academic Plan, the University's Strategic Research Plan, and the Faculty's hiring plan.

Deans are also asked to report on the impact of previous successful CFI/OIT/ORDCF/PREA awards on meeting the Faculty's resource requirements and implementation of the Faculty Academic hiring plans.

- d. A report on the impact of changes to the undergraduate curriculum on the Faculty – in particular, the impact on course and program enrolments.

Also comment on activities or plans within your Faculty for additional undergraduate program innovations based on the New Academic Choices model, e.g. cross-Department and cross-Faculty modules.

- e. A description of the Faculty's internal resource decisions made in support of the Faculty's current Academic Plan. Most Faculties have accumulated substantial carryforward funds, which should be incorporated into the internal resource allocation decisions – including the funding of additional faculty and staff appointments.

### **3. Report on Recruitment and Retention of Faculty**

As was the case last year, Deans are asked to provide a general report on the Faculty's approach to recruitment and retention – including efforts that focus particularly on the appointment and support of women in those disciplines where they are under-represented, as well as efforts to increase representation of designated groups other than women. It is likely that each Faculty's approach will be distinctive but it is expected that these plans might include:

- mentoring programs, especially in undergraduate teaching and graduate student supervision;
- support and encouragement for the preparation of research grant applications;
- special approaches to the recruitment and retention of women. This might include approaches to the creation of a more accommodating culture and environment for teaching and research, and approaches to removing unconscious bias in the appointments process;
- special approaches to the recruitment and retention of other designated groups;
- course relief in the first year(s) of a probationary appointment;
- the offering of programs of support and education regarding equity issues for members of selection and promotion and tenure committees;
- a description of how funds have been used to promote recruitment and retention of women, particularly monies from the provision to Faculties of 50% of the first year's salary and benefits of new women appointees to probationary/tenured positions;
- a commentary on starting salaries, market and anomaly adjustments, and salary policy as they relate to recruitment and retention of faculty.

In this report Deans are also asked to comment on the following:

- the impact of CRC allocations on faculty recruitment and retention and, in light of the CRC Secretariat's requirement that targets be established for the number of women in CRC positions, the appointment of women into CRC positions;
- steps taken, or to be taken, to recognize achievements of faculty in teaching and research;
- steps taken or planned to provide orientation and training to academic leaders, and steps taken or planned to encourage succession planning for academic leadership;
- steps taken or planned to encourage communication and consultation up, down, and across the Faculty.

The funding program which provides 50% of the first year's salary and benefits of new women appointees to probationary/tenured positions continues into the future. We

have seen increases in the percentage of women appointments in the past two years, but our continued success will require that all Deans and Chairs continue to promote recruitment and appointment practices aimed at increasing our success at appointing women in those disciplines where they are under-represented.

Deans are also asked to discuss issues relating to the employment of spouses/partners of outstanding new or continuing tenured/probationary faculty appointments. In particular, Deans are asked to consider mechanisms for the funding of full-time academic appointments of spouses that result in a fair and equitable sharing of the costs across the hiring units (for example, the model whereby a spousal appointment is funded 1/3 by the unit hiring the spouse, 1/3 by the unit hiring the "lead" appointment, and 1/3 from central funds).

Finally, Deans are asked to comment on whether, in their experience, Joint Appointments are achieving the objective of increasing teaching and research collaboration between units and programs, and to suggest alternative models that might achieve the same objectives.

#### **4. *Hiring Plans for Part-Time Faculty, Limited-Term Faculty, and Graduate Teaching Assistantships***

Deans are asked to provide a description of the role of part-time faculty, limited-term faculty, and graduate teaching assistants in their Faculty, a description of how the number hired in each of these groups has been determined historically, as well as their future plans for hiring in these areas.

#### **5. *Graduate Enrolment Planning***

A major outcome of last year's planning process was the finalization of plans for the expansion of graduate enrolments at Western. Deans, in collaboration with the Dean of Graduate Studies, submitted graduate enrolment plans as part of their final budget plans this past April. These plans, along with the projected reduction in direct-entry undergraduate enrolment, were used in the projections of ECF and the newly-introduced GEF programs for each Faculty. In addition, the Dean of Graduate Studies introduced a new approach to graduate student funding at Western.

As part of their planning submissions, Deans are asked to provide updated graduate enrolment plans, graduate student funding commitments, and the impact of graduate enrolment expansion on the Faculty's finances, human resources, and space/facilities. In preparing the new graduate enrolment plans, Deans should clearly link these plans to the new incremental faculty appointments that have been committed during the in-year accelerated planning process this past August and any further faculty appointments that may be available to the Faculty – i.e. through the UPIF program described in section 8 below. It should be noted that further expansion (i.e. beyond the

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plan approved at the end of the last planning cycle) will result in increased GEF and Deans should take this into consideration in their budget plan.

## **6. Student Services**

Western is committed to *Providing the Best Student Experience among Canada's Research Intensive Universities*. A major component of this commitment is to ensure that we provide the best possible services to our students in areas such as career development, academic counselling, psychological counselling, registrarial services, financial aid services, support/mentoring for new students, and international student services. One aspect of improving our approach to these services would be to physically and operationally consolidate the currently-provided central student service activities in a single location. Deans are invited to provide advice on such a consolidation of student services, including physical location and types of services. Comments on the best model for the future operational relationship between the central consolidated student services and Faculty-based student services are also welcomed.

Faculties are also asked to summarize their current activities in the provision of career counseling and placement services to undergraduate and graduate students, and the outcomes of those activities.

## **7. Planning Indicators**

A selective approach to annual budget planning requires that both University- and Faculty-level allocation decisions be effectively related to our academic aspirations, current activities and performance, and to the relative contributions of the Faculty to the University's overall mission in research and education. The consideration in the planning process of a variety of activity indicators, both common and unit-specific, is an important step towards linking resource allocations and academic priorities.

Each Faculty is provided (in Appendix C) a set of centrally-generated indicators in graphical format. Deans are asked to comment on these indicators and on future plans/directions. Each Faculty is also invited to identify and provide data reflecting up to five additional indicators which the units themselves view as appropriate for their disciplines. Deans should provide a description of other activities and initiatives within their units (not captured through empirical indicators) that contribute in a significant manner to the University's overall mission.

Each Dean is also asked to rank available indicators (e.g., those supplied in Appendix C, and/or those supplied by the Faculty) in their order of importance as measures of the Faculty's progress in meeting the objectives of the Faculty's Academic Plan and the University Mission and Strategic Plan.

Further to discussions at the Deans' Retreat and recent Deans' meetings, Faculties are invited to comment on the style and level of benchmarking that would be most helpful in their units, the external and/or internal comparisons that would be of most value, and the Faculty-specific challenges associated with implementation of such a process.

**8. University Priorities Investment Fund (UPIF) Requests to Support the Academic Plan**

As indicated earlier, the Provincial Government has made substantial funding commitments to Ontario's universities – and Western will benefit directly from this investment. We anticipate, based on our current revenue projections, that we will be able to support the appointment of an additional 45 faculty positions in 2006-07 -- over and above the positions that have already been approved to-date. Funding will also be available to appoint a modest number of additional staff in the Faculties.

Deans are invited to make UPIF proposals for additional faculty and staff positions, instructional or other equipment, interdisciplinary initiatives, and instructional technology initiatives, using the following guidelines.

- Proposals should directly support educational quality enhancement initiatives and research strengths/developing strengths that are linked to the Faculty's draft renewed Academic Plan.
- Given that decreasing the student/faculty and student/staff ratios are central to the enhancement of the educational environment and is an expectation of the provincial government, proposals should clearly demonstrate how the ratios would be reduced. Reduction in the size of larger undergraduate classes (where that makes sense), for example, should be a priority. Deans might also consider how such appointments might be used to increase undergraduate student access to high-demand programs or to develop new modules or enhance existing modules and programs.
- Graduate enrolment expansion is a high priority for the University. Proposals for new faculty appointments should demonstrate how these incremental positions allow for further expansion of the Faculty's current graduate enrolment plan beyond that already approved in the last planning cycle. Emphasis should be given to expansion at the doctoral level. In addition, UPIF requests that would enable expanded graduate enrolment should also account for how any GEF accruing would be utilized.
- Proposals that focus on interdisciplinary collaboration in teaching and research are encouraged – such proposals should describe specifically how this will be accomplished and supported.

- All proposals should give clear timelines.
- All proposals should include suggestions for measurable indicators of progress towards the goals associated with each proposal.

UPIF proposals should be concise. Proposals which are reinforced by other Faculty-specific resources (including fundraising) will be viewed favourably. Finally, the proposals should clearly specify the timing of their implementation. In order to ensure consistency in the presentation of UPIF proposals, Deans are asked to complete the template shown in Appendix G for each UPIF proposal.

## **9. Space, Facilities, and Capital Planning**

Deans are invited to discuss the space requirements associated with their Faculty's draft Academic Plans, especially for the anticipated expansion in graduate enrolments, and associated increases in faculty and staff. Deans should propose options to address these needs. This feedback from Deans will be central to the University's long-range space plan being developed as part of this planning cycle. In discussing their space needs, Deans should describe the following:

- the efficiency in the use of the Faculty's current space inventory;
- the number of additional graduate students planned for the Faculty and the space requirements associated with this expansion, including type of space;
- the anticipated number of additional faculty and their associated space requirements;
- the impact of any additional space on the overall undergraduate student experience; and
- the number of incremental staff appointments and their associated space requirements.

*Please note that in developing their space requirements, Deans should follow the COU/MTCU space standards described in Appendix D.*

Deans are also asked for advice on the most effective way to anticipate and provide the space needed to support successful applications to research programs such as the Canada Foundation for Innovation.

The outcomes of the past three planning cycles included multi-year space and capital recommendations for Faculties. Additional funding for renovation projects is available in 2006-07. Deans may submit capital requests for the final year of the 4-year planning period. All requests for funding of minor capital projects must be included in the planning document (see Appendix E, Capital Project/Space Request Form).

- Proposals should support priorities in teaching and scholarship as articulated in the Faculty's draft renewed Academic Plan.
- Prior to consideration of capital projects by the Provost during the planning process, units must consult with Physical Plant to obtain a cost estimate and to ensure that all building, safety, and structure-bearing codes receive proper attention.
- In-year requests for space arising as a result of unexpected events must be submitted by Deans in writing to the Provost as these events emerge.
- To assist Deans in the preparation of requests, a summary of current Faculty-specific space inventory and of "derived space", based on COU/MTCU space standards, is provided in Appendix D. All requests for additional space and/or capital funding should be based on an evaluation of current space allocations relative to the academic activities within the Faculty. Deans are asked to comment on this information and to suggest options for space reconfiguration/reallocation.
- Requests must include a timeline of implementation and funding flow.
- As has been the case for the past two years, all requests for exemptions to the University's policy on rental charges for general university facilities must be submitted in the planning documents. Note that only requests that directly relate to the academic activities of the Faculty will be considered for exemption.

#### **10. Provost's Academic Support Fund (PASF)**

The outcomes of the past three planning cycles included 4-year recommendations from the Provost's Academic Support Fund (PASF). Some funding remains unallocated for the final year of the 4-year planning period. Deans are invited to request one-time allocations from the Provost's Academic Support Fund. As in past years, PASF will be used to support a range of innovative initiatives in teaching and scholarship but will not include base allocations. PASF proposals could include initiatives in information technology, academic equipment renewal, faculty recruitment, new course/program development, and staff development – and must include a timeline of implementation. In order to ensure consistency in the presentation of PASF proposals, Deans are being asked to complete the template shown in Appendix F for each PASF proposal.

**11. Research Infrastructure Support Fund (RISF)**

The RISF, introduced in 2004-05, supports research infrastructure costs in the Faculties. The RISF amounts to \$750,000 and will be allocated as annual one-time funding based on two principles: demonstrated need for support of research infrastructure and demonstrated excellence of the unit(s) seeking support. Details of the RISF were provided last year by the Vice-President (Research). As part of their planning documents, Deans are asked to include (very brief) RISF proposals for 2006-07.

**12. Comprehensive Revenue/Expenditure Model**

Appendix A provides the budget planning template for the final year of the 4-year planning period for the Faculty. ECF/GEF revenue lines have been completed by IPB using the most recent enrolment projections and historical patterns in teaching activity. Deans are asked to review these figures in consultation with IPB and make adjustments to the revenue lines (excluding the base budget line) as necessary. Particular attention should be paid to the ECF and GEF estimates, which should be updated to reflect the new graduate enrolment plans for the Faculty.

The expenditure plan should include the line-by-line details shown in Appendix A, and should address budgetary requirements in the areas of: tenured/probationary faculty complement, part-time and limited-term teaching, support staff, GTAs, information technology and academic equipment renewal, faculty travel, new faculty start-up funds, facilities maintenance (including Occupational Health and Safety requirements concerning storage of equipment and materials and the use and disposal of hazardous materials), and any other allocations deemed necessary for the long-term academic health of the Faculty.

Faculties are reminded that they are responsible for including teaching equipment and information technology renewal funds in their budget plans. Annual allocations should be based on a systematic replacement plan and can be funded from operating revenue or through a planned targeted use of carryforward funds. As discussed earlier, many Faculties have built up a large carryforward reserve (shown in the revenue section of Appendix A, page 1), which should be treated as any other revenue source in the budget plan.

The line-by-line budget model for the final year of the 4-year planning period should be provided by completing columns <e> and <f> on Page 1 of Appendix A.

### **13. Faculty/Staff Complement Plan**

As an outcome of last year's planning process, agreement was reached on updated full-time faculty and staff complement levels for the 4-year planning period. Deans should update the faculty and staff complement plan for the final year of the 4-year period by completing the tables in Appendix B.

- The faculty/staff complement plan should reflect selective support of the priorities articulated in the Faculty's Academic Plan.
- In addition to completing the tables, Deans should provide a text commentary describing the process and rationale for any changes to the complement plan approved last year. The rationale should be linked to the priorities in the Faculty's draft renewed Academic Plan, the University's Strategic Plan and Strategic Research Plan, and any enrolment shifts arising from graduate expansion and from variation of undergraduate student demand in response to the New Academic Choices.
- Deans are also asked to provide a summary of progress in hiring into positions approved through the planning process in the first three years of the 4-year plan, as well as progress in hiring into any positions approved during this summer's accelerated planning process and any positions approved in-year as a consequence of funds released from unanticipated retirements and resignations.
- It is a priority for the provincial government to be able to demonstrate that the incremental funds provided to universities through the spring 2005 provincial budget have been effective in increasing the number of faculty at Western. Deans are asked to provide details of how they are attempting to expedite their hiring plans, and to provide suggestions for how the University can aid them in doing so.
- Deans should include, in their complement and budgetary plans, provision for on-going funding of any positions now based on term funding that expires during the planning period.
- Sources of funding for new appointments should be described.

Deans should note that when positions are vacated as a consequence of unanticipated retirements or resignations, the positions themselves are closed, and a case must be made for the creation of new positions using funds released to the Faculty budget. This is because the areas of teaching and research of departing faculty were determined by Faculty priorities at the time they were hired, whereas new

positions are expected to fit with the current priorities of the Faculty, as articulated in the Faculty's Academic Plan.

Deans should also note that advertisements to hire into planned full-time faculty positions must still be approved by the Vice-Provost (Policy, Planning & Faculty) through the Office of Faculty Relations, and requests to advertise should be accompanied by a statement describing how the position fits into the complement plan approved during the planning process.

#### **14. Updates on Initiatives from Last Year's Planning Process and the Accelerated In-Year 2005-06 Planning Process**

In reporting the information requested in section 13, Deans are asked to ensure they report on (a) the status of UPIF faculty/staff appointments recommended as outcomes of the first three cycles of the 4-year planning process, (b) the use of the 50% of new female tenured/probationary faculty salaries and benefits allocated as one-time funds in 2005-06, (c) the use of funds released from internal CRC appointments with reference to the original CRC proposal -- with particular attention to the hiring of new faculty and the gender distribution in these new appointments, and (d) the status of resources (for faculty and staff positions, instructional lab equipment, and graduate student space enhancements) committed through the accelerated planning process during August/September 2005.

### **E. University-Wide Planning Policies and Issues**

In preparing for the final year of the 4-year plan, Deans should take into account the following University-wide planning policies/issues.

#### **1. First-year Intake and Enrolment Plan**

Western's current Senate-approved enrolment plan calls for first-year undergraduate intake at the Constituent University to be 4,350 for 2006-07 and beyond. Entrance requirements will be set at a common (minimum) level for all first-entry undergraduate programs; requirements may be higher for some limited-enrolment programs.

#### **2. First-year Course Guarantee**

The policy of guaranteeing courses to first-year students has made a tremendous contribution to Western's recruitment efforts and to the early academic experience of our students. The commitment and cooperation of the Faculties to this policy have been outstanding. This guarantee will continue as an established feature of Western's first-year programs.

### **3. Tuition Revenue-Sharing**

The policy introduced in 2001-02 for the sharing of tuition revenues will apply for 2006-07 – if government removes the tuition freeze after 2005-06. That is, the Provost will consider recommending that, for high tuition programs, 65% of incremental tuition revenue – net of the set-aside for student aid – will be directed at the students' Faculty of registration, reflecting a recognition of provincial and national competitive factors and of the students' expectation to see concrete evidence of the educational benefits of their increased investments.

### **4. Turnover Recovery Policy**

The Faculty Turnover Recovery Policy, introduced in 2001-02, will continue into the future. The policy allows for faculty renewal/replacement by returning the greater of 60% of the retiree's salary plus benefits or \$63,000 plus benefits for turnover in 2005-06 to the Faculty budget.

### **5. Canada Foundation for Innovation (CFI) and the Ontario Research Fund (ORF)**

The University has made a central fiscal commitment of a total of \$10 Million to provide the necessary matching funds for the support of proposals from Western's researchers that are successful in CFI and ORF competitions. Deans are asked to ensure that participation in the CFI and the ORF is given high priority within the Faculties and departments.

It should be noted that the Vice-President (Research) should be consulted at the very early stages of preparing CFI/ORF proposals – in particular, regarding matching funds and space/facilities requirements.

### **6. Information Technology**

The University's Information Technology infrastructure (e.g. networks, email, web support, wireless technology, instructional technology applications, general university computer labs, central storage, desktop support, and administrative database systems) is supported by ITS and WISG. In order to better plan for and support the IT infrastructure of the University community, Deans are asked to identify specific IT-related infrastructure needs that will enhance the teaching and research environments within the Faculties and Departments. Comment and advice regarding IT policy and practice is also invited. The collection of Deans' responses will be used to guide central IT planning and priority setting within ITS and WISG.

### **7. Health and Safety**



The University Health and Safety Committee has recommended that workplace safety be addressed through the University's planning process. In addition to specific safety issues that units need to address, all units are asked to continue to deal with the issue of corridor use for storage. The Ontario Fire Code states that corridors must be kept free of obstructions at all times. Units are therefore asked to address all unit-specific health and safety issues and work towards eliminating the use of corridors as extensions of offices, laboratories, or storage rooms.

## **F. Conclusion**

The multi-year planning approach – both at the University-level and the Faculty-level – has served Western well. This planning model has allowed for systematic investment in areas of strength and priority during a challenging and critical period in the University's history. As we look forward to the next 5 years, we must recognize that the Provincial Government's recently-announced commitment of substantial resources to Ontario's universities carries with it a special obligation to continue our planning in a selective, transparent, and accountable fashion.

As we begin this planning cycle, with the Faculties developing renewed Academic Plans and the University updating its Strategic Plan, the resources available to us represent an unprecedented opportunity to pursue our academic aspirations and the associated operational priorities.

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**Please submit 10 Copies of your Planning Document to Ruban  
Chelladurai – one week prior to your Planning Meeting Date**

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