



*The* UNIVERSITY of WESTERN ONTARIO

**BOARD OF GOVERNORS MEETING**

**1:00 p.m., Thursday, November 24, 2011  
Room 4155 Stevenson Hall**

1. Adoption of Agenda - Open Session
2. **Report of the President** (Amit Chakma)
3. Consent Agenda - **Appendix I**
  - Includes Open Session Minutes of the Meeting of September 27, 2011
4. Business Arising from the Minutes
5. Reports of Committees:
  - Property & Finance Committee - **Appendix II** (Keith Zerebecki)
  - Senior Operations Committee - **Appendix III** (Frank Angeletti)
  - Fund Raising and Donor Relations Committee - **Appendix IV** (Steve Coxford)
  - McIntosh Gallery Committee - **Appendix V**
6. Items Referred by Senate - **Appendix VI** (Amit Chakma)
7. Questions from Members
8. Other Business
9. Adjournment to Confidential Session



*The* UNIVERSITY of WESTERN ONTARIO

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

**November 24, 2011**

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

PRESENT: Mr. F. Angeletti, Chair  
Ms. I. Birrell, Secretary

Mr. J. Adams  
Dr. A. Chakma  
Mr. S. Coxford  
Dr. R. Darnell  
Dr. J. Deakin  
Mr. M. Dietrich  
Mr. K. Goldthorp  
Ms. L. Gribbon  
Ms. S. Grindrod  
Mr. H. Hassan  
Mr. P. Jenkins

Ms. G. Kulczycki  
Mr. M. Lafortune  
Mr. C. Lassonde  
Mr. D. Lemieux  
Mr. C. Shah  
Mr. J. Silver  
Dr. S. Sims  
Dr. S. Singh  
Ms. J. Vanderheyden  
Mr. M. Wilson  
Mr. K. Zerebecki

By Invitation: R. Langille, L. Logan, J. O'Brien

BG.11-98

**REPORT OF THE PRESIDENT**

The President's report consisted of the following: Canadian University Report, opening of the new Ivey Building, downtown London initiative, Government relations update, appointment to federal advisory panel, collective bargaining update, Ontario University Fair, Passport Western, announcement of new chancellor, Robarts Dinner and activities of the President from September to November 2011. Details are found in his report distributed with the agenda.

BG.11-99

**UNANIMOUS CONSENT AGENDA** [Appendix I]

It was moved by M. Wilson, seconded by C. Shah,

That the 16 items listed in Appendix 1 be approved and/or received for information by the Board of Governors by unanimous consent.

CARRIED

BG.11-100 **Minutes from the Previous Meeting**

The minutes of the meeting of September 27, 2011, were approved as circulated.

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

BG.11-101 **MAPP 2.8 – Procurement of Materials & Services – Revisions**

It was moved by C. Shah, seconded by P. Jenkins,

That the revised MAPP 2.8 - Procurement Policy, be approved effective January 1, 2012.

CARRIED

BG.11-102 **Information Items Reported by the Property & Finance Committee**

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

- Report on Endowments
- Key Financial Indicators
- 2010-2011 Budget Indicators
- New and Revised Scholarships and Awards

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

BG.11-103 **MAPP 1.35 – Non-Discrimination/Harassment Policy and MAPP 6.25 – PMA Harassment Policy - Revisions**

It was moved by F. Angeletti, seconded by J. Vanderheyden,

That the Board of Governors approve revisions to MAPP 1.35 – Non-Discrimination / Harassment Policy and MAPP 6.25 – PMA Discrimination and Harassment Policy as outlined in Appendix III, Annexes 1 and 2, effective December 1, 2011.

Ms. O'Brien provided an overview of the revisions to the MAPP 1.35 - Non-Discrimination/ Harassment Policy and MAPP 6.25, the PMA Harassment Policy detailed in Annexes 1 and 2. Revisions to these policies reflect the changes to the Occupational Health and Safety Act. Training sessions were held regarding non-discrimination and harassment in order to educate the Western community about these changes and an online e-learning program will be launched January 2012. Responding to questions about incidents that might involve Campus Police and/or London Police, Ms. Kulczycki explained that Western's Campus Police are special constables who receive their authority by virtue of the London Police Services Board and work closely with London Police when needed.

The question was called and CARRIED

BG.11-104 **MAPP 2.16 – Travel & Expense Reimbursement Policy - Revisions**

It was moved by F. Angeletti, seconded by K. Zerebecki,

That the Board of Governors approve amendments to MAPP 2.16 – Travel & Expenses Reimbursement Policy, as outlined in Appendix III, Annex 6, effective January 1, 2012.

Ms. Logan highlighted the changes to MAPP 2.16 – Travel & Expense Reimbursement Policy detailed in Appendix III, Annex 6, which are a result of the establishment of new Provincial Procurement and Expense Directives for all Broader Public Sector (BPS) organizations. Major changes include the elimination of per diems, guidelines tied to the Treasury Board of Canada for meals, kilometres and accommodation and the requirement of higher levels of approval.

Asked why Western follows the Broader Public Sector (BPS) for Ontario and the Federal Treasury Board guidelines, Ms. Logan replied that the Treasury Board guidelines provide a reasonable basis for travel costs. The Broader Public Sector Accountability Act is a Provincial Act to which the University is subject.

In response to a questions about the policy's language around reimbursement for alcohol, Ms. Logan stated that the wording provides flexibility given the various types of hospitality events on campus.

The Chair asked that in the fall the Board receive a status report on the implementation of this policy, recognizing that the new regulations would be more costly to monitor. He also asked that a summary of the cost spent on the increased workload associated with this be provided with the status report.

The question was called and CARRIED

BG.11-105

**Report on Effective and Efficient Support of the University's Strategic Directions**

Ms. Kulczycki provided an overview of the Report on Effective and Efficient Support of the University's Strategic Directions detailed in Appendix III, Annex 12. This report was prepared in response to questions from members of the Senior Operations Committee about the costs of supporting the University's strategic directions and how Western's expenditures on support units compare to other institutions. Members asked that the service metrics or efficiency measures used be provided in the future and that the Senior Operations Committee work with the administration to "fine-tune" the report.

BG.11-106

**Information Items Reported by the Senior Operations Committee**

The Report of the Senior Operations Committee, detailed in Appendix III, contained the following items that were received for information by unanimous consent:

- Annual Report on the Code of Student Conduct
- Annual Report of the Senior Operations Committee
- Associate Vice-President (Research) Selection Committee – Board Representatives

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

BG.11-107

**Information Items Reported by the Fund Raising and Donor Relations Committee**

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

- Fund Raising Results to September 30, 2011
- Quarterly Report on Fund Raising
- Ivey Building Naming

**REPORT OF THE MCINTOSH GALLERY COMMITTEE** [Appendix V]

BG.11-108 **McIntosh Gallery Committee – Annual Report 2010-11**

The Board received for information the Annual Report of the McIntosh Gallery Committee, 2010-11, detailed in Appendix V.

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

BG.11-109 **Annual Update on Performance & Activity Indicators**

Dr. Deakin provided an overview of the annual update on Performance & Activity Indicators detailed in Appendix VI, Annex 1, noting that the report is dedicated to Mr. Martin England, who passed away March 13, 2011. Referring to specific charts, she highlighted the strengths in areas of strategic importance to Western: entry grades, retention rates, graduation rates, student satisfaction, international graduate enrolment, NSERC publications, offering a residence place for all first-year students, student aid, and deferred maintenance. Some areas of weakness include: research funding (NSERC/CIHR), graduate student support from granting councils and the percentage of international undergraduates.

The following points were noted in the discussion and in response to questions:

- the National Survey of Student Engagement (NSSE) benchmarks: it is unclear if Western can improve its NSSE scores; Carnegie peers are Western's benchmarks and it is difficult to compete with them given the disparity in funding.
- student debt: the Province has re-instated the requirement effective with 2010-11, that 10 percent of incremental tuition revenue be earmarked for student aid. The increase in the number of graduates with debt in excess of \$40,000 is largely from the pool of students completing second-entry professional programs, many of whom have a greater capacity to repay their debts.
- contract research revenue: the decrease in contract research revenue is likely attributable to the economic downturn in 2008-09 and partly as a result of losses incurred in Surface Science and the Boundary Layer Wind Tunnel.

BG.11-110 **Information Items Referred by Senate**

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

- Report of the Academic Colleague
- Academic Administrative Appointments

BG.11-111 **Retiring Members of the Board**

On behalf of the Board, Mr. Angeletti acknowledged those Board members whose terms recently ended - Kelly Meighen, Linda Miller and Chris Sinal - for their time and support of the Board and its endeavours. He also announced his resignation effective December 31, 2011 and thanked the Board for the privilege of serving as Chair for the past two years.

The meeting adjourned to the confidential session.

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F. Angeletti  
Chair

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I. Birrell  
Secretary



## REPORT OF THE PRESIDENT

TO: Board of Governors

FROM: Amit Chakma

DATE: November 24, 2011

SUBJECT: President's Report to the Board

I'm pleased to provide the following update on key developments and achievements since the last meeting of the Board on September 26, 2011:

1. **Top marks in *Canadian University Report*:** For the 10th year in a row, Western has received top marks among Canada's large research schools in the *Globe and Mail's* annual survey of undergraduate students. Western earned the only 'A-' grade for "most satisfied students" and was at the top of the class or tied for first in 14 of the report's 19 categories, including Quality of Teaching and Learning, Student Residences, and Campus Atmosphere. This decade-long achievement is a remarkable tribute to the collective and sustained efforts of faculty, staff, students, alumni and donors who contribute to the success of our campus community.
2. **Ivey opens Phase 1 of new building:** Western celebrated the grand opening of Phase 1 of the Ivey Business School's new \$110-million building November 7. Among the 200+ in attendance were faculty, staff, students, alumni and officials from all levels of government. The event recognized financial contributions from the federal Knowledge Infrastructure Program (\$25M), the Ontario government (\$25M), the University (\$22.5M), and private donors (\$37.5M). The unique design of this LEED-certified building reflects Ivey's prominent academic stature and will help to ensure Ivey continues to compete successfully with business schools around the world.
3. **Downtown London initiative:** Campus-wide consultations are underway to prepare a business plan due in early 2012 for how Western would propose to make use of City-owned properties located in downtown London. London City Council has agreed to enter into discussions with the University regarding our expressed interest in properties that include City Hall, Centennial Hall, Reg Cooper Square, Centennial House apartments, and nearby parking facilities. Western is exploring the potential to create a downtown Centre that would include some combination of graduate education, professional programs, continuing education, and service-learning activities.
4. **Government relations update:** The outcome of the October's provincial election returned a minority Liberal government that campaigned on a platform which included

three key planks related to post-secondary education: a \$1,600 tuition rebate for qualifying students that will begin to flow through in January 2012; full funding for 60,000 new student spaces, including 40,000 in universities (including 6,000 graduate spaces); and creation of three new undergraduate campuses. Western congratulates all elected officials and will continue to work closely with key ministries in support of higher education priorities.

October also saw the release of a report authored by an expert panel reviewing the federal government's support of research and development. The report contained several recommendations that could impact university research, including the creation of an *Industrial Research & Innovation Council* to coordinate government-business innovation programs, and a call to transform all *National Research Council* institutes and business units over the next 5 years.

5. **Appointment to federal advisory panel:** I am honoured to have been asked to chair an expert panel tasked with guiding Canada's international education strategy as part of the next phase of Canada's Economic Action Plan. The panel will advise the federal government on attracting the best and brightest international students to Canada; strengthening Canada's engagement with emerging priority markets; expanding the delivery of Canadian expertise, knowledge and education services abroad; and promoting partnerships between Canadian and international education institutions. The panel's work is already underway to consult with provinces and territories, partners and stakeholders from the education sector across the country. I look forward to working with my fellow panel members, and we commend the government for recognizing the need for a comprehensive international education plan. Our panel is expected to report to the ministers of International Trade and Finance in early 2012.
6. **Collective bargaining update:** A first contract has been successfully negotiated with Western's 40 Postdoctoral Associates, who are represented by the Public Service Alliance of Canada, Local 611. I wish to congratulate the negotiating teams on this achievement as it recognizes the important role that postdoctoral associates play in fulfilling Western's academic mission.
7. **Ontario University Fair:** 75 faculty, staff, and students representing Western and the affiliated university colleges attended the annual OUF in Toronto October 14-16, which attracted total attendance of more than 118,600 prospective university students and their family members. This annual event is a key component of our recruitment strategy to attract the brightest undergraduate students to Western, and it is estimated that more than 40,000 students visited our displays. At the writing of this report, we are also preparing to host thousands of prospective students on campus during our annual Fall Preview Day on November 19.



## **ACTIVITIES OF THE PRESIDENT**

(September 17, 2011 – November 18, 2011)

September	17	London	Western Mustangs Football Game & Family Day
	19	London	LEDC President's Forum
		London	Rabbi Silberberg, Naomi Mazer (Hillel Western), Seth Freiberg, Daniel Israelson (Student Reps)
	20	London	David Frum Lecture and Book Signing
			David Frum Dinner (Gibbons)
	21	London	Dr. David Sylvester (Kings)
			USC Executive
			Mrs. Velma Howie (101 <sup>st</sup> Birthday Celebration)
			Western Scholars Kick-off Event and Reception
	22	Toronto	COU Executive Heads Retreat
	23	London	Phone Call with Ambassador Miriam Ziv
	24	London	Western Serves 2011
	26	London	Board Retreat and Dinner
	27	London	Board Retreat / Board of Governors
	28	London	City of London Finance & Administration Committee
			Phone Call with Susan Truppe (MP London North)
			Senior Administration Welcome Reception
	29	London	Homecoming Press Conference
			Leaders Forum
			Alumni Association AGM
	30	Toronto	Research Ontario Advisory Group
		London	Schulich 130 <sup>th</sup> Anniversary Reception

			Awards of Merit Alumni Dinner
October	1	London	Homecoming Activities
	2	London	Homecoming Activities
	3	London	Albert & Temmy Latner Foundation Gift Announcement
			Dinner for Latners and Bill Brock (Gibbons)
	4	London	Deans' Meeting
			Interview with Western News
			Interview with Rogers TV
			Professor John English (University of Waterloo) & Lecture
	5	Toronto	Mr. Mandy Shapansky (Chairman of the Board, CEO, Xerox Canada)
			Mr. Les Viner (Managing Partner Torys LLP)
			Lunch with Michelle and Pat Meneley, Steve Coxford
			Mr. Fred Waks (Senior VP & COO, Rio Can Real Estate Investment Trust)
	6		Phone Call with Minister Jim Flaherty (Finance)
	11	London	Phone Call with Alistair Summerlee (President & Vice-Chancellor, University of Guelph)
			Minister Flaherty Visit & Ivey Lecture
	12	London	Ken Snowden
			IBM Visit and Lecture with Bruce Ross (President, IBM Canada)
			Bruce Ross Lunch
			Photos with Professor Shunming Zhang (Renmin University of China) and John Whalley (Economics)
			National Scholars Reception

	13	Toronto	Patrick Deane (McMaster), Feridun Hamdullahpur (Waterloo), Government Relations Reps
			COU Executive Heads Round Table
			David Smith Award Dinner (Honoring Dr. Peter George)
	14	London	United Way Kick Off event
			Teleconference with Ontario Centres of Excellence (OCE) Nomination Committee
			McIntosh VIP Reception and Exhibit Opening
	15	Niagara Falls	Oxford Learning Centres AGM
		Toronto	Ontario Universities' Fair
	17	London	Teleconference with COU Budget & Audit Committee
			Lunch with Andrew Forgione (USC President)
			Royal Society and Canada Research Chairs Reception (Gibbons)
			Conference Call with U-15 Group
	18	London	United Way Retirees Reception (Gibbons)
			Dinner with Dr. Lalji Singh (Vice Chancellor Banaras Hindu University)
	19	London	Teleconference with Michal Fine (DFIA)
			Videotaping for Annual Friendship Dinner
		Toronto	Ivey Society Cocktail Reception and Business Leader Award Dinner
	20	Toronto	Mr. Calvin McDonald (President & CEO, Sears Canada)
			Teleconference with WUSC (World University Service Canada)
			Law Alumni Awards Dinner

	22	Waterloo	Installation of President Feridun Hamdullahpur
	24	London	Canadian Chemical Engineering Conference
			UWOFA
			United Way Reception for Local Donors (Gibbons)
	25	Montreal	AUCC
	26	Montreal	AUCC
	27	London	Fall Convocation Ceremonies
	28	London	Fall Convocation Ceremonies
	29	London	Faculty of Health Science Professional Program Preview 2011
	30	London	Hanny Hassan Order of Canada Reception
	31	London	Group Photo for Globe and Mail Ad
			Campus Council
			Deb Matthews (MPP London North)
November	1	Ottawa	Minister Ed Fast (International Trade)
			International Education Advisory Panel
			The Canada-US Partnership Conference
	2		The Canada-US Partnership Conference
		Toronto	Second Annual Western Engineering Leader's Reception
	3	Toronto	John O'Leary (Education Policy Advisor, Premiers Office)
			Nancy Naylor (MTCU)
			Global Ivey Reception and Gala
	4	London	Bob Hamilton (Senior Associate Secretary, Treasury Board), Paul Boothe (Deputy Minister, Environment Canada)
			Bonnie Adamson (President & CEO, LHSC)
			Convocation "Thank You" Reception

	7	London	Ivey Grand Opening
			Chris Bentley (MPP)
			Joe Fontana, Jeff Fielding (City of London)
	8	London	Geoff Smith (Ellis Don)
			Phone Call with Ambassador Ziv
	9	Ottawa	International Education Advisory Panel
			Ottawa Alumni Reception
	10	Ottawa	Phone Call with Howard Rundle (President Fanshawe College)
			Alain Beaudet (President, CIHR)
			Gisele Yasmeen (Vice President Research, SSHRC)
			David Mitchell (President, Public Policy Forum)
	11	Ottawa	WUSC Board of Directors
	12	Ottawa	WUSC Annual Assembly
	14	London	LEDC
			Rob Dunlop (Assistant Deputy Minister, Industry Canada)
			Bill Mantel (Director, Ministry of Research and Innovation)
			CFI Board Reception
			Promoted Faculty Reception (Gibbons)
	15	London	Chancellor Selection Committee
	16	Ottawa	Sean Speer (Director of Stakeholders and Economic Policy Advisor), Stephen Lecce (Office of the Prime Minister)
			Presentation and Dialogue with AUCC
	17	Toronto	Research Ontario Advisory Panel

**UNANIMOUS CONSENT AGENDA**

**FOR APPROVAL**

*Any member who wishes to ask a question, discuss, or oppose an item that is listed below may have it removed from the consent agenda by contacting the Secretary of the Board of Governors prior to the meeting or by asking that it be removed before the Chair calls for a mover and seconder for the following motion. [\[See background information at the end of Appendix I.\]](#)*

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

**Minutes**

1.	Minutes of the Meeting of September 27, 2011 – Open Session	ACTION
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**Report of the Property & Finance Committee- [Appendix II](#)**

2.	New and Revised Scholarships	INFORMATION
3.	Report on Endowments	INFORMATION
4.	Key Financial Indicators as at April 30, 2011	INFORMATION
5.	2010-2011 Budget Indicators	INFORMATION

**Senior Operations Committee – [Appendix III](#)**

6.	Annual Report on the Code of Student Conduct	INFORMATION
7.	Annual Report of the Senior Operations Committee	INFORMATION
8.	Associate Vice-President (Research) Selection Committee – Board of Governors Representatives	INFORMATION

**Fundraising & Donor Relations Committee – [Appendix IV](#)**

9.	Fundraising Results to September 30, 2011	INFORMATION
10.	Quarterly Report on Fundraising	INFORMATION
11.	Ivey Building Naming	INFORMATION

**McIntosh Gallery Committee – [Appendix V](#)**

12.	McIntosh Gallery Annual Report 2010-11	INFORMATION
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**Items Referred by Senate - [Appendix VI](#)**

13.	Revision to Appointment Procedures for Senior Administrative Officers of the University: Section P – Associate Vice-President (Research)	ACTION
14.	Report of the Honorary Degrees Committee	INFORMATION
15.	Academic Administrative Appointments	INFORMATION
16.	Report of the COU Academic Colleague	INFORMATION

## The Unanimous Consent Agenda

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

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

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

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

### **How it works:**

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

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

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

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

**REPORT OF THE PROPERTY AND FINANCE COMMITTEE**

<b>Contents</b>	<b>Consent Agenda</b>
<b>MAPP 2.8 – Procurement of Materials &amp; Services – Revised</b>	No
<b>Report on Endowments</b>	Yes
<b>Key Financial Indicators as at April 30, 2011</b>	Yes
<b>2010-2011 Budget Indicators</b>	Yes
<b>New and Revised Scholarships and Awards</b>	Yes

**FOR APPROVAL**

1. **MAPP 2.8 –Procurement of Materials & Services – Revised**

**Recommended:** That the revised MAPP 2.8 - Procurement Policy, be approved effective January 1, 2012.

**Background:**

In April 2011, the Government of Ontario established new Procurement and Expenses Directives for all Broader Public Sector (BPS) organizations. These directives have required changes to the current Procurement Policies and Procedures.

There are two major changes to the Procurement Policy:

- Consulting Services – regardless of the dollar amount of the purchase, consulting services must be competitively bid. If the purchase is considered non-competitive (sole source), it requires an exemption under a trade agreement and approval from either the President or the Board of Governors.
- Goods/Non-Consulting Services – any non-competitive procurement of goods and non-consulting services must be approved by an authority one level higher than the requirements for competitive procurement.

On January 27, 2011, the Board of Governors approved MAPP 1.51, Policy on Establishing University Policies and Procedures. In accordance with MAPP 1.51, the administration is proposing a revised Procurement Policy, MAPP 2.8, attached as [Annex 1](#). [Annex 2](#), provided for information, is the administrative procedures for the Policy. The existing Procurement Policy (which combines policy and procedures) is attached as [Annex 3](#).

**FOR INFORMATION**

2. **Report on Endowments**

See [Annex 4](#).

3. **Key Financial Indicators**

This report summarizes the key financial indicators that are currently being used to report certain elements of the University's financial position to the various committees of the Board of Governors.



The indicators have been broken into four categories:

- Policy Compliance
- Financial Health
- Stewardship & Monitoring
- Performance

The existing indicators have been summarized on the attached template accompanied by brief explanations of each indicator and how it is utilized in [Annex 5](#), Appendix 1.

It was agreed at the Board retreat in 2008 that this report would be brought forward to the Board each year and would reflect the results of the fiscal period ending April 30<sup>th</sup>.

4. **2010-2011 Budget Indicators**

See [Annex 6](#).

5. **New and Revised Scholarships and Awards**

See [Annex 7](#).

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

**2.8 PROCUREMENT OF MATERIALS AND SERVICES**

**Policy Category:** Financial

**Subject:** Procurement of Materials and Services

**Approving Authority:** Board of Governors

**Responsible Officer:** Vice-President (Resources & Operations)

**Responsible Office:** Financial Services

**Related University Policies:**

Policy 1.25 <http://www.uwo.ca/univsec/mapp/section1/mapp125.pdf>

Policy 2.6 <http://www.uwo.ca/univsec/mapp/section2/mapp26.pdf>

Policy 2.12 <http://www.uwo.ca/univsec/mapp/section2/mapp212.pdf>

Policy 2.15 <http://www.uwo.ca/univsec/mapp/section2/mapp215.pdf>

Policy 2.23 <http://www.uwo.ca/univsec/mapp/section2/mapp223.pdf>

Policy 3.4 <http://www.uwo.ca/univsec/mapp/section3/mapp34.pdf>

Special Resolution 2 <http://www.uwo.ca/univsec/board/spres2.pdf>

**Related Procedures:** Link to procedures document to be added

**Effective Date:** April 30, 2009

**Revised:** September 30, 2011

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**I. PURPOSE**

The purpose of the Procurement Services Policy is to define:

- the responsibilities and accountability associated with the acquisition of goods and services, whether by purchase, rental or lease, related to the constituent University
- the limits of authority
- the guidelines that will maximize value-for money
- a system for accountability

Those responsible for procurement of goods and services will have regard for the development of an environmental sustainable campus while complying with University policies, financial controls and provisions with respect to conflict of interest.

## II. DEFINITIONS

*Approval Authority:* the authority delegated by the University to an individual to approve, on its behalf, one or more procurement functions within the procure-to-pay-cycle up to specified dollar limits subject to the application of legislation, regulations and procedures in effect at such time.

*Competitive Procurement:* a set of procedures for developing a procurement contract through a bidding or proposal process. The intent is to solicit fair, impartial, competitive bids.

*Consultant:* a person or entity that under an agreement, other than an employment agreement, provides expert or strategic advice and related services for consideration and decision making.

*Consulting Services:* the provision of expertise or strategic advice that is presented for consideration and decision making.

*Employee:* typically on payroll, with deductions made at the source. An individual may be hired on a full-time or part-time, temporary or permanent basis. The University maintains the right of direction and control over the employee's actions, has the power to dismiss the individual, and provides the tools and equipment for the job.

*Invitational Competitive Procurement:* any form of requesting a minimum of three (3) qualified suppliers to submit a written proposal in response to the defined requirements outlined by an individual/organization.

*Non-Consulting Service Provider (NCSP):* an individual/company who contracts to provide services, other than consulting services to another individual or business. Examples may include "consultants" such as property brokers, head hunters or trainers.

## III. POLICY

- 1.00 The responsibility for the identification of needs and specifications is the responsibility of the User Department.
- 2.00 Except as otherwise specifically delegated by the Board of Governors or the President, all acquisitions for the University of materials and services from all sources of revenue (i.e. general operating budget, ancillary operations, research funds, capital funds and other monies held in trust for special purposes) shall be the responsibility of Procurement Services.

Exclusions are:

- a) Contracts for construction (new buildings, additions, or major alterations or renovations). Refer to Policy 2.15.
- b) Contracts for the acquisition or lease of land or buildings. Refer to Policy 1.25 and Policy 2.15.
- c) Personnel services (i.e., benefits, wage and salary administration, and occupational health and safety). Refer to Policy 2.23.

- d) Investment services, including Pension Board and Treasury. Refer to Policy 2.12, Policy 2.23 and Special Resolutions 1-J and 1-K.
  - e) Insurance. Refer to Policy 2.23.
  - f) Legal Services. Refer to Policy 2.6.
- 3.00 Procurement Services, in discharging its responsibilities, shall have the final decision in the selection of the supplier and establishing the price, terms, and conditions of purchase.
- 4.00 Procurement Services will work co-operatively with the University Development Office when suppliers or potential suppliers to the University are to be solicited for donations. However, in no case, shall donations or other gifts given in the past, present, or offered in the future be considered a factor in a purchase decision with the exception of in-kind contributions and partnerships associated with granting agency funded research purchases.
- 5.00 Procurement Services may delegate its operational responsibilities to other groups in specific instances while retaining functional authority.
- 6.00 Procurement Services will strive to provide suppliers opportunities to bid on University business in a fair, open and competitive process. This will be achieved by the use of informal, formal and sealed bids. Competitive bids will be solicited in accordance with the Procurement Directives as set out by the Broader Public Sector Accountability Act, 2010 and processes as outlined in the Policy 2.8 Procedures document.
- 7.00 Under no circumstances will the University entertain purchasing goods for subsequent sale to individuals for personal consumption or utilization except through its normal retail operations.

### **EXPENDITURE AUTHORITIES**

- 8.00 The President, Vice-Presidents, Associate Vice-Presidents, Vice-Provosts, Deans, Budget Unit Heads and Principal Investigators are authorized to sign/approve purchase requisitions without limit for their respective areas of responsibility when the expenditure is provided for in approved budgets, with such purchases to be effected by Procurement Services in accordance with approved policies and procedures. The above officers may delegate their authority to sign purchase requisitions for goods, services and recoverable salaries and benefits. Such delegations, including specified limits, must be given in writing to Procurement Services.
- 9.00 The following have the authority to commit the University to the expenditure of funds for any one transaction up to the limits specified below through the execution of Purchase Orders, contracts and agreements (i.e. service, licensing and maintenance agreements/warranties, and non-consulting services) to:

(a)	President	\$1,500,000*
(b)	Vice-President (Research & International Relations) for research funded acquisitions	\$1,500,000
(c)	Vice-President (Resources & Operations) or, in the absence of, the Vice-President (Academic)	\$1,500,000
(d)	Associate Vice-President (Financial Services) or the Associate Vice-President (Institutional Planning & Budgeting)	\$750,000
(e)	Director of Procurement Services	\$500,000
(f)	Procurement Services Managers	\$250,000
(g)	Senior Buyers	\$125,000
(h)	Buyers	\$25,000

- |     |  |         |
|-----|--|---------|
| (i) | Local Business Unit Authorized Personnel | \$5,000 |
|-----|--|---------|

\*The President also has authority to sign purchase orders, contracts and agreements for expenditures over \$1,500,000 for research equipment if the expenditure falls within the constraints set out in Special Resolution No. 2, section 5.

Notification will be given to the Associate Vice-President (Financial Services) and the Director of Procurement Services for contracts whose life-time total value exceeds the above limits but where individual transactions within the contract fall within the above limits and in section 10.00.

- 10.00 The Director of Procurement Services hereby delegates authority to commit the University to the expenditure of funds for any one transaction up to the limits specified below and in respect to operational responsibilities delegated to them, through the execution of purchase orders, contracts and agreements as follows:

- |     |  |           |
|-----|--|-----------|
| (a) | Director, University Book Store & Graphic Services or<br>Associate Vice-President (Housing & Ancillary Services) | \$250,000 |
| (b) | University Librarian or designate  | \$250,000 |
| (c) | Director, Hospitality Services or<br>Associate Vice-President (Housing & Ancillary Services)                     | \$250,000 |
| (d) | Managers of licensed University liquor outlets or<br>Associate Vice-President (Housing & Ancillary Services)     | \$25,000  |
| (e) | Local business unit authorized personnel   | \$5,000   |

- 11.00 The tendering and purchase of utilities (electricity, natural gas, and water) is administered by Facilities Management with the support of Procurement Services. Contracting for electricity and natural gas will occur using a competitive bidding and review process. The authority to sign contracts with suppliers is as follows:

- |     |   |             |
|-----|---|-------------|
| (a) | Associate Vice-President (Facilities Management<br>Capital Planning Services) | \$1,000,000 |
| (b) | Vice-President (Resources & Operations) over<br>or designate or President     | \$1,000,000 |

## RELATED DOCUMENTS AND OTHER RESOURCES

BPS Procurement Directive

[http://www.fin.gov.on.ca/en/bpssupplychain/documents/bps\\_procurement\\_directive.html](http://www.fin.gov.on.ca/en/bpssupplychain/documents/bps_procurement_directive.html)

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

**[2.8 Procurement of Materials And Services - Procedures]**

**I. PROCEDURES**

- 1.00 Where an employee is a supplier or has a relationship with a supplier, compliance with Policy 3.4 and Policy 2.8 will be enforced.
- 2.00 It is recognized that on-going service and partnering with quality/preferred suppliers can be a mutually beneficial and cost-effective procurement process. However, where normal competitive procedures are waived, the reasons must be documented, kept on file, and authorized by the Director of Procurement Services or delegate. Moreover, as a minimum, such arrangements must be reviewed every five years with the stakeholders.
- 3.00 In the case of specialized and/or custom designed equipment or services for which there is only one known or recognized product leader, the requirement for a competitive process may be waived. Again, the reasons must be documented and approved by the Director of Procurement Services or delegate.
- 4.00 Procurement Services may enter into co-operative procurement arrangements with other organizations where this is advantageous. Co-operative procurement processes will be accepted if deemed by the Director of Procurement Services to be consistent with the intent of University policies.
- 5.00 Procurement Services will:
  - (a) consult with the users to establish all requirements and appropriate suppliers;
  - (b) be the major point through which supplier contact is initiated and maintained. Direct contact between users and suppliers may be essential; however, any supplier proposals resulting from discussions with suppliers are to be directed to Procurement Services, with copies to the requester unless otherwise directed by the Procurement Services Representative;
  - (c) be notified and approve any lab expositions, vendor and any other related shows/displays involving vendors on University property;
  - (d) keep abreast of developments in the major commodity fields and provide pertinent information to users;
  - (e) facilitate vendor performance evaluations;
  - (f) identify sources of needed goods and services, select suppliers, obtain quotations and negotiate terms of purchase and payment. Users will be involved in the procurement process;
  - (g) facilitate the procurement of goods and services and provide for customs clearance. The expediting of delivery of goods and services will be managed with the user department on a case by case basis;
  - (h) place orders and arrange details of delivery;

- (i) handle all adjustments of price and terms for items purchased on Purchase Orders; and
- (j) interpret and apply all applicable government regulations including customs and appropriate taxes.

6.00 The competitive bid process may take the form of telephone quotations, written Request For Quote, written Request For Proposal, Tender or by OBS (electronic 'Open Bid System'). The most appropriate method will be decided by Procurement Services in conjunction with the user and/or as required by law. Guidelines for competitive pricing are:

- Up to \$10,000 - at the discretion of the Procurement Services Buyer.
- \$10,001 to \$25,000 - two verbal quotes minimum, three preferable with the awarded quote documented in writing.
- \$25,001 to \$100,000 - minimum of three formal quotes, five preferably, or advertised tenders preferably from a pre-qualification process.
- Over \$100,000 – competitively bid through an open electronic system or, in the rare case, sole sourced with appropriate documentation (refer to Section 3.00 above).

Any purchases funded through a Granting Agency must meet the Agency's requirement or those above, whichever are more stringent.

All bids over \$100,000 will be opened in the presence of the appropriate Procurement Services Manager or the Director of Procurement Services and, whenever practical, one other individual designated by the Director of Procurement Services. All bids will be recorded.

7.00 An open competitive process must be conducted for consulting services regardless of value. Approval from the appropriate authority is required for each process. Any exemptions must be in accordance with the applicable trade agreements.

- \$0 up to, but not including, \$100,000 - invitational or open competitive process
- \$100,000 or more - open competitive process
- Under \$1,000,000 requires a signature from the President
- Over \$1,000,000 requires a signature from the President or a Vice-President and the Board of Governors.

8.00 Except as noted in 8.00 below, budget units will prepare and forward Purchase Requisitions to Procurement Services for completion of the procurement function.

9.00 In accordance with section 5.00 of Policy 2.8, Procurement Services hereby delegates operational responsibility and accountability for procurement to the:

- |     |  |           |
|-----|--|-----------|
| (a) | Director, University Book Store & Graphics Services or Associate Vice-President (Housing & Ancillary Services) for books and materials purchased for resale by the Book Store or the Campus Computer Store and for equipment service agreements and external print contracts for Graphic Services. | \$250,000 |
| (b) | University Librarian for library collection acquisitions.  | \$250,000 |
| (c) | Director, Hospitality Services or Associate  | \$250,000 |

Vice-President (Housing & Ancillary Services)  
for food and beverages purchased for Housing  
and Food Services

- (d) Managers of licensed University liquor outlets or Associate Vice-President (Housing & Ancillary Services) for purchase of alcoholic beverages in compliance with the University liquor license \$25,000

This delegation of operational responsibility will be exercised in accordance with letters of understanding between Procurement Services and each of the above operating units. In addition, authority for purchases less than \$5,000, as provided for by the Low Value Purchase Order, Procurement Cards, Standing Orders or Systems Contracts, are delegated to local budget unit authorized personnel. The Director of Procurement Services has the authority to increase individual one-time Procurement Card transaction limits in accordance to the expenditure authorities as outlined in Section 9 of the Procurement of Materials and Services Policy.

- 10.00 Except as specified in 8.00, Purchase Orders, contracts and agreements, regardless of amount, must be reviewed and approved by the Director of Procurement Services or a Procurement Services Manager prior to approval by other signing authorities.
- 11.00 Any procurement of goods and non-consulting services must be approved by the appropriate authority, prior to purchase or commencement, in accordance with Section 9.00 of Policy 2.8.
- 12.00 Any non-competitive procurement of goods and non-consulting services must be approved by an authority one level higher than the requirements for competitive procurement outlined in Section 9.00 of Policy 2.8 prior to purchase or commencement.
- 13.00 Supporting documentation (an exception form) must be completed and approved by an appropriate authority prior to the non-competitive procurement of goods or non-consulting services.
- 14.00 Procurement of consulting services must be approved, prior to commencement, in accordance with the Procurement Approval Authority Schedule for Consulting Services (see chart below).

<b>Procurement Approval Authority Schedule for Consulting Services</b>		
<i>Procurement Method</i>	<i>Procurement Value</i>	<i>Approval Authority</i>
Invitational Competitive	\$0 up to but not including \$100,000	As per Policy 2.8, Section 9
Open Competitive	\$0-\$1,000,000	As per Policy 2.8, Section 9
	\$1,000,000 or more	As per Policy 2.8, Section 9
Non-Competitive*	\$0 up to but not including \$1,000,000	President
	\$1,000,000 or more	Board of Governors

\*\*Exception based only

- 15.00 Departments must not reduce the overall value of procurement (e.g. dividing a single procurement into multiple procurements) in order to circumvent the approval requirements specified in Section 9.00 of Policy 2.8, or the Procurement Approval Authority Schedule for Consulting Services.

## RELATED DOCUMENTS AND OTHER RESOURCES

BPS Procurement Directive:

[http://www.fin.gov.on.ca/en/bpssupplychain/documents/bps\\_procurement\\_directive.html](http://www.fin.gov.on.ca/en/bpssupplychain/documents/bps_procurement_directive.html)



## *The UNIVERSITY of WESTERN ONTARIO*

### *POLICIES and PROCEDURES*

## **2.8 PURCHASE OF MATERIALS AND SERVICES**

Classification: Financial

Effective Date: 30APR09

Supersedes: 25OCT04

### **PURPOSE OF POLICY**

The purpose of the Purchasing Policy is to define:

- the responsibilities and accountability associated with the acquisition of goods and services, whether by purchase, rental or lease, related to the constituent University;
- the limits of authority;
- the guidelines that will maximize value-for-money;
- a system for accountability.

In carrying out these responsibilities, those responsible will have regard for the development of an environmentally sustainable campus while complying with all other University policies, financial controls and conflicts of interest.

### **POLICY**

- 1.00 The responsibility for the identification of the need and specification is the responsibility of the User Department.
- 2.00 Except as otherwise specifically delegated by the Board of Governors or the President, all acquisitions for the University of materials and services from all sources of revenue (i.e., general operating budget, ancillary operations, research funds, capital funds and other monies held in trust for special purposes) shall be the responsibility of the Purchasing Department. Current exclusions are:
  - (a) Contracts for construction (new buildings, additions, or major alterations or renovations). Refer to Policy 2.15.
  - (b) Contracts for the acquisition or lease of land or buildings. Refer to Policy 1.25 and Policy 2.15.
  - (c) Personnel services (i.e., benefits, wage and salary administration, and occupational health and safety). Refer to Policy 2.23.
  - (d) Investment services, including Pension Board and Treasury. Refer to Policy 2.12, Policy 2.23 and Special Resolution 1-J and 1-K.
  - (e) Insurance. Refer to Policy 2.23.
  - (f) Legal Services. Refer to Policy 2.6.
- 3.00 The Purchasing Department in discharging its responsibilities shall have the final decision in the selection of the supplier and establishing the price, terms, and conditions of purchase.
- 4.00 The Purchasing Department will work co-operatively with the University Development Office when suppliers or potential suppliers to the University are to be solicited for donations. However, in no case shall donations or other gifts given in the past, present, or offered in the future, be considered a factor in a purchase decision with the exception of in-kind contributions and partnerships associated with granting agency funded research purchases.
- 5.00 The Purchasing Department may delegate its operational responsibilities to other groups in specific instances while retaining functional authority.

- 6.00 The Purchasing Department will strive to provide suppliers opportunities to bid on University business in a fair, open and competitive process. This will be achieved by the use of informal, formal and sealed bids. Competitive bids will be solicited in accordance with the limits and process outlined in 10.00 below.
- 6.01 Where an employee is a supplier or has a relationship with a supplier, compliance with Policy 3.4 and with this policy will be enforced.
- 6.02 It is recognized that on-going service and partnering with quality/preferred suppliers can be a mutually beneficial and cost effective procurement process. However, where normal competitive procedures are waived, the reasons must be documented, kept on file and authorized by the Director of Purchasing or delegate. Moreover, as a minimum, such arrangements must be reviewed every five years with the stakeholders.
- 6.03 In the case of specialized and/or custom designed equipment or services for which there is only one known or recognized product leader, the requirement for a competitive process may be waived. Again, the reasons must be documented and approved by the Director of Purchasing or delegate.
- 7.00 The Purchasing Department may enter into co-operative purchasing arrangements with other organizations where this is advantageous. Co-operative purchasing processes will be accepted if deemed by the Director Purchasing to be consistent with the intent of university policies.
- 8.00 Under no circumstances will the University entertain purchasing goods for subsequent sale to individuals for personal consumption or utilization except through its normal retail operations.

## **PROCEDURE**

- 9.00 In the discharge of its responsibilities, the Purchasing Department undertakes to:
- (a) Consult with the users to establish all requirements and appropriate suppliers.
  - (b) Be the major point through which supplier contact is initiated and maintained. Direct contact between users and suppliers may be essential; however, any supplier proposals resulting from discussions with suppliers are to be directed to the Purchasing Department, with copies to the requester unless otherwise directed by the Purchasing Representative.
  - (c) Be notified and approve any lab expositions, vendor and any other related shows/displays involving vendors on University property.
  - (d) Keep abreast of developments in the major commodity fields and provide pertinent information to users.
  - (e) Facilitate vendor performance evaluations.
  - (f) Identify sources of needed goods and services, select suppliers, obtain quotations and negotiate terms of purchase and payment. Users will be involved in the purchasing process.
  - (g) Facilitate the procurement of goods and services and provide for customs clearance. The expediting of delivery of goods and services will be managed with the user department on a case by case basis.
  - (h) Place orders and arrange details of delivery.
  - (i) Handle all adjustments of price and terms for items purchased on Purchase Orders.
  - (j) Interpret and apply all applicable government regulations including customs and appropriate taxes.
- 10.00 The competitive bid process may take the form of telephone quotations, written Request For Quote, written Request For Proposal, Tender or by OBS (electronic 'Open Bid System'). The most appropriate method will be decided by the Purchasing Department in conjunction with the user and/or as required by law. Guidelines for competitive pricing are:

- Up to \$10,000 - at the discretion of the Purchasing Buyer.
- \$10,001 to \$25,000 - two verbal quotes minimum, three preferable with the awarded quote documented in writing.
- \$25,001 to \$100,000 - minimum of three formal quotes, five preferably, or advertised tenders preferably from a pre-qualification process.
- Over \$100,000 – competitively bid through an open electronic system or in the rare case sole sourced with appropriate documentation (refer to Section 6.03).

Any purchases funded through a Granting Agency must meet the Agency's requirement or those above, whichever are more stringent.

All bids over \$100,000 will be opened in the presence of the appropriate Purchasing Manager or the Director of Purchasing and whenever practical one other individual designated by the Director Purchasing. All bids will be recorded.

11.00 Except as noted in 12.00 below, budget units will prepare and forward Purchase Requisitions to the Purchasing Department for completion of the purchasing function.

12.00 In accordance with 5.00 above, the Purchasing Department hereby delegates operational responsibility and accountability for purchasing to the:

- |     |  |           |
|-----|--|-----------|
| (a) | Director, University Book Store & Graphics Services or Associate Vice-President (Housing & Ancillary Services) for books and materials purchased for resale by the Book Store or the Campus Computer Store and for equipment service agreements and external print contracts for Graphic Services. | \$250,000 |
| (b) | University Librarian for library collection acquisitions.  | \$250,000 |
| (c) | Director, Hospitality Services or Associate Vice-President (Housing & Ancillary Services) for food and beverages purchased for Housing and Food Services   | \$250,000 |
| (d) | Managers of licensed University liquor outlets or Associate Vice-President (Housing & Ancillary Services) for purchase of alcoholic beverages in compliance with the University liquor license   | \$25,000  |

This delegation of operational responsibility will be exercised in accordance with letters of understanding between Purchasing and each of the above operating units.

In addition, authority for purchases less than \$5000 as provided for by the Low Value Purchase Order, Procurement Cards, Standing Orders or Systems Contracts are delegated to local budget unit authorized personnel. The Director Purchasing has the authority to increase individual one-time Procurement Card transactions up to a maximum of \$100,000.

### **EXPENDITURE AUTHORITIES**

13.00 The President, Vice-Presidents, Associate Vice-Presidents, Assistant Vice-Presidents, Deans, Budget Unit Heads and Principal Investigators are authorized to sign/approve purchase requisitions without limit for their respective areas of responsibility when the expenditure is provided for in approved budgets, with such purchases to be effected by the Purchasing Department in accordance with approved policies and procedures.

The above officers may delegate their authority to sign purchase requisitions for amounts less than \$50,000 for goods and services, and up to \$100,000 for recoverable salaries and benefits. Such delegations, including specified limits, must be given in writing to the Purchasing Department.

- 14.00 The following have the authority to commit the University to the expenditure of funds for any one transaction up to the limits specified below through the execution of Purchase Orders, contracts and agreements (i.e. service, licensing and maintenance agreements/warranties) to:

(a)	President	\$1,500,000*
(b)	Vice-President (Research & International Relations) for research funded acquisitions	\$1,500,000
(c)	Vice-President (Resources & Operations) or, in the absence of, the Vice-President (Academic)	\$1,500,000
(d)	Associate Vice-President (Financial Services) or the Associate Vice-President (Institutional Planning & Budgeting)	\$750,000
(e)	Director of Purchasing	\$500,000
(f)	Purchasing Managers	\$250,000
(g)	Senior Buyers	\$125,000
(h)	Buyers	\$25,000
(i)	Local Business Unit Authorized Personnel	\$5,000

\*The President also has authority to sign purchase orders, contracts and agreements for expenditures over \$1,500,000 for research equipment if the expenditure falls within the constraints set out in Special Resolution No. 2, section 5.

Notification will be given to the Associate Vice-President (Financial Services) and the Director Purchasing for contracts whose life-time total value exceeds the above limits but where individual transactions within the contract fall within the above limits.

- 15.00 Except as specified in 12.00, Purchase Orders, contracts and agreements, regardless of amount, must be reviewed and approved by the Director of Purchasing or a Purchasing Manager prior to approval by other signing authorities.
- 16.00 The Director of Purchasing hereby delegates authority to commit the University to the expenditure of funds for any one transaction up to the limits specified below and in respect to operational responsibilities delegated to them, through the execution of purchase orders, contracts and agreements as follows:
- |     |   |           |
|-----|---|-----------|
| (a) | Director, University Book Store & Graphic Services or<br>Associate Vice- President (Housing & Ancillary Services) | \$250,000 |
| (b) | University Librarian or designate   | \$250,000 |
| (c) | Director, Hospitality Services or<br>Associate Vice-President (Housing & Ancillary Services)                      | \$250,000 |
| (d) | Managers of licensed University liquor outlets or<br>Associate Vice-President (Housing & Ancillary Services)      | \$25,000  |
| (e) | Local business unit authorized personnel  | \$5,000   |
- 17.00 The tendering and purchase of utilities (electricity, natural gas, and water) is administered by the Department of Facilities Management with the support of the Purchasing Department. Contracting for electricity and natural gas will occur using a competitive bidding and review process. The authority to sign contracts with suppliers is as follows:
- |     |  |                   |
|-----|--|-------------------|
| (a) | Associate Vice-President (Facilities Management)                     | up to \$1,000,000 |
| (b) | Vice-President (Resources & Operations)<br>or designate or President | over \$1,000,000  |

### Report on Endowments

#### For Information:

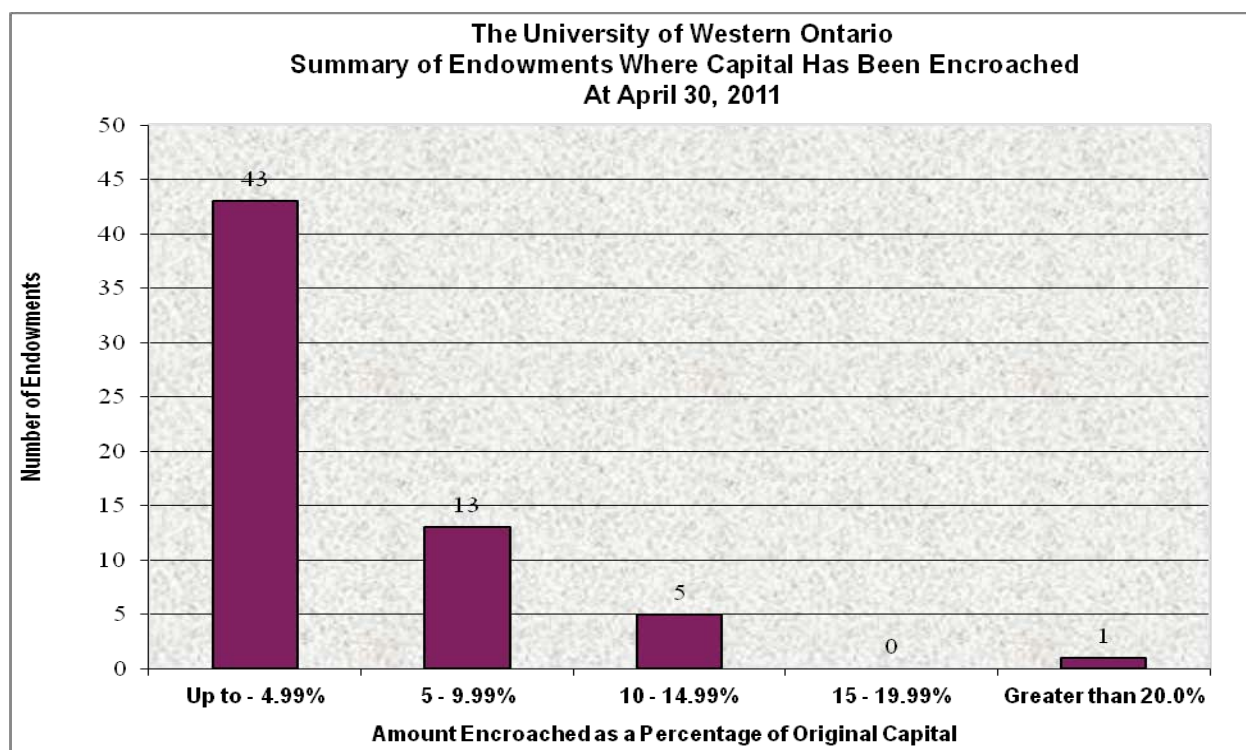
The University's policy with respect to the management of endowments permits a temporary draw down of endowment capital outlined in policy number 2.11, as follows:

"In any particular year, should accumulated investment returns be insufficient to fund the amount made available for spending, endowment capital will be used, with the expectation that such amounts will be recovered from future investment returns."

An endowment becomes underwater when the current market value of the fund is less than the original donated amount(s).

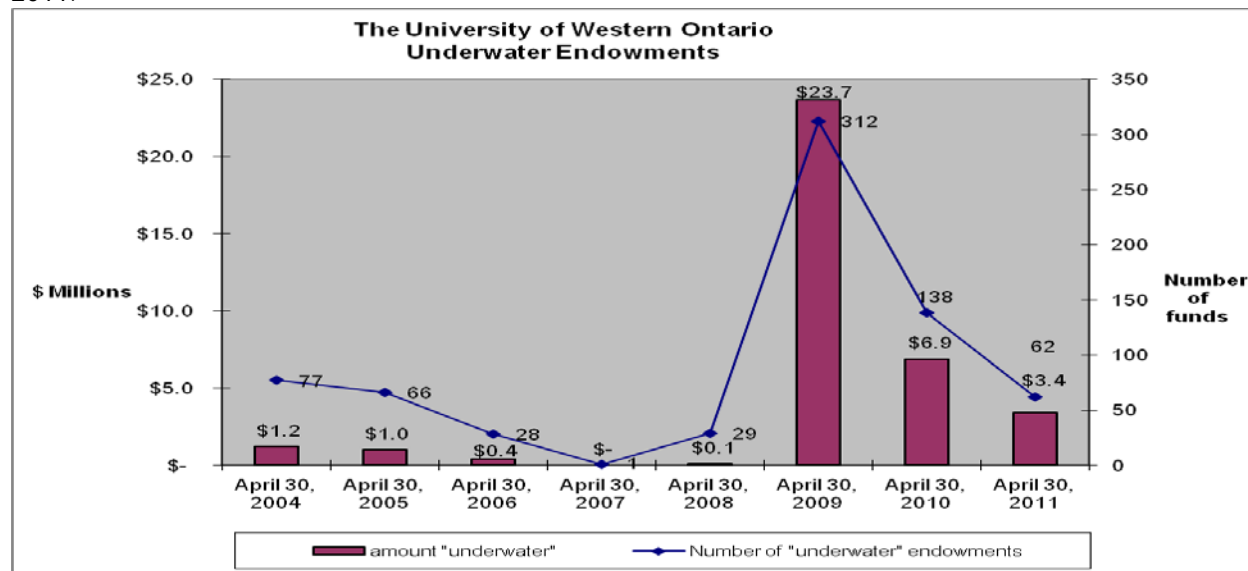
For the year ending April 30, 2011, equity markets continued to perform well providing returns of 10.4% net of fees. As a result of the positive performance, the number of underwater endowments dropped from 138 at April 30, 2010 to 62 at April 30, 2011. The number of underwater endowments represents approximately 8% of Western's endowments (18% in 2010).

The chart below provides a breakdown of the underwater endowments by the level of encroachment as a percentage of original capital.

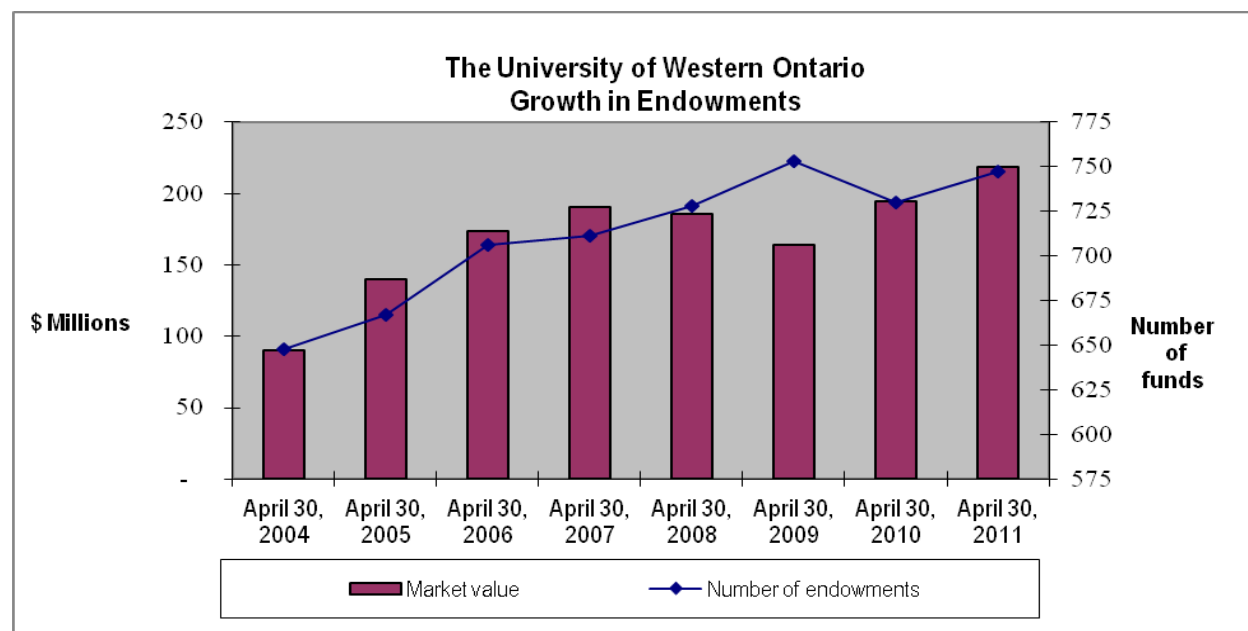


*By September 30, 2011, the number of underwater endowments increased from 62 to 274 as a result of the allocation for spending and the current market volatility. The amount encroached is approximately \$15.6 million.*

The following chart shows the number and amounts of underwater endowments for fiscal years 2004 – 2011.



From April 30, 2004 to April 30, 2011, the total number of endowments at Western increased approximately 15%, from 648 funds to 747. Between April 30, 2004 and April 30, 2011, the market value of Western's endowments has grown by 141% from \$90.4 million to \$218.2 million<sup>1</sup>.



The Investment Payout Policy was last revised in January of 2009. During the 2008 economic downturn, it became apparent that the 4.5% spending policy could not be sustained. The University looked at many

<sup>1</sup> These numbers include \$15.7 million of OSOTF I funds that are invested by Western on behalf of Foundation Western.

different spending policies/models, including inflation adjusted models. The decision was taken to reduce the investment payout policy to 4% for the long term and to create a differentiated policy for endowments that were "underwater" (market value lower than original donated capital) at April 30<sup>th</sup> of any given year. This differentiated policy presented Donor Relations and Development with challenges regarding consistency of payouts, competitiveness and donor agreements. In addition, it created some difficulties for faculties as the actual value of the payout is not known until May 1<sup>st</sup> of any given year and is subject to relatively high volatility from year to year.

The Investment Committee engaged the services of our Investment Consultant, Russell Investments, to model payout scenarios for our endowments. The expected outcomes of the modeling were as follows:

- Maintenance of intergenerational equity
- Reduce volatility of annual allocations for spending
- Eliminate differentiated investment payout policy
- Consider divergent strategies between Foundation Western and Western
- Keep administrative effort as efficient as possible

Modeling was completed for 3.5%, 3.75% and 4% payouts from endowments, and varying averaging periods ranging from 3 years to 5 years, utilizing the current asset mix of the Operating & Endowment Portfolio.

The conclusions reached by Russell were as follows:

- A spending rate between 3.5 - 4% is generally sustainable
- Changing the averaging period does not have a significant impact on asset value but does have an impact on predictability of spending
- The current spending rule works reasonably well, especially if the averaging period is augmented. The real issue is managing community and donor expectations.
- The real return objective will need to be reduced from the current 5% to 4%
- Adjustments to the current asset mix of the portfolio will be required

From a donor relations perspective, it is very important to have a straightforward, simple rule for donors. Given this principle and in light of Russell's conclusions, the Investment Payout Policy was amended as follows:

Effective May 1, 2011 endowed funds will be permitted to spend an amount equal to 4.0% of the average value of the total endowment over the most recent five year period. For endowments received after May 1, 2008, allocations for spending will start on May 1<sup>st</sup> of the fiscal year following their completion of one full fiscal year at Western. In the case of new endowments, the average will be calculated based upon the number of years the endowment has been at Western.

# FIDUCIARY RESPONSIBILITY - KEY FINANCIAL INDICATORS

Appendix II, Annex 5

From Document - Role of the Board of Governors: (attached)

Item 1 To provide stewardship and ensure that University actions support University objectives

Item 8 To ensure adequate resources and financial solvency

TYPE OF INDICATOR	FREQUENCY & REPORT	PERFORMANCE MEASURE	TARGET/ MAXIMUM	OUTCOME
<b>POLICY COMPLIANCE</b> Capital Debt Policy 2.30	Quarterly Report on Capital Debt (P&F - September, January, March, June)	Debt per Student FTE Ratio of Debt to Total Revenue Debt Service Costs as a Percentage of Revenues Ratio of Debt to Revenues that are Available for Debt Repayment Maximum allowable debt based on Student FTE Floating rate debt between 0% - 50% of total debt	\$8,756 35% 4% 45% \$261.9 0-50%	<u>Actual at April 30/11:</u> \$7,255 22% 1.3% 32% \$217.0M 2%
Ratio on Non-endowed Funds (also an indicator of Financial Health)	Quarterly Ratio Report on Non-Endowed Funds (P&F - September, January, March, June) (Investment Committee)	Target Ratio of Investments to Obligations	1.08	1.21
<b>FINANCIAL HEALTH</b>  Budget Indicators	Annual (P&F - October)	Carryforward Reserve Operating Reserve Student Aid Real Operating Revenue excluding Student Aid Real Operating Revenue excluding Student Aid per Student FTE	N/A \$2.5M N/A N/A N/A	\$93.9M \$33.0M \$57.8M \$265.8M \$8,886
Credit Rating	Annual	External credit rating - Standard & Poor's	AA	AA - December 2010
<b>STEWARDSHIP &amp; MONITORING</b>  Statutory Financial Statements	Annual (Audit Committee - September)	Approval of Combined Financial Statements Approval of Retirement Income Fund Financial Statements Pension Financial Statements for information	N/A N/A N/A	Unqualified Audit Opinion Unqualified Audit Opinion -
Audit Findings Report	Annual (Audit Committee - September)	External auditors report to the Audit Committee.	N/A	No recommendations/ No Audit Differences
Operating Reserve	Annual Budget (P&F - April)	Minimum target set by Board	\$2.5M	\$33.0M
Deferred Maintenance	Annual Budget (P&F - April)	Comparison annually to 2% target	2%	Budget 3.4%
Report on Endowments	Annual (P&F - October)	Endowment Performance and Underwater endowments Endowment per FTE  Rank of Endowment/FTE per CAUBO Investment Survey Rank - Endowments > \$100M per CAUBO Investment Survey	5% \$12,150 at 12/31/09 23 9	One year 10.2% \$15,414 at 12/31/10 20 10
Report of the Investment Committee	Quarterly (P&F - September, January, March, June)	Performance of the operating and endowment investment portfolio and the recent activities of the Investment Committee		See Appendix 1
Employee Future Benefits	Annual Budget (P&F - April)	Reported through the operating budget.	2010-\$248.1M	\$272.1M



TYPE OF INDICATOR	FREQUENCY & REPORT	PERFORMANCE MEASURE	TARGET/ MAXIMUM	OUTCOME
<b>PERFORMANCE</b>				
Financial Report (Operating Budgets)	Quarterly <i>(P&amp;F - September, January, March, June)</i>	Performance - Actual versus budget for Operating Budgets Surplus/(Deficit)	<b>\$2.7M</b>	<b>\$33.0M</b>
Statutory Financial Statements - Combined	Annual <i>(P&amp;F - September)</i>	Excess of revenues over expenses (expenses over revenues)	<b>2010 \$45.8M</b>	<b>\$42.8M</b>
Ancillary Financial Report	Semi-Annual <i>(P&amp;F - January, June)</i>	Budget versus actual revenues and expenses for Student Fee Funded units, Ancillaries, Academic Support Units and Associated Companies Surplus/(Deficit)	<b>\$5.6M</b>	<b>\$7.1M</b>
Fundraising	Quarterly <i>Development &amp; Fundraising Committee Property &amp; Finance Committee</i>	Performance against fundraising targets	2009-10 <b>\$65M</b> 2010-11 <b>\$54M</b>	<b>\$55M</b> <b>\$63.4M</b>
CAUBO Investment Survey	Annual	Investment portfolio performance against our Canadian peers Endowment per FTE. Included in the Report of the Investment Committee.	<b>No target</b>	-

## **KEY FINANCIAL INDICATORS**

### **CAPITAL DEBT POLICY 2.30**

Policy defines the responsibilities for approval of capital debt, the maximum limits on the amount of capital debt and the system of accountability

Administration reports quarterly to the Property & Finance Committee on the four measures contained within the Capital Debt Policy:

- a) Debt per Student FTE measures the amount of total UWO capital debt on a per FTE basis. The amount of total debt shall remain less than \$7,500 (adjusted by the change in CPI annually) per student FTE.
- b) Ratio of Debt to Total Revenue measures the amount of total UWO capital debt as a percentage of total UWO revenue. Total debt shall remain less than 35% of total revenue.
- c) Debt Service Costs as a Percentage of Revenues measures the percentage of total revenue that is allocated to debt principal and interest payments. The amount of obligatory debt principal and interest payments shall not exceed 4% of total University revenues.
- d) Ratio of Debt to Revenues that are Available for Debt Repayment measures the amount of total UWO capital debt as a percentage of revenues that are available to service debt. Such revenues include ancillary revenue, provincial operating grants, tuition fees and a portion of investment returns, but do not include research grants. Total debt shall remain less than 45% of revenues that are available to repay such debt.

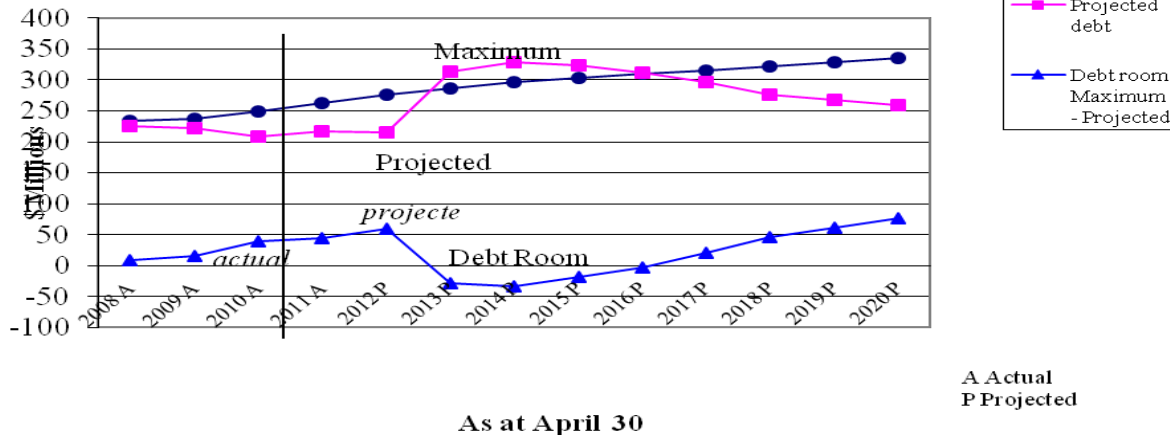
The most limiting of the above ratios is the Debt per Student FTE. The Quarterly Report on Capital Debt informs the Property & Finance Committee about the impact that newly approved and proposed projects will have on the level of capital debt and on the debt ratios.

This Policy is also closely monitored by Standard and Poor's as part of their annual credit rating review of the University.

Chart 1 below shows the maximum debt; actual and projected debt; and Debt Room, which is the difference between the two. Total debt at April 30, 2011 was \$217.0 million.

In June 2011, the Board of Governors approved a recommendation to authorize the University to exceed the limits set out in the Capital Debt Policy, if required, by up to \$45 million for the fiscal periods 2013 and 2014 subject to review and renewal for an additional two years, with a commitment to minimize the quantum of the overage. Chart 1 reflects the relief that is required from 2013 through 2016.

**The University of Western Ontario**  
 Chart 1  
 Debt Forecast to April 2020  
 (for Approved and Anticipated Projects)



The Capital Debt Policy also provides a guideline for administration to manage the percentage of floating rate debt within the range of 0% - 50% of total debt.

## RATIO REPORT ON NON-ENDOWED FUNDS

Administration reports quarterly on the ratio of total investments to total obligations for non-endowed funds. The total obligations reflect funds that are owed to University accounts and other creditors. The Board target for this ratio is an average of 1.08 over the previous 12 quarters. At April 30, 2011 the ratio of investments to obligations for non-endowed funds was 1.21. When this ratio falls below 1.08, draws from non-endowed funds cease until the target ratio is reached as part of an approved annual budget.

## BUDGET INDICATORS

This report tracks the actual annual results for five budget indicators: the Carryforward Reserve, the Operating Reserve, Operating Revenue, and Student aid.

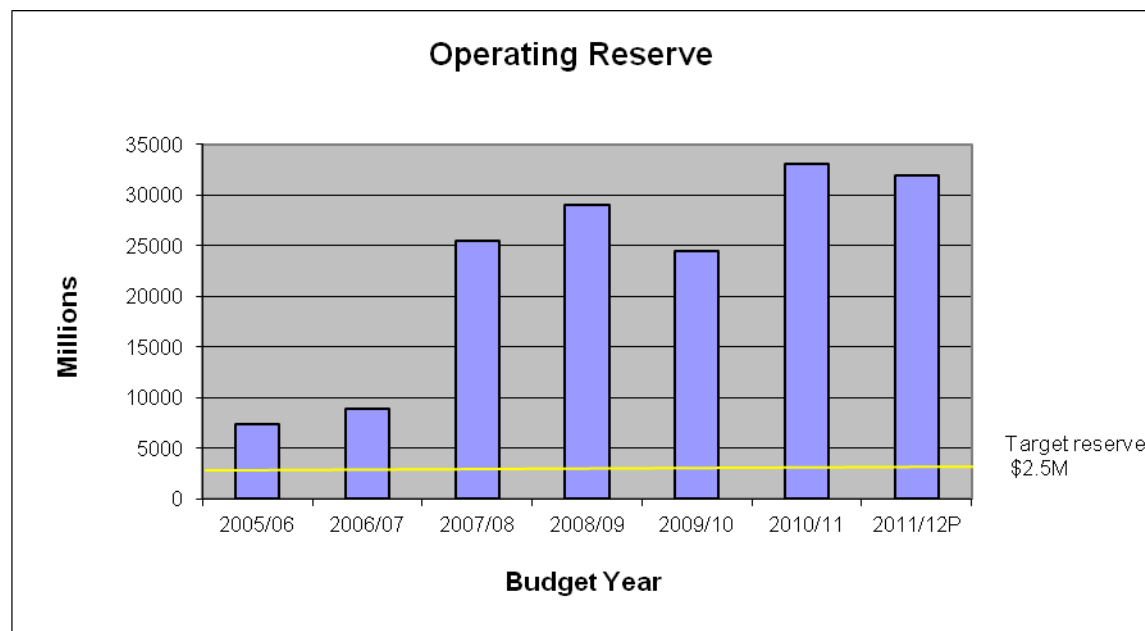
## CREDIT RATING (AA)

Standard & Poor's measures financial health using a variety of indicators. The most recent credit rating review was issued December 22, 2010 which reaffirmed Western's AA rating (Negative trend) and identified the following outlook for Western:

- Improving Demand Profile
- Tight Operating Environment
- Strong Government Funding Support for Capital Projects
- Expected Debt Increase
- Balance Sheet remains weak
- Higher-but-manageable postemployment liabilities

## OPERATING RESERVE

The Board of Governors has set a minimum level for the operating reserve at \$2.5M. The University has maintained an operating reserve above this level since 2002. The 2011/12 operating and capital budgets project the operating reserve at \$31.9M at April 30, 2012.



## DEFERRED MAINTENANCE

Deferred maintenance is defined as work on the maintenance of physical facilities that has been deferred on a planned or unplanned basis to a future budget cycle or postponed until funds become available. To avoid increasing the size of the deferred maintenance backlog, it is necessary to carry out replacement of facility components on an annual basis.

As part of the 1995 Strategic Plan, the Board of Governors approved an incremental annual base transfer of \$750,000 from operating to capital in support of maintenance spending for 10 years, from 1996-97 to 2005-06 (the Maintenance, Modernization, and Infrastructure (MMI) transfer). In 2004, Western's Board of Governors approved the recommendation that the base transfer of \$750,000 be continued for another ten years after 2005-06 until 2015-16, when the annual transfer will be \$15.5 million. This commitment establishes Western as a leader among Canadian universities in maintaining its facilities and dealing with deferred maintenance.

For 2009-10 and 2010-11, the Board of Governors approved the transfer be maintained at \$10.25 million. The MMI transfer, coupled with Facilities Renewal Funds received from MTCU will allow Western to allocate \$28.3M to maintenance expenditures in 2011-12, representing 1.8% of the Current Replacement Value of our nonresidential buildings, utilities and infrastructure.

Our ability to achieve the 2% target over the long-term is entirely dependent on Facilities Renewal Funds received from government (MTCU).

## REPORT ON ENDOWMENTS

Annually, a report is provided to the Property & Finance Committee that details the growth of the endowment portfolio and any underwater endowments (current market value of the funds is less than the original donated amount(s)) that exist. The University's policy with respect to management of endowments permits a temporary

draw down of endowment capital on the premise that the funds will recover. The market value of endowments at April 30, 2011 was \$362.4M versus legal capital of \$339M and the prior year value of \$318.9M.

## REPORT OF THE INVESTMENT COMMITTEE

This report is provided quarterly to the Property & Finance Committee and outlines the performance of the operating and endowment investment portfolio and the recent activities of the Investment Committee.

For the CAUBO investment survey (conducted annually), we report the weighted average of the returns of Western and Foundation Western, as follows:

### Annualized Returns as of December 31, 2010

	1-Yr	2-Yr	3-Yr	4-Yr	5-Yr	10-Yr
Western	10.2%	13.3%	1.4%	1.9%	4.0%	4.4%
Foundation Western	10.3%	13.1%	2.4%	2.0%	4.0%	3.9%
Weighted average	10.2%	13.2%	1.8%	2.0%	4.0%	4.3%

### CAUBO 2010 Survey Western vs Median:

	One year	Two years	Three Years	Four Years	Five years	Ten Years
Western	10.2%	13.2%	1.8%	2.0%	4.0%	4.3%
Median returns, funds > \$100	9.9%	12.7%	1.1%	1.1%	3.5%	4.3%

### CAUBO 2010 Investment Survey

#### Top 10 Endowment Funds:

	University	Endowment Value (millions)		% Change
		2010	2009	
1	Toronto	\$1,539	\$1627	-5%
2	British Columbia	\$1,046	\$960	+ 9%
3	McGill	\$941	\$845	+ 11%
4	Alberta	\$767	\$699	+ 10%
5	Queen's	\$610	\$577	+ 6%
6	Calgary	\$475	\$429	+ 11%
7	McMaster	\$429	\$402	+ 7%

8	Manitoba	\$374	\$353	+ 6%
9	Dalhousie	\$363	\$319	+ 14%
10	Western Ontario	\$348	\$325	+ 7%
		Average change:		+ 8%

## EMPLOYEE FUTURE BENEFITS

Reported annually through the operating budget.

### Employee Future Benefits – Obligation and Expense

as a % of Total Expenditures

2006 through 2011

			Total	Obligation	Expense
	<u>Obligation</u>	<u>Expense</u>	<u>Expenses</u>	<u>%</u>	<u>%</u>
	(in millions)	(in millions)	(in millions)		
2011	\$272.1	\$24.0	\$ 952	28.6%	2.5%
2010	\$248.1	\$18.3	\$ 915	27.1%	2.0%
2009	\$229.9	\$21.7	\$ 905	25.4%	2.4%
2008	\$208.2	\$20.0	\$ 845	24.6%	2.4%
2007	\$ 188.1	\$ 14.9	\$ 762	24.7%	2.0%
2006	\$ 173.2	\$ 14.7	\$ 722	24.0%	2.0%

## FINANCIAL REPORT (OPERATING BUDGETS)

This report is provided to the Property & Finance Committee on a quarterly basis and tracks budget versus actual revenues, expenses and operating reserve.

## ANCILLARY FINANCIAL REPORT

This report is provided to the Property & Finance Committee on a semi-annual basis and tracks budget versus actual revenues and expenses for Student Fee Funded units, Ancillaries, Academic Support Units and Associated Companies.

## FUNDRAISING

This quarterly report presented to the Property & Finance Committee outlines pledge data for the current and two previous fiscal years and provides a status report on fundraising initiatives.

**The University of Western Ontario**  
**2010-11 Budget Indicators**

**For Information:**

**Review of Five Budgetary Indicators**

Each spring our annual Operating Budget contains references to important budget indicators: the Carryforward Reserve, the Operating Reserve, Operating Revenue, and Student Aid, along with preliminary estimates of those figures for the fiscal year just ending. Annually in the fall, we report to the Property & Finance Committee the actual values for these indicators. Table 1 shows the final values for these indicators for 2010-11, and historical data back to 1983-84. These are presented to the Committee for information, and to allow for questions that members might have on the data.

**(1) Carryforward Reserve**

Each year resources are allocated to the individual Faculties and Support Units, with no requirement that they be spent in the year in question. Unspent funds are carried forward into the next budget and appear in the Carryforward Reserve, shown in column (1) of the Table. There is no Board target for the size of this reserve, which reflects a great many individual decisions in our decentralized budgetary environment. The Carryforward Reserve grew sharply from 1988 to 1992, at a time when real operating spending was also growing. The reductions in real operating spending during the 1994 to 1997 period resulted in a sharp fall in the Carryforward Reserve from 1996 to 2001, as units have spent the funds in the Reserve. At April 30, 2011 the Carryforward Reserve had a balance of \$93.9 million, an increase of \$23.0 million from April 30, 2010.

**(2) Operating Reserve**

For the period 1984 to 1998, the Board recommended a target level of 1% of operating revenues for the Operating Reserve. As column (2) shows, from 1984 to 1996, this target was achieved once (in 1986), and from 1989 to 1996 the Reserve was in deficit position. In 1997 the Operating Reserve achieved the target of 1% after a \$9.3 million transfer from the investment reserve, and in 1998 the Operating Reserve exceeded the target by \$1.8 million. Since 1999 the Operating Reserve target level has been set at \$2.5 million. This target was recently re-affirmed by the Board on April 20, 2009. At April 30, 2011 the Operating Reserve was \$33.0 million, approximately \$30.5 million above the target level recommended by the Board and slightly above the budgeted Operating Reserve of \$29.8 million. The 2011-12 University Budget shows revenues forecast to exceed expenditures next year, bringing the operating reserve forecast to \$31.9 million in 2011-12.

**(3) Student Aid**

Student Aid continues to be of high priority to the University. As column (4) indicates, Student Aid grew by approximately 547% between April 1997 and April 2011, in part because of government-mandated transfers of tuition revenues to the student aid budget. During the past year total funds available in the central University Budget for student aid increased by \$6.7 million reflecting increased support for graduate students and support from the University's private fundraising and endowments.

During these same years Total Operating Revenue (column 3) grew by 137%, thus indicating a growth in the proportion of the budget that is allocated to student aid.

**(4) Real Operating Revenue Excluding Student Aid**

This measure, shown in column (7), is one indicator of the budgetary stress the University is experiencing. The years shown can be divided into a number of periods: from 1984 to 1993, Real Net Revenue grew by 24.2%, from 1993 to 1998 Real Net Revenue decreased by 9.7%, and from 1998 to 2008 it again increased by 59.0%. In 2009, Real Net Revenue decreased by 1.2%, due

mainly to negative investment returns. During 2010 and 2011, Real Net Revenue increased by 4.5% and 1.4% respectively.

**(5) Real Operating Revenue Excluding Student Aid per Student FTE**

Column 10 provides Real Net Revenue per Student FTE and shows that the budgetary stress on the University is more evident than is concluded in the above indicator. During 1984 to 1993, Real Net Revenue per Student FTE increased by 18.1%, from 1993 to 1998 it decreased by 8.0% and then from 1998 to 2008 Real Net Revenue per Student FTE increased 23.0%. Note that this last period was during a time of significant increases in Real Net Revenue. Between 2009 and 2011, Real Net Revenue per Student FTE has hovered near 2008 levels but with increased volatility.



Table 1

The University of Western Ontario  
Operating Reserve & Revenue History

Year Ended	Carryforward Reserve (\$000) (1)	Operating Reserve (\$000) (2)	Change in Real Operating Revenue Excluding Student Aid						Student FTE's (9)	Real Net Revenue Per FTE (\$) (10)=(7)/(9)	% Change (11)
			Total Revenue (\$000) (3)	Total Student Aid (\$000) (4)	Net Operating Revenue (\$000) (5)	C.P.I. (6)	Real Net Revenue (\$000) (7)=(5)/(6)	% Change (8)			
30-Apr-84	3,119	696	145,200	2,527	142,673	1.000	142,673	-	20,961	6,807	-
30-Apr-85	2,673	1,448	153,554	2,711	150,843	1.038	145,321	1.9%	20,918	6,947	2.1%
30-Apr-86	2,551	1,647	160,900	2,808	158,092	1.078	146,653	0.9%	20,787	7,055	1.6%
30-Apr-87	3,215	986	167,701	2,723	164,978	1.127	146,387	-0.2%	20,965	6,982	-1.0%
30-Apr-88	3,046	1,185	183,221	2,770	180,451	1.172	153,968	5.2%	21,426	7,186	2.9%
30-Apr-89	4,278	(502)	197,237	3,003	194,234	1.225	158,558	3.0%	21,951	7,223	0.5%
30-Apr-90	6,878	(1,147)	210,636	3,197	207,439	1.286	161,306	1.7%	22,326	7,225	0.0%
30-Apr-91	9,880	(3,207)	225,572	3,664	221,908	1.367	162,332	0.6%	22,292	7,282	0.8%
30-Apr-92	10,712	(4,828)	240,323	3,934	236,389	1.390	170,064	4.8%	22,814	7,454	2.4%
30-Apr-93	9,807	(4,104)	254,616	3,915	250,701	1.415	177,174	4.2%	22,032	8,042	7.9%
30-Apr-94	11,581	(4,036)	254,075	4,342	249,733	1.418	176,116	-0.6%	22,690	7,762	-3.5%
30-Apr-95	11,595	(3,831)	250,027	5,946	244,081	1.453	167,984	-4.6%	22,505	7,464	-3.8%
30-Apr-96	11,255	(7,122)	252,149	6,754	245,395	1.474	166,482	-0.9%	22,107	7,531	0.9%
30-Apr-97	9,325	2,533	247,540	8,926	238,614	1.499	159,182	-4.4%	21,264	7,486	-0.6%
30-Apr-98	3,315	4,297	253,267	11,489	241,778	1.511	160,012	0.5%	21,629	7,398	-1.2%
30-Apr-99	982	497	271,530	14,277	257,253	1.536	167,482	4.7%	21,754	7,699	4.1%
30-Apr-00	(1,579)	(531)	290,834	17,022	273,812	1.568	174,625	4.3%	22,626	7,718	0.2%
30-Apr-01	3,990	423	312,037	19,834	292,203	1.624	179,928	3.0%	23,350	7,706	-0.2%
30-Apr-02	13,000	7,152	337,817	22,464	315,353	1.652	190,892	6.1%	24,691	7,731	0.3%
30-Apr-03	24,449	7,294	352,543	26,529	326,014	1.701	191,660	0.4%	25,987	7,375	-4.6%
30-Apr-04	41,590	16,154	388,727	32,076	356,651	1.728	206,395	7.7%	27,029	7,636	3.5%
30-Apr-05	45,349	12,144	416,518	31,071	385,447	1.769	217,890	5.6%	27,464	7,934	3.9%
30-Apr-06	47,539	7,311	446,812	34,730	412,082	1.811	227,544	4.4%	27,879	8,162	2.9%
30-Apr-07	45,482	8,953	484,055	37,361	446,694	1.851	241,326	6.1%	28,164	8,569	5.0%
30-Apr-08	55,630	25,465	521,985	43,872	478,113	1.882	254,045	5.3%	27,981	9,079	6.0%
30-Apr-09	47,071	29,007	522,747	48,501	474,246	1.890	250,924	-1.2%	28,197	8,899	-2.0%
30-Apr-10	70,992	31,420	555,479	51,075	504,404	1.924	262,164	4.5%	28,987	9,044	1.6%
30-Apr-11	93,830	33,014	585,915	57,780	528,135	1.987	265,795	1.4%	29,913	8,886	-1.7%

## **SCHOLARSHIPS/AWARDS/PRIZES**

### **FOR INFORMATION**

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

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

Danter Family Ontario Graduate Scholarship (School of Graduate and Postdoctoral Studies, Science or Medicine & Dentistry)

Awarded annually to provide partial support to a full-time graduate student who is in a Master's or Doctoral program in either the Schulich School of Medicine & Dentistry or the Faculty of Science, based on academic achievement and research merit. The School of Graduate and Postdoctoral Studies will select the recipient who is funded through an Ontario Graduate Scholarship (OGS) or Queen Elizabeth II Graduate Scholarship in Science and Technology (QEGSST). This funding is made possible by a bequest from Florence Pennington.

Value: 1 at \$5,000\*

Effective: May 2011

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

James and Ellen Baird Ontario Graduate Scholarship (School of Graduate and Postdoctoral Studies, Music)

Awarded annually to provide partial support to a full-time graduate student who is in a Master's or Doctoral program in the Don Wright Faculty of Music, based on academic achievement and research merit. The School of Graduate and Postdoctoral Studies will select the recipient who is funded through an Ontario Graduate Scholarship (OGS) or Queen Elizabeth II Graduate Scholarship in Science and Technology (QEGSST). This funding is made possible through a bequest from Mr. James Baird.

Value: 1 at \$5,000\*

Effective: May 2011

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

Ontario Graduate Scholarship - Anonymous Donor (School of Graduate and Postdoctoral Studies)

Awarded annually to provide support to a full-time graduate student who is in a Master's or Doctoral program in any Faculty, based on academic achievement and research merit. The School of Graduate and Postdoctoral Studies will select the recipient who is funded through an Ontario Graduate Scholarship (OGS) or Queen Elizabeth II Graduate Scholarship in Science and Technology (QEGSST). This funding is made possible through an anonymous donor.

Value: 1 at \$5,000\*

Effective: May 2011 to April 2016

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

Kathleen and William Troost MBA Scholarship (School of Graduate and Postdoctoral Studies, Business)

Awarded annually to a full-time student entering the Master of Business Administration program at the Richard Ivey School of Business, based on academic achievement and demonstrated community leadership. The MBA Scholarship Committee of the Richard Ivey School of Business will review and

select each award recipient. This scholarship is made possible by a generous gift from Kathleen and William Troost, MBA '75.

Value: 1 at \$35,000

Effective: May 2012 to April 2015 inclusive

Meds 1965 Award (Schulich School of Medicine & Dentistry, Medicine)

Awarded to a student entering first year of the Doctor of Medicine (MD) program with academic achievement and demonstrated financial need. Candidates must complete an admission financial-need application form, available online through the Office of the Registrar's Web site, by April 1. The recipient will be selected by the Office of the Registrar. This award will continue for the second, third and fourth years, as long as the recipient continues to demonstrate financial need. Only one student will hold this award in any year. If a student fails to retain the award, another student from the same year who meets the criteria will be selected. This award was made possible through Foundation Western by the generosity of graduates of the Schulich School of Medicine & Dentistry, Meds Class of 1965.

Value: 1 at \$1,000 (continuing for 4 years)

Effective: 2011-2012 academic year

D.C. Buck Engineering Award (Faculty of Engineering)

Awarded annually to a full-time student in Year 3 or 4 in the Faculty of Engineering, Civil & Structural Engineering Option, with a minimum 70% average and demonstrated leadership in extra-curricular activities. Preference will be given to a member of a varsity team, preferably track and field. An award application must be completed online through the Engineering Undergraduate Services Web site: <http://www.eng.uwo.ca/undergraduate>. A one-page statement outlining the student's extra-curricular activities, involvement on a varsity team, and information as to which high school they attended (preference for publicly funded) is also to be submitted to the Undergraduate Engineering Office by September 30. The Faculty of Engineering scholarship committee (in consultation with varsity athletics) will select the recipient. This scholarship was established by Mr. Dwayne C. Buck (BESc '00), founder of D.C. Buck Engineering Inc.

Value: 1 at \$1,500

Effective: 2011-2012 to 2015-2016 academic years inclusive

David Leighton MBA Leadership Award (School of Graduate and Postdoctoral Studies, Business)

Awarded to a full-time student entering the Master of Business Administration program at the Richard Ivey School of Business, based on academic achievement and demonstrated community leadership. The MBA Scholarship Committee at Ivey will make the final selection of the recipient. This award was established by Ralph M. Barford (LLD'87) through The Ralph M. Barford Foundation in honour of David S. R. Leighton.

Value: 1 at \$70,000

Effective: May 2012

*Due to an administrative oversight, the following terms of reference for new scholarships, awards, bursaries and prizes were excluded from the report to the Board in April and are provided for information.*

Mercer MBA Scholarship (School of Graduate and Postdoctoral Studies, Business)

Awarded to a full-time graduate student entering the Master in Business Administration program at the Richard Ivey School of Business, based on academic achievement and demonstrated community leadership. Preference will be given to a female student with experience or interest in Human Resources management. The MBA Scholarship Committee of the Richard Ivey School of Business will review and select each award recipient in consultation with the School of Graduate and Postdoctoral Studies. This scholarship is made possible by a generous gift from Mercer Human Resources Consulting Limited.

Value: 1 at \$2,500

Effective: May 2011 to April 2012 inclusive

Alexandra "Sandy" Hurst Memorial HBA Award (Richard Ivey School of Business)

Awarded annually to an HBA 1 student at the Richard Ivey School of Business at the end of the first year of the program. This student has demonstrated personal growth, enthusiasm and energy while striving to excel in a well-rounded range of activities within and outside of Ivey; is admired by his or her peers and faculty alike; and, is considered one of the class' most outstanding students (not necessarily defined as having achieved the highest academic standing). The HBA Scholarship Committee, in consultation with at least one Communications Faculty member and the HBAA President, will select the recipient in March. The recipient will be announced at the HBA 1 year-end Gala in April. This award was established through Foundation Western by gifts from family and friends in memory of Sandy, a beloved Ivey professor who served as both a teacher and a mentor to a decade of Ivey students, beginning her career at Ivey in 1993.

Value: 1 at \$1,000

Effective: 2011-2012 academic year

Paul Sabourin HBA Scholarship in Entrepreneurship (Richard Ivey School of Business)

Awarded annually to a full-time HBA student at the Richard Ivey School of Business who is applying for acceptance into the Certificate in Entrepreneurship stream. The recipient will personify the spirit, passion and drive necessary to become a successful entrepreneur. A shortlist of potential award recipients will be determined by the Director of the Pierre L. Morrisette Institute for Entrepreneurship based on the Entrepreneurship Certificate Stream application forms. The HBA Scholarship Review Committee will select the award recipient in consultation with the Director of the Pierre L. Morrisette Institute for Entrepreneurship. This scholarship is made possible through a donation from Mr. Paul Sabourin, MBA'80, through Foundation Western.

Value: 1 at \$5,000

Effective: 2011-2012 academic year

Evanov Radio Group Journalism Entrance Scholarship (School of Graduate and Postdoctoral Studies, Journalism)

Awarded annually to a full-time student entering the MA in Journalism program who is a Canadian citizen, based on academic achievement and potential in Journalism. The recipient will be selected each year by the Dean of the Faculty of Information and Media Studies in consultation with at least one member of the admissions committee in the Journalism program who also holds membership in the School of Graduate and Postdoctoral Studies. This scholarship was established by the Evanov Radio Group.

Value: 1 at \$1,826

Effective: May 2011 to April 2018 inclusive

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

Awarded annually to a full-time undergraduate student entering first year of study at the Don Wright Faculty of Music who is a Canadian citizen, based on academic achievement and performance ability. The recipient will be selected each year by the Don Wright Faculty of Music Scholarship Committee. This scholarship was established by the Evanov Radio Group.

Value: 1 at \$1,826

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

Rita & Vincent Mendes de Franca International Scholarship (Any Undergraduate Faculty)

Awarded annually to an international full-time undergraduate student entering first year in any faculty, based on high academic achievement (minimum 90% average) The recipient may not be receiving a University continuing admission scholarship, but may be receiving other entrance scholarships and awards. Preference will be given to a student from Mexico, Latin America, South America or the Caribbean. This scholarship is made possible by a generous gift from Diane Mendes de Franca and Kevin Goldthorp through Foundation Western and is named in honour of Diane's parents.

Value: 1 at \$1,000  
Effective: 2011-2012 academic year

Tom Ng Engineering Award (Faculty of Engineering)

Awarded annually to a full-time undergraduate student in any engineering program who has a minimum 70% average and demonstrated financial need. Preference will be given to a student who has immigrated to Canada. Applicants must submit a one-page statement describing why they are pursuing engineering and how this award will assist them financially, together with a copy of their proof of immigration to Canada, to the Undergraduate Engineering Office by September 30. Online financial need applications are available on the Office of the Registrar's Web site and must also be submitted by September 30. The scholarship committee in the Faculty of Engineering will select the recipient after the Registrar's Office assesses the financial need. This award was established by Mr. Tom Ng, BSc'85 through Foundation Western.

Value: 1 at \$1,000  
Effective: 2011-2012 academic year

NA Engineering Associates Inc. Award (Faculty of Engineering)

Awarded to a full-time undergraduate student in fourth-year Civil and Environmental Engineering, based on demonstrated financial need, a minimum 75% average, and involvement in extra-curricular activities. Online financial need applications are available through the Office of the Registrar's Web site and must be submitted by September 30. A separate award application must be completed online through the Engineering Undergraduate Services Web site and submitted by September 30 along with a one-page statement describing their extracurricular involvement. The recipient will be selected by the Scholarships and Awards Committee in the Faculty of Engineering after the Registrar's Office has assessed financial need. This award was established through Foundation Western by Nick Aroutzidis (BSc'83).

Value: 1 at \$1,000  
Effective: 2011-2012 academic year

Marion McCracken Nursing 90th Anniversary Bursaries (Faculty of Health Sciences, Nursing)

Awarded annually to full-time undergraduate students in any year of a Bachelor of Science Nursing program who have demonstrated financial need. An online financial need assessment form must be submitted through the Office of the Registrar's Web site by October 31. The Registrar's Office will select the recipients. These bursaries were established through Foundation Western by a bequest established by Marion McCracken (BSc'35, Nursing) and other Nursing alumni and friends. Following her graduation from Western, Marion became a nursing supervisor at Toronto General Hospital and in 1939, won a competition to be chief nurse for the Imperial Oil Company in South America.

Value: 2 at \$1,500  
Effective: 2011-2012 academic year

Velma Howie Ontario Graduate Scholarships (School of Graduate and Postdoctoral Studies, Any Faculty)

Awarded to graduate students conducting research in any faculty at the Masters or Doctoral level who are current holders of an Ontario Graduate Scholarship or an Ontario Graduate Scholarship in Science and Technology, based on academic achievement and research merit. The School of Graduate and Postdoctoral Studies will select the recipients. These scholarships were established by a generous gift from Mrs. Velma Howie, a long-time friend and supporter of Western.

Value: 7 at \$5,000\*  
Effective: May 2010 to April 2011

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

Northern Trust Company Canada Ontario Graduate Scholarships (School of Graduate and Postdoctoral Studies, Social Science)

Awarded annually to graduate students conducting research in the Faculty of Social Science at the Masters or Doctoral level who are current holders of an Ontario Graduate Scholarship or an Ontario Graduate Scholarship in Science and Technology, based on academic achievement and research merit. Preference will be given to one student in Political Science. The School of Graduate and Postdoctoral Studies will select the recipients in consultation with the Faculty of Social Science. These scholarships were established by a generous gift from Northern Trust Company Canada.

Value: 2 at \$5,000\*

Effective: May 2010 to April 2013

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

Fred Groch Graduate Bursary in Engineering (School of Graduate and Postdoctoral Studies, Engineering)

Awarded annually to a graduate student with demonstrated financial need who is conducting research in the Faculty of Engineering at the Masters level. Preference will be given to a student specializing in Environmental Engineering. The scholarship committee in the Faculty of Engineering (at least one member must hold representation in the School of Graduate and Postdoctoral Studies) will select the recipient. This scholarship was established by Mr. Fred Groch (MEng'71).

Value: 1 at \$3,000

Effective: May 2011 to April 2016 inclusive

Dr. William R. Code Scholarship in the Financial Feasibility of Urban Development (Faculty of Social Science, Geography)

Awarded annually to the undergraduate student enrolled in the Urban Development Program (UDP) who achieves the highest final grade in Geography 3464, the Financial Feasibility of Urban Development. The recipient will be selected by the Chair of the Department of Geography. This scholarship was established through Foundation Western by alumni from the Urban Development Program in honour of Dr. William Code, founder and long-time Director of the UDP at Western who retired in 2006.

Value: 1 at \$1,000

Effective: 2010-2011 academic year

Drs. James and Leslie Rourke Convocation Award in Medicine (Schulich School of Medicine & Dentistry, Medicine)

Awarded annually to the undergraduate Doctor of Medicine (MD) program student at the completion of his/her fourth year who has made an outstanding personal contribution to bettering the lives of others through volunteer work and humanitarian acts while maintaining a high academic standing. Applicants must submit a one-page essay outlining their volunteer work and humanitarian contributions to the Undergraduate Medical Office by March 30. The recipient will be selected by the Scholarship & Awards Committee of the Schulich School of Medicine & Dentistry and receive the award at the annual May convocation. This award was established through Foundation Western by Drs. James Rourke (MD'76, MClinSc'93, LLD '09) and Leslie Rourke (MD'77, MClinSc'96).

Value: 1 at \$1,000

Effective: 2010-2011 academic year (May 2011 Convocation)

Susan Vitali-Lovell Family Medicine Awards (Schulich School of Medicine & Dentistry, Medicine)

Awarded annually to students in third or fourth year of the undergraduate Doctor of Medicine (MD) program with demonstrated financial need, who demonstrate an interest in pursuing Family Medicine and preferably, are originally from a rural area. Preference will be given to students who have confirmed their participation in the Southwestern Ontario Medical Education Network (SWOMEN) program at Western. The candidates will embody the ideal characteristics of a physician as outlined in the Medical Undergraduate Education Objectives. Application forms will be available in January of the year of

application and must be completed and returned to the Admission/Student Equity Affairs Office or other return site by March 31. The award recipients will be selected by the Progression, Awards and Appeals Committee in the Schulich School. These awards were established by the late John J. Vitali in memory of his eldest daughter Susan Vitali-Lovell who died in 2008.

Value: 2 at \$2,000

Effective: 2011-2012 academic year

Susan Vitali-Lovell Gold Medal and Award (Schulich School of Medicine & Dentistry, Pharmacology)

Awarded to the student with the highest academic performance in fourth-year Honors Pharmacology. This student must have completed a prescribed academic program requiring 5.0 or more courses in the fourth year of an Honors Pharmacology program; have taken the full complement of the prescribed courses (both principal and elective) for the fourth year of the academic program within that fourth year; and, have achieved an average of at least 80% ("A") overall and in the principal courses of the fourth year. Only one gold medal will be awarded in an honors program to the student with the highest average, without rounding of averages, unless there is an exact tie in which case more than one gold medal may be awarded. The recipient will be selected by the Progression, Awards and Appeals Committee in the Schulich School. This award was established by the late John J. Vitali in memory of his eldest daughter Susan Vitali-Lovell who died in 2008.

Value: 1 at \$1,000 plus a Gold Medal

Effective: 2011-2012 academic year

Brown & Korte Barristers Scholarship in Insurance Law (Faculty of Law)

Awarded annually to the undergraduate student in the Faculty of Law who achieves the highest mark in courses related to Insurance Law. The recipient will be identified by the Scholarship and Awards Committee in the Faculty of Law at the end of the school year each Spring. This award was established by Brown & Korte Barristers.

Value: 1 at \$2,500

Effective: 2010-2011 to 2014-2015 academic years inclusive

Ilonka and Miklos Szabolcsi Scholarship (Don Wright Faculty of Music)

Awarded annually to a full-time student entering first year of study in the Don Wright Faculty of Music, based on academic achievement (minimum 80% average). The recipient will be selected by the Scholarship and Awards Committee at the Don Wright Faculty of Music. This award was established by a generous bequest from Mrs. Ilonka Seder Szabolcsi, a friend and supporter of Western.

Value: 1 at \$1,000

Effective: 2011-2012 academic year

Walker Wood Foundation Continuing Scholarship in Management and Organizational Studies (Faculty of Social Science, Management and Organizational Studies)

Awarded to a full-time undergraduate student who is a Canadian citizen and is entering first year in the Management and Organizational Studies Program in the Faculty of Social Science, based on academic achievement (minimum 80% average), demonstrated financial need and community leadership. Preference will be given to a student from rural Ontario. This scholarship will continue for up to four years, provided the recipient maintains an 80% average on a full course load in a four-year degree program and demonstrates financial need each year. Online financial need applications are available through the Office of the Registrar's Web site and must be submitted by October 31. Applications should include a one-page statement describing the student's leadership activities within their school, university, community or other environment (also to be submitted to the Registrar's Office by October 31). The Registrar's Office will select the recipient. If the recipient fails to retain the award, a new student from the same year will be selected. Only one student may hold this scholarship in any given year. This award was established through a generous gift from the Walker Wood Foundation.

Value: 1 at \$4,000

Effective: 2011-2012 academic year (to be awarded to a first-year student and then continue for an additional 3 years until 2014-2015)

## 2. **Scholarship and Award Revisions**

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

### TD Bank Financial Group/William T. Brock Bursaries (Faculty of Social Science)

Change in value from: 2 at \$2,500

To: 2 at \$2,000

Effective: 2011-2012 academic year

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

Change in value from: 1 at \$20,000

To: 1 at \$15,000

Effective: May 2012

### Lily F.W. Chiu Memorial Scholarship in Library Science (School of Graduate and Postdoctoral Studies, Information and Media Studies)

Change in value from: \$4,000 per term

To: 1 at \$4,000 and 2 at \$2,500 annually

Effective: May 2011 (value to be changed in May 2012)

### Rogers Family Award in Science (Faculty of Science)

Change in criteria and value from:

Available to a full-time student registered in the third year of study in the Faculty of Science at The University of Western Ontario who has demonstrated the greatest increase in his or her annual academic average between the final year of secondary school and completion of the second year of university. Students must apply for this award and prepare an essay describing involvement in extracurricular activities. Application forms can be obtained from the Office of the Registrar and must be returned not later than September 30. A university selection committee will choose an academically-qualified recipient based on the application and essay submission. Established through the generosity of Ted and Loretta Rogers and Family.

Value: 2 at \$2,500

To: Available to full-time students registered in the third year of study in the Faculty of Science at The University of Western Ontario, who have demonstrated the greatest increase in their annual academic average between the final year of secondary school and completion of the second year of university. Students must apply for this award and prepare an essay describing involvement in extracurricular activities. Application forms can be obtained through the Office of the Registrar's Web site and must be returned not later than September 30. A Faculty of Science selection committee will choose academically-qualified recipients based on the application and essay submission. Established through the generosity of Ted and Loretta Rogers and Family.

Value: 3 at \$2,500

Effective: 2011-2012 to 2015-2016 (after which the number of awards will be reviewed)

### A. Grace Crawforth Bursary (Faculty of Arts and Humanities)

Change in criteria and value from:

Awarded to a student in the Faculty of Arts and Humanities in an Honors Specialization in English Language and Literature or French Language and Literature or a double Major in English or French who demonstrates financial need. This bursary was established through Foundation Western by Miss A. Grace Crawforth.

Value: 1 at \$325



To: Awarded to a student in the Faculty of Arts and Humanities who is registered in an Honors Specialization in English Language and Literature or French Language and Literature, or a double Major in English or French, with who demonstrated financial need. Online financial need assessment forms must be completed through the Office of the Registrar's Web site by October 31. This bursary was established through Foundation Western by Miss A. Grace Crawford.

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

Value: 1 at \$800  
Effective: 2011-2012 academic year

A. Grace Crawford OSOTF Bursary (Faculty of Arts and Humanities)

Change in value from: 1 at \$1,800  
To: 1 at \$1,000  
Effective: 2011-2012 academic year

Jenny Donald Memorial Award in Visual Arts (Faculty of Arts and Humanities, Visual Arts)

Change in value from: 1 at \$1,800, with the value of the final award in 2011-2012 being slightly higher based on funds available.  
Effective: 2007-2008 to 2011-2012

To: 2 at \$2,459  
Effective: 2011-2012 academic year only (then to be discontinued)

Dick and Zelma Fisher Distance Clinical Education Award (Faculty of Health Sciences)

Change in value from: 1 at \$1,000  
To: 1 at \$800  
Effective: 2011-2012 academic year

Collip Medal for Graduate Students in the Medical Sciences (School of Graduate and Postdoctoral Studies, Medicine & Dentistry)

Change in criteria from:

A medal to be awarded at Spring Convocation to the most meritorious graduate student obtaining a PhD degree in the Medical Sciences during the past year. The award is restricted to those students graduating from the following basic science departments within the Faculty of Medicine: Anatomy & Cell Biology, Biochemistry, Epidemiology and Biostatistics, Medical Biophysics, Microbiology & Immunology, Pathology, Pharmacology & Toxicology, and Physiology. This medal shall be awarded for all-round excellence, encompassing the following facets of student performance: thesis, oral examination, academic performance (UWO transcripts), contribution to teaching, publications, lectures, etc. The Associate Dean, Graduate Studies, Biosciences and Physical Sciences Divisions, will solicit from each of the above mentioned Departments, one month prior to Spring Convocation, the nomination of one candidate for the Collip Medal. The award will be granted at Spring Convocation and will include those candidates who have graduated at the prior Fall Convocation.

To: Awarded to the most meritorious student who has completed a PhD degree in the Medical Sciences during the past year in a program affiliated with the Schulich School of Medicine & Dentistry. This medal shall be awarded for all-round excellence and will encompass the following facets of student performance: thesis examination, academic performance, contribution to teaching, publications, lectures, etc. The Associate Dean Research (Graduate and Postdoctoral Studies) at the Schulich School of Medicine & Dentistry will solicit from each graduate program one month prior to Spring Convocation, the nomination of a candidate(s) for the Collip Medal. The award will be granted at Spring Convocation and will include those candidates who graduated at the prior Fall Convocation.

Effective: May 2011

Drs. Madge and Charles Macklin Fellowship for Publication(School of Graduate and Postdoctoral Studies, Medicine & Dentistry)

Change in criteria and value from:

Awarded to full-time Doctoral students with top quality research submissions that have been published after the student enters the graduate program and is registered in one of the following graduate programs: Anatomy & Cell Biology, Biochemistry, Epidemiology & Biostatistics, Medical Biophysics, Microbiology & Immunology, Pathology, Pharmacology and Toxicology, Physiology and Neuroscience. Candidates who publish their research findings in reputed journals are eligible. Academic achievement will also be considered, but a candidate's research submissions that have been published is of primary importance. Candidates must apply to their Graduate Program Office by March 30. Candidates must have at least one year remaining for the completion of their degree to be eligible to apply. Candidates must apply with a copy of their research submission and a CV accompanied by a letter of support from their supervisor. The Chair of each relevant graduate program will nominate one candidate. A committee consisting of the chairs of the above mentioned graduate programs and chaired by the Assistant Dean, Research (Graduate and Postdoctoral Studies, and Internationalization) will consider the nominees and select the recipient. At least one member of the selection committee will hold membership in the School of Graduate and Postdoctoral Studies. Although candidates are welcome to apply for the Nellie Farthing Fellowship in addition to this fellowship, candidates cannot receive both fellowships in any given year. This fellowship was established by a bequest from Margaret Macklin Frewin (B.A. '48, Journalism) through Foundation Western.

Value: 2 at \$3,000

To: Awarded to full-time Doctoral students who have had top-quality research submissions published after entering the graduate program, and who are registered in graduate programs affiliated with the Schulich School of Medicine & Dentistry. Candidates with at least one year remaining for the completion of their degree, who have published their research findings in high-impact peer-reviewed journals, are eligible to apply. Academic achievement will also be considered, but the quality and impact of the candidate's published research submission is of primary importance. Candidates must apply with a copy of their research submission and their CV accompanied by a letter of support from their supervisor. The Chair of each relevant graduate program will nominate a candidate(s) from their program and submit the nomination(s) to the Schulich Graduate and Postdoctoral Studies Office by the first Monday in May. A committee chaired by the Associate Dean Research (Graduate and Postdoctoral Studies), with at least one member who holds membership in the School of Graduate and Postdoctoral Studies, will consider the nominees and select the recipient. Although candidates may apply for both of the Macklin Fellowships and the Nellie Farthing Fellowship, they cannot receive more than one of these fellowships in any given year. This fellowship was established by a bequest from Margaret Macklin Frewin (BA '48, Journalism) through Foundation Western.

Value: Minimum of 1 at \$3,000

Effective: May 2011

Drs. Madge and Charles Macklin Fellowship for Teaching and Research (School of Graduate and Postdoctoral Studies, Medicine & Dentistry)

Change in criteria and value from:

Awarded to full-time Doctoral students registered in one of the following graduate programs: Anatomy & Cell Biology, Biochemistry, Epidemiology & Biostatistics, Medical Biophysics, Microbiology & Immunology, Pathology, Pharmacology and Toxicology, Physiology and Neuroscience. Selection will be based on excellence in teaching and research work. Academic achievement will also be considered, but a candidate's record of teaching and research is of primary importance. Candidates must apply to their Graduate Program Office by March 30. Candidates must have at least one year remaining for the completion of their degree to be eligible to apply. Candidates must apply with a CV accompanied by a letter of support from their supervisor. The Chair of each relevant graduate program will nominate one candidate. A committee consisting of the chairs of the above mentioned graduate programs and chaired by the Assistant Dean, Research (Graduate and Postdoctoral Studies, and Internationalization) will consider the nominees and select the recipient. At least one member of the selection committee will hold membership in the School of Graduate and Postdoctoral Studies. Although candidates are welcome to

apply for the Nellie Farthing Fellowship in addition to this fellowship, candidates cannot receive both fellowships in any given year. This fellowship was established by a bequest from Margaret Macklin Frewin (B.A. '48, Journalism) through Foundation Western.  
Value: 2 at \$3,000

To: Awarded to full-time Doctoral students with demonstrated excellence in both teaching and research, who are registered in graduate programs affiliated with the Schulich School of Medicine & Dentistry. Academic achievement will also be considered, but a candidate's record of teaching and research is of primary importance. Candidates must apply with their CV accompanied by a letter of support from their supervisor. It is essential that they include a one-page description detailing their teaching activities, including any involvement in curriculum development, student evaluation, and exam or assignment marking. The Graduate Chair of each relevant graduate program will nominate a candidate(s) from their program and submit the nomination(s) to the Schulich Graduate Studies and Postdoctoral Affairs Office by the first Monday in May. A committee chaired by the Associate Dean Research (Graduate and Postdoctoral Studies), with at least one member who holds membership in the School of Graduate and Postdoctoral Studies, will consider the nominees and select the recipient. Although candidates may apply for both of the Macklin Fellowships and the Nellie Farthing Fellowship, they cannot receive more than one of these fellowships in any given year. This fellowship was established by a bequest from Margaret Macklin Frewin (BA'48, Journalism) through Foundation Western.

Value: Minimum of 1 at \$3000  
Effective: May 2011

Nellie L. Farthing Memorial Fellowship in the Medical Sciences (School of Graduate and Postdoctoral Studies, Medicine & Dentistry)

Change in criteria and value from:

The Nellie Farthing Memorial Fellowship in the Medical Sciences available to Doctoral students registered in a basic science department in the Faculty of Medicine or in the Neuroscience program. The purpose of this award is to recognize and reward excellence in research. To qualify for the award, a candidate must apply at least one year in advance of the anticipated date for completion of the degree. Nominations are restricted to one from Graduate programs in the above areas. Contact the Graduate Office of the above programs concerning application procedures. Deadline: March 30

Value: \$3,000 (1)

To: Awarded to full-time Doctoral students with overall demonstrated excellence in research, who are registered in graduate programs affiliated with the Schulich School of Medicine & Dentistry. Selection will be based on the overall research excellence and publication record of the applicant. Overall academic achievement will also be considered. Candidates must apply with their CV and copies of their most significant first-author publication(s) accompanied by a letter of support from their supervisor clearly stating the student's role in the publication. Manuscripts that have been accepted, but are not yet available on-line or as a galley proof, must be accompanied with the acceptance letter from the journal. The Graduate Chair of each relevant graduate program will nominate a candidate(s) from their program and submit the nomination(s) to the Schulich Graduate Studies and Postdoctoral Affairs Office by the first Monday in May. A committee chaired by the Associate Dean Research (Graduate and Postdoctoral Studies), with at least one member who holds membership in the School of Graduate and Postdoctoral Studies, will consider the nominees and select the recipient. Although candidates may apply for this Fellowship and both of the Macklin Fellowships, they cannot receive more than one of these fellowships in any given year.

Value: Minimum of 1 at \$3,000  
Effective: May 2011

The Morris Kroll Memorial Scholarship (School of Graduate and Postdoctoral Studies, Medicine)

Change in criteria from:

Awarded in odd numbered years to a full-time graduate student engaged in the field of cancer research as part of his/her graduate program at The University of Western Ontario. Candidates must possess a

degree of Doctor of Medicine (or successor degree) or any Honors degree acceptable to the Vice-Provost, Graduate and Postdoctoral Studies. Selection of the recipient will be made by the Research Office in the Schulich School of Medicine & Dentistry from candidates nominated by Graduate Chairs involved in cancer research, based on academic and research performance. This award is made available by Mr. Franklin Shostack and Dr. Zane Cohen (former UWO students) in memory of Morris Kroll.

Value: 1 at \$500.00

To: Awarded to a student registered in a graduate program affiliated with the Schulich School of Medicine & Dentistry who is working in the area of Cancer research. Candidates must apply with their CV and copies of their most significant first-author publication(s), accompanied by a letter of support from their supervisor clearly stating the student's role in the publication. Manuscripts that have been accepted, but are not yet available on-line or as a galley proof, must be accompanied with the acceptance letter from the journal. The Graduate Chair of each relevant graduate program will nominate a candidate(s) from their program who has fulfilled the stated criteria for the award and submit the nomination(s) to the Schulich Graduate Studies and Postdoctoral Affairs Office by the first Monday in May. A committee chaired by the Associate Dean Research (Graduate and Postdoctoral Studies), with at least one member who holds membership in the School of Graduate and Postdoctoral Studies, will consider the nominees and select the recipient. This scholarship was created to give recognition to a full-time graduate student in the Schulich School of Medicine & Dentistry for excellence in the field of cancer research as part of his/her graduate program, and was made available by Mr. Franklin Shostack and Dr. Zane Cohen (former Western students) in memory of Morris Kroll.

Value: 1 at \$500, awarded every second year  
Effective: May 2011

Morgentaler Scholarship (Any Undergraduate Faculty)

Change in value from: 1 at \$1,125

To: 1 at \$1,050

Effective: 2011-2012 academic year

Allan Gladstone Dow Scholarship (Faculty of Arts and Humanities, English)

Change in value from: 1 at \$750

To: 1 at \$500

Effective: 2011-2012 academic year

Hon. Edward Blake Scholarship for Second Year Economics (Faculty of Social Science, Economics)

Change in value from : 1 at \$225

To: 1 at \$200

Effective: 2011-2012 academic year

Hon. Edward Blake Scholarship for Third Year Economics (Faculty of Social Science, Economics)

Change in value from : 1 at \$225

To: 1 at \$200

Effective: 2011-2012 academic year

Walter J. Koenig Scholarships (Faculty of Social Science, Economics)

Change in value from: 1 at \$800 and 1 at \$900

To: 2 at \$800

Effective: 2011-2012 academic year

John Russell Dow Scholarship (Don Wright Faculty of Music)

Change in value from: 1 at \$750

To: 1 at \$550

Effective: 2011-2012 academic year

Mildred I. Walker Award (Faculty of Health Sciences)

Change value from: 1 at \$900

To: 1 at \$600

Effective: 2011-2012 academic year

Mildred I. Walker OSOTF Award (Faculty of Health Sciences)

Change in value from: 1 at \$300

To: 1 at \$200

Effective: 2011-2012 academic year

The Parents Fund Award In The Faculty of Health Sciences (Faculty of Health Sciences)

Change in value from: 3 at \$500

To: 2 at \$600

Effective: 2011-2012 academic year

Albert Parsons Wolf Memorial Bursary (Schulich School of Medicine & Dentistry, Medicine)

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

To: 1 at \$1,100

Effective: 2011-2012 academic year

Bonnie (McGregor) Brannan Award (Any Undergraduate Faculty)

Change in value from: 1 at \$900

To: 1 at \$650

Effective: 2011-2012 academic year

Charles Alexander Dow Scholarship (Faculty of Science)

Change in value from: 1 at \$750

To: 1 at \$550

Effective: 2011-2012 academic year

Edward Barrow and Ida Hodgins Battle Scholarships (Faculty of Science)

Change in value from: 2 at \$2,000

To: 2 at \$1,500

Effective: 2011-2012 academic year

Cohen Highley LLP Aboriginal Law Scholarship (Faculty of Law)

Value: 1 at \$1,000

Change in effective date from: 2010-2011 academic year only

To: 2011-2012 academic year only

Madeline Lennon Essay Award (Faculty of Arts and Humanities, Visual Arts)

Change in criteria from:

Awarded to a full-time undergraduate student in year 3 or 4 of a BA in Honors Specialization Art History and Criticism or a Major in Art History who is judged to have the best essay on Art History. Essay regulations will be advertised and posted through the Visual Arts departmental office, with an annual due date of October 31st. The winning essay will be chosen by a joint committee of faculty and staff to be appointed by the Chair of Visual Arts. This award was established by Professor Madeline Lennon (Western Visual Arts Faculty Member) through Foundation Western.

To: Awarded to the full-time undergraduate student in Year 3 or 4 of a BA Honors Specialization in Art History and Criticism or a Major in Art History who is judged to have the best essay on Art History. Essay regulations will be advertised and posted through the Visual Arts departmental office, with an annual due date of January 31. The winning essay will be chosen by a joint committee of faculty and staff to be appointed by the Chair of Visual Arts. This award was established by Professor Madeline Lennon (Western Visual Arts Faculty Member) through Foundation Western.

Effective: 2011-2012 academic year

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

Change in value and effective date from: \$1,500 divided equally among recipients

Effective: 2009-2010 to 2010-2011 academic years only

To: \$2,000 divided equally among recipients

Effective: 2011-2012 to 2012-2013 academic years only

Birks Family Foundation Bursaries (Any Undergraduate Faculty)

Change in value from: Number and value vary annually

To: 2 at \$1,250

Effective: 2011-2012 to 2012-2013 academic years inclusive (with value to be reviewed thereafter)

Maureen Williams Memorial Award (School of Graduate and Postdoctoral Studies, Communication Sciences and Disorders)

Change in criteria from:

Awarded annually to a student entering the graduate program in Communication Sciences and Disorders, specializing in Audiology, who demonstrates caring and a strong professional commitment, as well as academic excellence based on the highest average of all Audiology courses in the preparatory year. All things being equal, consideration will be given on the basis of financial need. The graduate committee for the graduate program in the School of Communication Sciences and Disorders will select the recipient from a pool of faculty nominated candidates.

To: Awarded annually to a second-year student in the graduate program in Communication Sciences and Disorders specializing in Audiology, who demonstrates caring and a strong professional commitment, as well as academic excellence based on the highest average of all first-year Audiology courses. The graduate committee for the program in the School of Communication Sciences and Disorders will select the recipient from a pool of faculty-nominated candidates.

Effective: May 2011

Toronto Academy Crown and Bridge Study Club Awards (Schulich School of Medicine & Dentistry, Dentistry)

Change in value from:

\$500 to first year student

\$500 to second year student

\$1000 to a fourth year student

To: \$1000 to a first-year student; \$1000 to a second-year student; \$2000 to a fourth-year student

Effective: 2011-2012 academic year

Robert V. Brouillard MBA Award (School of Graduate and Postdoctoral Studies, Business)

Change in criteria and effective date from:

Awarded to an MBA student entering each MBA cohort at the Richard Ivey School of Business. The recipient will be a Canadian student with outstanding academic achievement (minimum 78%) and a demonstrated interest in international business (through background, experience, course selection and declared career interest). Applications for these awards must be submitted to the MBA Programs Office (including a one page statement on community leadership and financial need) upon admittance into the MBA Program at the Richard Ivey School of Business. Final selection of the recipients will be made by the MBA Scholarship Review Committee with at least one member of the selection committee holding membership in the Faculty of Graduate Studies. This Award was established by a generous donation from Robert V. Brouillard, FCMC (MBA 1966).

Effective: 2008-2009 to 2012-2013

To: Awarded to an MBA student entering each MBA cohort at the Richard Ivey School of Business. The recipients will be Canadian students with outstanding academic achievement (minimum 78%) and a demonstrated interest in international business **beyond North America** (through background, experience, course selection and declared career interest). Applications for these awards (including a one-page statement on community leadership and financial need) must be submitted to the MBA Programs Office upon admittance into the MBA Program at the Richard Ivey School of Business. Final selection of the recipients will be made by the MBA Scholarship Review Committee, with at least one member of the selection committee holding membership in the School of Graduate and Postdoctoral Studies. This Award was established by a generous donation from Robert V. Brouillard, FCMC (MBA 1966).

Effective: May 2012 - April 2013 only

Dr. Max Taylor Nathan Memorial Award in Paediatrics (Schulich School of Medicine & Dentistry, Medicine)

Change in value from: 1 at \$2,250

To: 1 at \$2,500

Effective: 2011-2012 academic year

*Due to an administrative oversight, the following revisions to the terms of reference for scholarships, awards, bursaries and prizes were excluded from the report to the Board in April and are provided for information.*

Vander Laan Undergraduate Scholarship in Engineering (Faculty of Engineering)

Change in criteria, value and effective date:

Awarded to a full-time student in Year 2 or higher of any program in Engineering based on academic achievement (minimum 80% average) who demonstrates an academic interest in environmental topics or water issues. Applications can be obtained from the Faculty of Engineering and must be submitted, along with a short essay, by September 30. The recipient will be selected by the Scholarship and Awards Committee in the Faculty of Engineering. This award was established by Trojan Technologies Inc. in honour of Mr. Hank Vander Laan.

Value: \$2,704

Effective: 2010-2011 academic year only

To: Vander Laan Undergraduate Scholarship in Engineering

Awarded to a full-time student in Year 2 or higher of any program in Engineering who demonstrates an academic interest in environmental topics or water issues, based on academic achievement (minimum 80% average). **An award application must be completed online through the Engineering Undergraduate Services website (<http://www.eng.uwo.ca/undergraduate>)** and must be submitted, along with a **one-page statement outlining this area of interest**, by September 30. The recipient will be selected by the Scholarship and Awards Committee in the Faculty of Engineering. This award was established by Trojan Technologies in honour of Mr. Hank Vander Laan.

Value: 1 at \$2,500

Effective: 2011-2012 to 2015-2016 academic years inclusive

Stantec Consulting Ltd. Civil Engineering Achievement Award (Faculty of Engineering)

Change in value and effective date from: 1 at \$1,000

Effective: 2010-2011 academic year only

To: 1 at \$1,500

Effective: 2011-2012 to 2015-2016 academic years inclusive

Nicolaas & Regina Veenboer Foundation Ontario Graduate Scholarship (School of Graduate and Postdoctoral Studies, Any Faculty)

Change in value and effective date from: 3 at \$15,000

Effective: 2009-2010 academic year, with funding to be reviewed on an annual basis

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

To: Value: 3 at \$5,000

Effective: 2010-2011

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

James P and Margaret A Carr Ontario Graduate Scholarship (School of Graduate and Postdoctoral Studies, Arts and Humanities)

Change in effective date from: 1 at \$5,000\*

Effective: 2009-2010 academic year, with funding to be reviewed on an annual basis

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

To: Value: 1 at \$5,000

Effective: 2010-2011

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

125th Anniversary Hong Kong Student Scholarship (Any Undergraduate Faculty)

Change in criteria and value from:

Awarded to international students who are permanent residents of Hong Kong and are entering the first year of any full-time undergraduate degree program at Western (with the exception of students who are entering or planning to enter the HBA program at the Richard Ivey School of Business), based on academic achievement (minimum 80% average). Students are eligible if they have completed their secondary schooling in Canada or elsewhere (e.g., not just graduating from a Hong Kong school). No application is required as Western will be offering the scholarship to students based on their admission average. These scholarships will continue for up to four years, provided that recipients remain in a four-year degree program and maintain full-time status with a minimum 80% average. Students who enter the HBA program at the Richard Ivey School of Business will not be eligible to continue receiving the scholarship. If a recipient does not qualify to continue receiving the scholarship, a new recipient from the same year will be selected. This scholarship is made possible by the generosity of donors affiliated with the UWO Alumni Association Hong Kong Branch through Foundation Western.

Value: 1 at \$3,000, continuing for up to four years.

To: Awarded to international students who are permanent residents of Hong Kong **or non-resident Canadians living in Hong Kong** and are entering the first year of any full-time undergraduate degree program at Western (with the exception of students who are entering or planning to enter the HBA program at the Richard Ivey School of Business), based on academic achievement (minimum 80% average). Students are eligible if they have completed their secondary schooling in Canada or elsewhere (e.g., not just graduating from a Hong Kong school). **Preference will be given to international students who are permanent residents of Hong Kong.** No application is required as Western will be offering the scholarship to students based on their admission average. **This** scholarship will continue for up to four years provided that **the** recipient remains in a four-year degree program and maintains full-time status with a minimum 80% average. **Only one student will hold this scholarship at any given time.** Students who enter the HBA program at the Richard Ivey School of Business will not be eligible to continue receiving the scholarship. This scholarship is made possible by the generosity of donors affiliated with the UWO Alumni Association Hong Kong Branch through Foundation Western.

Value: 1 at \$8,000, continuing for up to four years

Effective: 2010-2011 academic year (value to be reviewed for the 2013-2014 academic year)

Claudette MacDonald HBA Scholarship (Richard Ivey School of Business)

Change in criteria and value from:

Awarded to students entering HBA 2 at the Richard Ivey School of Business with academic achievement and demonstrated community leadership. Preference will be given to students pursuing a career in



accounting. The HBA Scholarship Committee will make the final selection of the recipients. These scholarships were established with a generous gift from Don MacDonald.

Value: 2 at \$6,000

Effective: 2008-2009 to 2010-2011 academic years inclusive

To: Awarded to **a** student entering HBA **1** at the Richard Ivey School of Business **based on financial need**, academic achievement, and demonstrated community leadership. ***This scholarship will continue in HBA 2 provided that the candidate maintains a 75% average. Candidates must complete a financial assistance application, which is available online through the Office of the Registrar web site. The Registrar's Office will determine financial need and*** the HBA Scholarship Committee will make the final selection of the recipient. ***This*** scholarship **was** established with a generous gift from Don MacDonald.

Value: 1 at \$6,000 continuing

Effective: 2011-2012 to 2013-2014 academic years inclusive

Wail El Awad Memorial Award (School of Graduate and Postdoctoral Studies, Business)

Change in criteria from:

Awarded each May to a full-time international student in the MBA program at the Richard Ivey School of Business, who exemplifies Wail El Awad's spirit of optimism, generosity and friendship. An international student is defined as someone who is not a resident or citizen of Canada prior to commencing his or her MBA studies at Ivey. The MBA Class will submit nominations to the MBA Scholarship Committee prior to the end of the academic year. The MBA Scholarship Committee will award the Wail El Awad Memorial Award to the individual with the highest number of votes. This award was established by the MBA '02 Class in honour of their classmate, Wail El Awad, who passed away in 2004.

To: Awarded to a **graduating** full-time international student in the MBA program at the Richard Ivey School of Business, who exemplifies Wail El Awad's spirit of optimism, generosity and friendship. An international student is defined as someone who is not a resident or citizen of Canada prior to commencing his or her MBA studies at Ivey. The MBA Class will submit nominations to the MBA Scholarship Committee prior to the end of the academic year. The MBA Scholarship Committee will award the Wail El Awad Memorial Award to the individual with the highest number of votes. This award was established by the MBA '02 Class in honour of their classmate, Wail El Awad, who passed away in 2004.

Effective: May 2011

Wilhelmina & J Gordon McIntosh MBA Scholarship (School of Graduate and Postdoctoral Studies, Business)

Change in criteria from:

Awarded to an MBA student at the Richard Ivey School of Business based on outstanding academic achievement and demonstrated community leadership. The successful recipient will be selected by the MBA Scholarship Review Committee, with a least one representative holding current membership in the School of Graduate and Postdoctoral Studies, at the end of the spring cohort. The recipient will be announced at the MBA Awards Ceremony.

To: Awarded to a **graduating full-time** MBA student at the Richard Ivey School of Business based on outstanding academic achievement and demonstrated community leadership. The successful recipient will be selected by the MBA Scholarship Review Committee, with **at least** one representative holding current membership in the School of Graduate and Postdoctoral Studies. The recipient will be announced at the MBA Awards Ceremony.

Effective: May 2011

Tevya Rosenberg HBA Award in Entrepreneurship (Richard Ivey School of Business)

Change in criteria and value from:

Awarded annually to a female student, based on demonstrated financial need and academic excellence (minimum 80% average), who is finishing HBA Year 1 and is applying for acceptance into the Certificate

in Entrepreneurship program at the Business School. Application for the award will occur at the same time the candidate applies for acceptance into the Certificate in Entrepreneurship program. Applications can be obtained from the HBA Program Office and must be submitted by April 1. The HBA Scholarship Committee in consultation with the Director of Entrepreneurship will make the final selection of the recipient, once the Office of the Registrar has determined financial need.

Value: 1 at \$4,750

Effective: May 2004 to April 2008

To: Awarded annually to a student who is finishing HBA 1 **at the Richard Ivey School of Business**. **Preference will be given to a female student who has been accepted** into the Certificate in Entrepreneurship **stream**. The HBA Scholarship Committee, in **conjunction** with the Director of Entrepreneurship, will make the final selection of the recipient in March. This award was established by a bequest from Tevya Rosenberg, HBA '73 and the Pierre L. Morrisette Institute for Entrepreneurship through Foundation Western.

Value: 1 at \$5,000

Effective: May 2011-April 2012

Doris Jackson Memorial Award in Music (Don Wright Faculty of Music)

Increase in value from: 1 at \$600

To: 1 at \$1,000

Effective: 2010-2011 academic year

Doris Jackson Memorial OSOTF Award in Music (Don Wright Faculty of Music)

Increase in value from: 1 at \$600

To: 1 at \$1,000

Effective: 2010-2011 academic year

Scholar's Electives and Western Scholar's Scholarships (Any Undergraduate Faculty)

Change in number from: 15 at \$1000

To: 16 at \$1000

Effective: 2011-2012 academic year only (effective 2012-2013 the number will revert back to 15 scholarships at \$1000)

Schulich Undergraduate Scholarships – OSOTF (Schulich School of Medicine & Dentistry, Medicine)

Change in criteria (remove deadline for admission bursary application) to:

Awarded annually to students entering first year of the Doctor of Medicine (MD) program based on academic achievement and demonstrated financial need. Beginning in 2005-2006, candidates must also meet OSOTF eligibility requirements. These scholarships will continue for up to four years provided that recipients progress satisfactorily and continue to demonstrate financial need each year. Candidates must complete an admission bursary application form, which is available online through the Office of the Registrar's Web site, ~~by April 5~~. Once financial need is determined by the Office of the Registrar, recipients will be selected by the Scholarship and Awards Committee of the Schulich School of Medicine & Dentistry. Recipients will be awarded these scholarships in a ceremony coincident with entry into the Doctor of Medicine (MD) program of the Schulich School of Medicine & Dentistry. In the event of a late offer, exceptions will be made on a case-by-case basis. These scholarships were established by Seymour Schulich to help ensure that top students who want to enter Western's Doctor of Medicine (MD) program receive the financial assistance they need.

Effective: 2011-2012 academic year

Schulich Undergraduate Scholarships – (Schulich School of Medicine & Dentistry, Medicine)

Change in criteria (remove deadline for admission bursary application) to:

Awarded annually to students entering first year of the Doctor of Medicine (MD) program based on academic achievement and demonstrated financial need. Preference will be given to Canadian citizens or permanent residents of Canada who are outside the Province of Ontario and, beginning in 2005-2006,

also do not meet OSOTF residency requirements. These scholarships will continue for up to four years provided that recipients progress satisfactorily and continue to demonstrate financial need each year. Candidates must complete an admission bursary application form, which is available online through the Office of the Registrar's Web site, ~~by April 5~~. Once financial need is determined by the Office of the Registrar, recipients will be selected by the Scholarship and Awards Committee of the Schulich School of Medicine & Dentistry. Recipients will be awarded these scholarships in a ceremony coincident with entry into the Doctor of Medicine (MD) program of the Schulich School of Medicine & Dentistry. In the event of a late offer, exceptions will be made on a case-by-case basis. These scholarships were established by Seymour Schulich to help ensure that top students who want to enter Western's Doctor of Medicine (MD) program receive the financial assistance they need.

Effective: 2011-2012 academic year

CMA Career Passport Awards (Faculty of Social Science)

Change in effective date from: 2008/2009 to 2009/2010 only

To: 2009/2010 to 2010/2011 only

Parents Fund Award In The Faculty of Social Science (Faculty of Social Science)

Change in value from: 1 at \$800

To: 1 at \$573

Effective: 2010-2011 academic year

Dorssers Family Kent County Clinical Placement Bursaries (School of Graduate and Postdoctoral Studies, Nursing, Physical Therapy, Occupational Therapy, Communication Sciences and Disorders)

Change in criteria and value from:

Awarded to full-time graduate students in Nursing, Physical Therapy, Occupational Therapy or Communication Sciences and Disorders, who are participating in a clinical placement within Kent County, based on financial need. Applicants must demonstrate a need to fund their accommodation in a placement location within Kent County for the period of their clinical/fieldwork course in addition to the cost incurred in maintaining their university location housing. Applications are available from the Faculty of Health Sciences and must be submitted by January 31. The Faculty of Health Sciences will select the recipient and at least one member of the selection committee must hold membership in the School of Graduate and Postdoctoral Studies. These bursaries were established by a generous gift from the William and Mary Dorssers Family Foundation.

Effective 2008-2009 to 2010-2011: 8 at \$1,250 annually

Effective 2011-2012 only: 4 at \$1,250

To: Awarded to full-time graduate students in Nursing, Physical Therapy, Occupational Therapy or Communication Sciences and Disorders, who are participating in a *rural* clinical placement, based on financial need. ***Preference will be given to students placed within Kent County. A one-page statement must be submitted to the appropriate School Office outlining projected accommodation and travel costs and must be submitted by March 1.*** The Faculty of Health Sciences will select the recipients. At least one member of the selection committee must hold membership in the School of Graduate and Postdoctoral Studies. These bursaries were established by a generous gift from the William and Mary Dorssers Family Foundation.

Value: 7 at \$1,250

Effective: 2010-11 and 2011-12 academic years inclusive

Velma Howie Ontario Graduate Scholarships (School of Graduate and Postdoctoral Studies, Arts and Humanities)

Change in name to: Velma & Bob Howie Ontario Graduate Scholarships

Effective: May 2010 to April 2011 only

Boris J. Jackman Award in Chemical Engineering (Faculty of Engineering)

Change in value from: 1 at \$950

Effective: 2010-2011 academic year only (minimum will revert back to 75% for 2011-2012 year)

To: 1 at \$1,500

Effective: 2011-2012 academic year (minimum academic average will remain at 70%)

William Hopper MBA '59 Scholarship (School of Graduate and Postdoctoral Studies, Business)

Change in criteria from:

Awarded to a full-time MBA student at the Richard Ivey School of Business entering either cohort of the MBA program. The successful candidate will demonstrate academic achievement (minimum 78% admission average) and will either be employed in or interested in employment in the Federal Public Sector. Applications for the award are available at the MBA Program Office and are due by January 31. The MBA scholarship review committee with at least one member of the selection committee holding membership in the School of Graduate and Postdoctoral Studies will select the award recipient annually. This award was established by a gift from Michael Phelps, and Bill Hopper's family and friends in his memory.

To: Awarded to a full-time MBA student at the Richard Ivey School of Business entering the MBA program. The successful candidate will demonstrate academic achievement (minimum 78% admission average) and will either be employed in or interested in employment in the **Canadian** Federal Public Sector. Applications for the award are available at the MBA Program Office and are due by January 31. The MBA scholarship review committee, with at least one member of the selection committee holding membership in the School of Graduate and Postdoctoral Studies, will select the award recipient annually. This award was established by a gift from Michael Phelps, and **from** Bill Hopper's family and friends in his memory.

Effective: May 2011 to April 2013 inclusive

Thomas Brent HBA Awards (Richard Ivey School of Business)

Change in criteria and value from:

Awarded to students entering first year of the HBA program based on financial need, minimum 'B' average and involvement in extra-curricular or community activities and overall well-roundedness. The award will be renewed for Year 2 for students maintaining the defined criteria in HBA Year 1. If a student does not meet these requirements, Year 2 students will have an opportunity to apply for this award. The HBA Scholarship Committee of the Richard Ivey School of Business will review and select each award recipient. Application forms for these awards are available from the Admissions Office of the Richard Ivey School of Business. These awards are made possible in recognition of a generous donation made by Thomas Brent (HBA '59) through Foundation Western.

Value: 2 at \$2,000 continuing

To: Awarded to students entering first year of the HBA program **at the Richard Ivey School of Business** based on **academic achievement**, financial need, **and demonstrated community leadership**. **Online financial need applications are available through the Office of the Registrar's Web site. Preference will be given to students who participate in extra-curricular activities such as athletics or music and who have graduated from an Ontario high-school.** The award will be renewed for Year 2 for students maintaining **academic achievement ("B" average) and financial need**. If a student does not meet these requirements, Year 2 students will have an opportunity to apply for this award. The HBA Scholarship Committee of the Richard Ivey School of Business will review and select each award recipient. These awards are made possible in recognition of a generous donation made by Thomas Brent (HBA '59) through Foundation Western **to the 1996 Ivey Annual Fund**.

Value: 2 at **\$4,000** continuing

Effective: 2011-12 to 2016-2017 academic years (value to be reviewed thereafter)

*This award is offered through the Ontario Student Opportunity Trust Fund (OSOTF) program, and recipients must meet Ontario residency requirements.*

Robert Luba MBA Award (School of Graduate and Postdoctoral Studies, Business)

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

To: 1 at \$10,000  
Effective: May 2011 (value to be reviewed thereafter)

The following new scholarships are being funded through the operating budget and the Terms of Reference, therefore, are submitted for information only:

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

Awarded to full-time students entering the first year of an undergraduate program in the Faculty of Arts and Humanities. Students must have a minimum final admission average of 87% and be eligible for a University entrance scholarship (Western Scholarship of Distinction, Western Scholarship of Excellence or a Continuing Admission Scholarship). This scholarship will be a supplement to the University entrance scholarship. The Scholarship Committee of the Faculty of Arts and Humanities will select recipients of the award. The number of scholarships will be determined annually by the Dean of the Faculty of Arts and Humanities.

Value: \$500 each  
Effective: 2011-2012 academic year

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

Awarded to full-time students entering the first year of an undergraduate program in the Faculty of Arts and Humanities. Students must have a final admission average between 84% and 86.9%. The Scholarship Committee of the Faculty of Arts and Humanities will select recipients of the award. The number of scholarships will be determined annually by the Dean of the Faculty of Arts and Humanities.

Value: \$1,000 each  
Effective: 2011-2012 academic year

3. **Discontinued Scholarships, Awards, Bursaries, Prizes**

University Students' Council Tracey Knight Memorial Award  
Effective May 2011

4. **Ministry Program Name Change**

Due to the renaming of the program by the Ministry of Training, Colleges and Universities, all references to the Ontario Graduate Scholarship in Science and Technology (OGSST) will be changed to the Queen Elizabeth II Graduate Scholarship in Science and Technology (QEGSST).

Effective: May 2011

**REPORT OF THE SENIOR OPERATIONS COMMITTEE**

Contents	Consent Agenda
<b>MAPP 1.35 – Non-Discrimination/Harassment Policy and MAPP 6.25 – PMA Discrimination and Harassment Policy- Revisions</b>	No
<b>MAPP 2.16 – Travel &amp; Expenses Reimbursement Policy – Revisions</b>	No
<b>Annual Report on the Code of Student Conduct</b>	Yes
<b>Annual Report of the Senior Operations Committee</b>	Yes
<b>Associate Vice-President (Research) Selection Committee – Board Representatives</b>	Yes
<b>Report on Effective and Efficient Support of the University's Strategic Directions</b>	No

**FOR APPROVAL**

**1. MAPP 1.35 – Non-Discrimination/Harassment Policy and MAPP 6.25 – PMA Harassment Policy - Revisions**

**Recommended:** That the Board of Governors approve revisions to MAPP 1.35 – Non-Discrimination/Harassment Policy and MAPP 6.25 – PMA Discrimination and Harassment Policy as outlined in **Annexes 1** and **2**, effective December 1, 2011.

**Background:**

The revisions to MAPP 1.35 reflect the changes to the Occupational Health and Safety Act to include workplace harassment and violence in addition to grounds provided for under the Human Rights Code. The policy will cover all members of the community, including students, non-faculty employees, visitors, suppliers and alumni. Faculty are covered by a very similar provision in their collective agreement.

The revised PMA policy outlines the same framework as MAPP 1.35 and refers those employees to the procedures associated with MAPP 1.35 in the event that they have a complaint.

The procedures associated with MAPP 1.35 provide for a separation of the prevention and advisory services from the complaints process. The Office of Equity and Human Rights will focus on prevention and education to the community. The complaint process will be managed by the Office of the Associate Vice-President (Human Resources).

On January 27, 2011, the Board of Governors approved MAPP 1.51, Policy on Establishing University Policies and Procedures. In accordance with MAPP 1.51, the Administration is proposing a revised Discrimination & Harassment Policy, MAPP 1.35 and a revised PMA Discrimination & Harassment Policy, MAPP 6.52. These documents are attached as **Annexes 1** and **2**, respectively. The administrative procedures for these policies are contained in **Annex 3**. **Annexes 4** and **5** are the existing MAPP 1.35 and MAPP 6.25 in the old format which mixes policy and procedures.

**2. MAPP 2.16 – Travel & Expense Reimbursement Policy**

**Recommended:** That the Board of Governors approve amendments to MAPP 2.16 – Travel & Expenses Reimbursement Policy, as outlined in **Annex 6**, effective January 1, 2012.

### **Background:**

In April 2011, the Government of Ontario established new Procurement and Expenses Directives for all Broader Public Sector (BPS) organizations. These directives have required changes to the current Travel & Expenses Reimbursement Policies and Procedures.

The major changes to the Travel & Expenses Reimbursement Policy are as follows:

- Elimination of per diems, due to the requirement for original, itemized receipts
- New guidelines tied to the Treasury Board of Canada for meals, kilometres and accommodations
- Requirements for submitting and clearing advances, claims and receipts
- Higher levels of approval will be required for some expenses. Examples include pre-approval from a Dean, AVP, Vice-Provost or above on business class airfare for long haul flights or internal hospitality events.
- Electronic submission and payment of expenses for all faculty and staff. Direct deposit will be the primary method of reimbursement for all employees.
- Explicit statement on alcohol: nominal or moderate use

On January 27, 2011, the Board of Governors approved MAPP 1.51, Policy on Establishing University Policies and Procedures. In accordance with MAPP 1.51, the Administration is proposing a revised Travel & Expenses Reimbursement Policy, MAPP 2.16, attached as Annex 6. The administrative procedures for the policy are contained in [Annex 7](#), for information, along with a supplement related to research travel expenses ([Annex 8](#)). [Annex 9](#) is the existing Travel & Expenses Reimbursement Policy which is in the old format, mixing policy and procedures.

### **FOR INFORMATION**

3. **Annual Report on the Code of Student Conduct**

See [Annex 10](#).

4. **Annual Report of the Senior Operations Committee**

See [Annex 11](#).

5. **Associate Vice-President (Research) Selection Committee – Board Representatives**

The selection committee for an Associate Vice-President (Research) includes two representatives of the Board of Governors. At its meeting on October 18, 2011, the Senior Operations Committee approved the appointment of Mr. Denis Lemieux (member of the Board) and Ms. Marilyn Sinclair (President & CEO of TechAlliance) to the selection committee.

6. **Report on Effective and Efficient Support of the University's Strategic Directions**

Earlier in the year, in response to questions from members of the Senior Operations Committee about the costs of supporting the University's strategic directions and how Western's expenditures on support units compared to other institutions, the Vice-President (Resources & Operations) prepared the report attached as [Annex 12](#).

## 1.35 Policy on Discrimination and Harassment

Classification: General      Effective Date: 01DEC11      Supersedes: 27APR05

**Policy Category:** General

**Subject:** Discrimination & Harassment

**Approving Authority:** Board of Governors

**Responsible Officer:** Vice-President (Resources & Operations)

**Responsible Office:** Equity & Human Rights Services

**Related Procedures:** Procedures MAPP 1.35 [\[link\]](#)

**Related University Policies:** Safe Campus Policy [\[link\]](#)

**Effective Date:**

**Revised:**

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### I. PURPOSE

1. The purpose of this Policy is to confirm the University's commitment to providing a learning and working environment free of harassment and discrimination.
2. This policy is in accordance with all applicable federal and provincial legislation related to harassment and discrimination such as the *Ontario Human Rights Code*. It also applies to those situations defined as Workplace Harassment under the *Ontario Health and Safety Act*. The Safe Campus Policy (M.A.P.P. 1.45) should be consulted whenever there are concerns about violence in the workplace or learning environment.

### II. DEFINITIONS

#### Discrimination

1. *Discrimination* means a distinction, intentional or not, based on a prohibited ground, which has the effect of imposing burdens, obligations, or disadvantages on an individual or group not imposed on others, or which withholds or limits access to opportunities, benefits, and advantages available to other members of society.



2. *Prohibited grounds* means any of the following: race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, age, record of offences, marital status, family status or disability.

## Harassment

3. *Harassment* means engaging in a course of vexatious comment or conduct that is known or ought reasonably to be known to be unwelcome. Harassment may be related to one or more of the prohibited grounds defined at section 2, and/or may include conduct and/or behaviours which create an intimidating, demeaning or hostile working or academic environment whether or not it is based on the prohibited grounds.
4. *Sexual Harassment* includes comment or conduct of a sexual nature such as, but not limited to, sexual assault, verbal abuse or threats, unwelcome sexual invitations or requests, demands for sexual favours or unwelcome innuendo or taunting about a person's body, physical appearance or sexual orientation and includes situations where:
  - a. submission to such conduct is made either explicitly or implicitly a condition of an individual's employment, academic status or academic accreditation; or
  - b. submission to such conduct by an individual is used as a basis for employment, or for academic performance, status or accreditation decisions affecting such individual; or
  - c. such conduct interferes with an individual's work or academic performance; or
  - d. such conduct creates an intimidating, hostile or offensive working or academic environment.
5. This definition of sexual harassment is not intended to inhibit bona fide academic discussion or interactions or relationships based on mutual free consent or normal social conduct between individuals.
6. *Personal Harassment* means conduct and/or behaviour which create an intimidating, demeaning or hostile working or academic environment whether or not it is based on the prohibited grounds defined in the *Human Rights Code*. For the purposes of this Policy, *Personal Harassment* includes *Workplace Harassment* as defined under the *Occupational Health and Safety Act* as engaging in a course of vexatious comment or conduct against a worker in a workplace that is known or ought reasonably known to be unwelcome.
7. Harassment does not include:
  - a. interpersonal conflict or disagreement;
  - b. the proper exercise of performance evaluation, appropriate managerial direction, delegation, performance management or attendance management or

- c. the exercise of expression protected by the UWOFA Article *Academic Freedom*.

### III. POLICY

1. Western is committed to providing a working and learning environment that allows for full and free participation of all members of the community. Discrimination against and/or harassment of individuals, whether as members of any recognizable group or otherwise, undermine these objectives and violate the fundamental rights, personal dignity and integrity of individuals or groups of individuals.
2. This policy applies to all members of the University community in their interaction with other members of the University community. The University community includes employees, students, volunteers and other individuals who work or study at the University.
3. All members of the University community share a responsibility to provide and maintain an environment free of discrimination and harassment.
4. Clause III.1 (above) does not apply to any action or decision based on a *bona fide* requirement or qualification.
5. For the purposes of determining what limitations may reasonably be imposed in good faith to meet the objective employment or academic requirements, every individual is entitled to individual consideration.
6. This Policy shall not infringe upon the implementation of special programs designed to relieve hardship or economic disadvantage or to assist disadvantaged persons or groups to achieve or attempt to achieve equal opportunity.
7. Harassment and discrimination constitute serious offences that may be cause for disciplinary sanctions by the University.
8. Individuals may seek assistance from the Human Rights Tribunal of Ontario (HRT) even when taking steps under this Policy. If the circumstances giving rise to a complaint under this policy independently give rise to proceedings before Human Rights Tribunal of Ontario or to proceedings in the courts or to the laying of a criminal charge, then any action under this policy may be suspended until such proceedings are concluded.
9. Any reprisals, retaliation or threats of reprisals or retaliation for pursuing rights under this policy, for having participated in its procedures, or for acting in any role under this policy and its procedures are prohibited.
10. The University may take disciplinary action against those who make allegations of harassment or discrimination which are reckless, malicious or not in good faith.

11. The University shall not be restricted in fulfilling its responsibilities under the *Human Rights Code*, *Occupational Health and Safety Act*, or other applicable legislation, or where the safety of individuals is threatened or compromised.

12. Equity & Human Rights Services shall make an annual report to the President with a copy to the University community and the Audit Committee of the Board.

## **Policy 6.25 - Discrimination and Harassment**

- .01 The Employer and the Association are committed to a working and learning environment that allows for full and free participation of all members of the institutional community. Discrimination against and harassment of individuals, whether as members of any recognizable group or otherwise, undermine these objectives and violate the fundamental rights, personal dignity and integrity of individuals or groups of individuals.
- .02 This Policy is in accordance with all applicable federal and provincial legislation related to discrimination and harassment such as the Ontario *Human Rights Code*. It also applies to those situations defined as Workplace Harassment under the *Occupational Health and Safety Act*. The Safe Campus Policy (M.A.P.P. 1.46) should be consulted whenever there are concerns about violence in the workplace including domestic.

### *Discrimination*

- .03 Except as permitted by law, there shall be no discrimination, interference, restriction or coercion exercised against or by any Employee regarding any term or condition of employment, nor shall any discrimination be exercised against or by Employees in the course of carrying out their duties, by reason of:
- a) race, color, ancestry, place of birth, ethnic or national origin, citizenship; or
  - b) creed, religious or political affiliation or belief or practice; or
  - c) sex, sexual orientation, gender identity or expression, physical attributes, marital status, or family status; or
  - d) age; or
  - e) physical or mental illness or disability; or
  - f) place of residence; or
  - g) record of offences for which a pardon has been granted; or
  - h) membership or participation in the Association.

- .04 This Policy shall not infringe upon the implementation of special programs designed to relieve hardship or economic disadvantage or to assist disadvantaged persons or groups to achieve or attempt to achieve equal opportunity.

### *Harassment*

- .05 There shall be no Harassment or Sexual Harassment exercised against or by any Employee.
- .06 Harassment means engaging in a course of vexatious comment or conduct that is known

or ought reasonably to be known to be unwelcome. Harassment may be related to one or more of the prohibited grounds of discrimination under section .03 above. Harassment includes sexual harassment, personal harassment, and workplace harassment. Harassment is a serious offence that may be cause for disciplinary sanctions including, where appropriate, dismissal.

- .07 *Sexual Harassment* includes comment or conduct of a sexual nature such as, but not limited to, sexual assault, verbal abuse or threats, unwelcome sexual invitations or requests, demands for sexual favours or unwelcome innuendo or taunting about a person's body, physical appearance, sexual orientation or gender expression, and includes situations where:

- a) submission to such conduct is made either explicitly or implicitly a condition of an individual's employment; or
- b) submission to such conduct by an individual is used as a basis for employment; or
- c) such conduct interferes with an individual's work performance; or
- d) such conduct creates an intimidating, hostile or offensive working or learning environment.

This definition of sexual harassment is not intended to inhibit interactions or relationships based on mutual free consent or normal social conduct between Employees.

- .08 *Personal Harassment* includes conduct and/or behaviours which create an intimidating, demeaning or hostile working or learning environment whether or not it is based on the prohibited grounds defined in the Ontario *Human Rights Code* and listed in Policy 5.03.
- .09 *Workplace Harassment* is defined under the *Occupational Health and Safety Act* as engaging in a course of vexatious comment or conduct against a worker in a workplace that is known or ought reasonably to be known to be unwelcome.
- .10 Harassment may not include:
- a) interpersonal conflict or disagreement; or
  - b) the proper exercise of management's rights and/or performance evaluation.
- .11 An Employee alleging a violation of this Policy may seek resolution through the Employer's policy on Discrimination and Harassment.

- .12 Nothing in this Policy precludes the Employer from conducting an investigation into an allegation of Discrimination or Harassment. The Employer shall notify the Association of any investigation into an allegation of Discrimination or Harassment made against an Member. In all other such investigations involving Members, they shall be notified of their right to Association Representation prior to any meeting with the Employer.
- .13 No Employee against whom an allegation of Discrimination or Harassment has been made shall be subject to any disciplinary measure before the completion of any investigation into the matter, but may be subject to other interim measures where necessary.

## **PROCEDURES: MAPP 1.35 Discrimination and Harassment Policy**

### **I General**

The Offices of Equity & Human Rights Services and Associate Vice President, Human Resources have primary responsibility for administering the Discrimination and Harassment Policy in accordance with the procedures detailed herein.

### **II. Roles and Responsibilities**

The University of Western Ontario and all members of the University community share responsibility for ensuring and promoting a safe and respectful working and learning environment that is free from discrimination and/or harassment. All members shall take proper and reasonable steps to uphold the Policy and its procedures.

In addition:

#### **1.01. The University shall:**

- a. provide Academic and Administrative Leaders and members of the University community with appropriate training regarding harassment and discrimination.
- b. provide supports and resources for the administration of its policies, and programs relating to discrimination and harassment including, but not limited to, this policy.
- c. ensure that in addition to the Director of Equity & Human Rights Services, at least one additional Human Rights Officer (HRO) is appointed to provide education and support pursuant to this policy and procedures and other University policies related to human rights.
- d. take proper and reasonable steps to prevent systemic discrimination, through avoiding policies and practices that may lead to adverse job or academic consequences.

#### **1.02. Academic Leaders and Administrative Leaders shall:**

- a. become familiar with and communicate the University's policies regarding discrimination and harassment to faculty, staff and students within their Faculty/Department/Unit.
- b. participate in education relating to discrimination and harassment, specifically related to administrative duties and accountabilities.
- c. identify training needs and encourage all faculty, staff and students to attend relevant training related to the University's policies and programs relating to discrimination and harassment.
- d. involve the HRO in any unit-based attempts at resolving or mediating potential harassment.

- e. report any incident(s) which may be related to discrimination and harassment immediately to the HRO.
- f. keep detailed records of any instances of discrimination and harassment and forward to the HRO and/or Associate Vice President, Human Resources (AVP-HR) as required.

1.03. University Community Members shall:

- a. cooperate with the University in its exercise of the duties imposed by the Policy and these procedures (e.g., any efforts to resolve and/or investigate matters relating to discrimination and harassment).
- b. report immediately any instances of discrimination and harassment to the HRO in accordance with the applicable procedure.
- c. participate in training as required.

1.04 The Human Rights Officer (HRO) may:

- a. facilitate the development, implementation and ongoing management/coordination of the University's policies and programs relating to discrimination and harassment including, but not limited to, this policy.
- b. provide support, education and advice to Academic and Administrative Leaders with respect to dealing with discrimination and harassment issues.
- c. provide information to individuals on the various support programs/mechanisms available to them (e.g. Employee Assistance Program, Student Development Services).
- d. as appropriate, review and address issues of climate and culture concerns, on request of the University (through the office of the Associate Vice-President, Human Resources).
- e. In June each year, provide an annual report to the President with a copy to the community. This report shall provide a statistical record of incidents occurring, including the results of alternate resolutions and dispositions of complaints.

### **III. Violence and Threats to Safety**

1. Where an individual becomes aware of circumstances that might reasonably be interpreted as a threat to the safety of any member of the campus community, or becomes aware that any member of the campus community is a victim or perpetrator of violence, including domestic violence, the individual shall immediately report this information to the Campus Police.

1.01 The HRO may be required by law to release relevant information to law enforcement agencies or to the University regarding threats to safety or potential violence.



#### **IV Right to advice, representation or support person**

1. Individuals may seek the advice of the Human Rights Officer (HRO) in order to discuss situations which may be encompassed by this policy.

1.01 In any meeting or hearing an individual may be accompanied by a representative of his or her employee group, or by a colleague or other support or resource person of the individual's choosing.

1.02 With respect to matters arising under this Policy, individuals may be represented by legal counsel at their own expense.

#### **V. No Reprisal or Retaliation**

Any alleged reprisal or retaliation or threat thereof shall be grounds for a complaint under the Discrimination and Harassment Policy and shall proceed directly to a fact-finding investigation as described in section VII, subsection 3 of these procedures.

#### **VI. Conflict of Interest**

1. Any person involved in the application of any of the provisions or procedures under this policy shall, on the grounds of conflict of interest or reasonable apprehension of bias, immediately declare any such conflict of interest or bias to the parties, to the Vice-President (Resources & Operations) or designate and to the employee representative, if applicable. The Vice-President (Resources & Operations) or designate shall forthwith provide a replacement for the person who has made the declaration.

2. Any party who objects to the participation of any person in the application of the provisions or procedures under this policy on the grounds of conflict of interest or reasonable apprehension of bias may inform the Vice-President (Resources & Operations) or designate that he or she wishes that person to be replaced, stating his or her reasons. The Vice-President (Resources & Operations) or designate shall also immediately inform the person named in the declaration, and he or she shall be given a reasonable opportunity to respond to it. The Vice-President (Resources & Operations) at his/her sole discretion can appoint a replacement.

#### **VII Procedure for Reporting Incidents and Complaints of Discrimination and/or Harassment**

1. Any individual who believes that he or she has been subjected to, or has witnessed, behaviour that is contrary to this Policy, should immediately report his or her concerns to or the incident to the HRO.

1.01 If an individual seeks assistance with a matter relating to discrimination or harassment from someone other than the HRO, the person shall be

advised to contact the HRO. In addition, the person being asked for assistance should also contact EHRS to advise of the incident reported. The HRO will be responsible for acting on the information received.

1.02 The HRO shall provide a confidential consultation to discuss concerns and/or incidents which may be encompassed by this policy

1.03 If the HRO determines that the facts alleged, if proven, would constitute discrimination or harassment under this policy, the HRO will advise the individual that s/he can choose from the following two options:

- a. Request Alternate Resolution; or
- b. File a Complaint and Request Investigation

## **2. Option A. Request for Alternate Resolution**

2.01 Alternate resolution refers, generally, to options *other than* a complaint process. It is a problem-solving approach which has the goal of achieving a resolution satisfactory to all parties. Alternate resolution is generally not appropriate where one of the parties desires a formal procedure which may result in a decision imposing corrective, preventive, remedial or disciplinary consequences.

2.02 Each situation is unique and it is necessary for the HRO to have flexibility in determining the most appropriate options to attempt to reach a resolution. In order for the alternate resolution to proceed, all parties must agree to participate in the process. Some examples of alternate resolution include:

- Facilitated discussion
- Mediation
- Education

2.03 The HRO retains the discretion to approve a request for alternate resolution based on whether:

- a. the request is made within 6 months of the date of the last incident;
- b. the matter is within the jurisdiction of the University, i.e., involves members of the University community; and
- c. the issues to be addressed through alternate resolution are within the scope of the Policy, i.e., alleging discrimination or harassment.

2.04 In addition, there may arise circumstances where, in the opinion of the HRO, alternate resolution is not a viable option. Such circumstances include, but are not limited to, situations where:

- a. there is a safety risk to either or both of the parties;

- b. there is significant power imbalance between the parties;
- c. the remedy sought by one party is of a monetary or a punitive nature;  
or
- d. the prospects of resolution appear to be unlikely.

2.05 The HRO may, at any time, refuse to continue alternate resolution proceedings based on information or concerns related to the factors outlined at clauses 2.03 and 2.04 of this section. Where alternate resolution is refused or terminated, the HRO shall provide reasons for his or her decision, if requested.

2.06 Alternate resolution proceedings shall be completed within 20 working days of receiving the request for alternate resolution. This time period may be extended upon agreement among the HRO and involved party(ies), to a maximum of 40 working days.

2.07 If alternate resolution proceedings do not result in settlement of all issues, the HRO shall advise all involved parties of the option to file a Complaint and Request for Investigation.

2.08 If a resolution consistent with the terms of this Policy and any applicable legislation (e.g., the *Ontario Human Rights Code* or *Occupational Health and Safety Act*) is achieved, all parties shall sign a statement of the terms of resolution. A copy of the terms of resolution shall be retained in the files of the HRO for a period of 5 years and shall not be placed in official student or employee files. Files will be destroyed, in a confidential manner, after the five year period.

### **3. Option B: Complaint and Request for Investigation**

3.01 A complaint may be submitted within 12 months of the latest alleged incident of discrimination and/or harassment directly to the AVP-HR (or designate).

3.02 The complaint must be in writing and include:

- a. the name(s) of the Complainant(s);
- b. the name(s) of the Respondent(s);
- c. date, time and place of the incident(s); and
- d. any relevant information or evidence to support the allegation including names of witnesses;

- e. sufficient information for the Respondent(s) to be able to respond.

3.03 Upon receipt of the complaint, and prior to commencing any investigatory action the AVP-HR (or designate) shall determine whether the complaint may go forward based on the following criteria:

- a. the complaint was received within 12 months of the latest alleged incident;
- b. the matter is within the jurisdiction of the University, i.e., involving employees and/or students of the University;
- c. the allegations are within the scope of this policy; and
- d. the allegation contains sufficient information for the Respondent(s) to be able to respond.

3.04 Where the AVP-HR, or designate, determines that the complaint may go forward, he/she shall:

- a. determine which interim measures, if any, are required during the complaint and investigation process.
- b. appoint an internal or external investigator, to prepare a fact finding report in which the investigator shall review the complaint and determine whether discrimination and/or harassment has been established. In appointing an investigator, the AVP-HR is responsible for the ensuring that the investigator has relevant experience in such investigations and does not have a conflict of interest in the matter under review. The fact finding report is provided to AVP-HR.

3.05 The Employer-approved costs of the External Investigator shall be borne by the Employer.

3.06 Within ten (10) working days of the investigator's appointment, the Respondent shall be provided, by registered mail or equivalent, a copy of the complaint, including any and all allegations. The Respondent shall be provided the opportunity to respond to the complaint within ten (10) working days of receipt. Any written reply shall be provided to the Complainant. The Complainant and Respondent will be required to participate in the investigation. Where the Complainant(s) fail(s) to participate in an investigation, the Complaint shall be deemed withdrawn. Where a Respondent fails to participate, the investigation, and any subsequent findings, may proceed in absentia.

3.07 Where appropriate, discipline will be in accordance with the appropriate collective or employee agreement or the Student Code of Conduct.

## **VIII Retention of Files**

All documents relating to a complaint filed according to section 8 shall be retained in confidence for ten (10) years in the Office of Equity & Human Rights Services. Such files in the Office of Equity & Human Rights Services may only be accessed by the Human Rights Officer or the AVP-HR. Files will be destroyed, in a confidential manner, after the ten-year period.

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

### **1.35 NON-DISCRIMINATION / HARASSMENT POLICY**

Classification: General

Effective Date: 27APR05

Supersedes: 27NOV03

#### **GENERAL**

- 1.00 Every member of the University community has the right to study, work and conduct his or her activities in an environment free of discrimination and harassment. The University is committed to providing and maintaining such an environment through its policies and regulations and through education programs sponsored by its Equity Services Office.
- 2.00 This policy applies to all members of the University community in their interaction with other members of the University community and supersedes the Sexual Harassment Policy & Procedures, the Human Relations Tribunal Policy, and the Race Relations Policy except where those policies are incorporated by specific reference in an agreement with an employee group. The University community includes employees, students, volunteers and other individuals who work or study at the University.
- 3.00 Where there is a conflict between this policy and the provisions of a collective agreement or other employment agreement within the University, the provisions of the collective agreement or other employment agreement shall take precedence.

#### **POLICY**

- 4.00 There shall be no discrimination exercised by or against an individual by reason of race, color, ancestry, place of birth, national origin, citizenship, creed, religious or political affiliation or belief, sex, sexual orientation, physical attributes, family relationship, age, (except for mandatory retirement, consistent with provincial law), physical or mental illness or disability, place of residence or record of offences.
- 5.00 This policy shall not preclude any equity measures implemented by the University or required by law.
- 6.00 There shall be no harassment or sexual harassment exercised by or against an individual.
  - 6.01 Harassment means engaging in a course of vexatious comment or conduct related to one or more of the prohibited grounds of discrimination under section 4.00 of this policy.
  - 6.02 Sexual harassment means engaging in a course of vexatious comment or conduct of a sexual nature including sexual assault, verbal abuse or threats, unwelcome sexual invitations or requests, demands for sexual favors or unwelcome innuendo or taunting about a person's body, physical appearance or sexual orientation.
  - 6.03 Conduct and/or behavior also constitutes harassment, whether or not it is based on the prohibited grounds of section 4.00, when it creates an intimidating, demeaning or hostile working or academic environment.
- 7.00 There shall be no reprisal or retaliation nor any threat of reprisal or retaliation against anyone for pursuing rights under this policy. Any such alleged reprisal or retaliation or threat thereof shall be equivalent grounds for laying a complaint under this policy.
- 8.00 The informal resolution procedure set out in this policy offers a means to resolve complaints in appropriate cases. However, non-compliance with this policy may lead to discipline by the University. Any questions regarding the appropriate individual with whom to file a complaint should be directed to the University Legal Counsel.

## **Human Rights Officer**

- 9.00 The University shall appoint at least one Human Rights Officer (HRO) to the University's Equity Services Office. The HRO shall be responsible for giving advice and receiving complaints in accordance with the procedures set out herein.
- 10.00 By June 1 each year, the HRO shall make an annual report to the President with a copy to the University Community. This report shall provide a statistical record of complaints, informal resolutions and determinations, and may include any observations and recommendations the HRO may have with respect to the implementation of this policy.

## **INFORMAL RESOLUTION PROCEDURE**

- 11.00 Any individual may seek the advice of the HRO to discuss situations which may be encompassed by this policy. All such discussions shall be held in accordance with the policies and procedures of the Equity Services Office. The HRO shall explain these policies to every individual seeking advice from this Office. Breach of these Policies by either party may lead to termination of the informal resolution procedure by the HRO.
- 12.00 Individuals who wish to file a complaint of discrimination or harassment with the Equity Services Office should seek advice from the HRO regarding the procedures that will govern such a complaint.
- 13.00 A complaint may be filed by (an) individual(s) with the HRO up to six (6) months from the incident, or most recent related episode in a series of incidents, of the alleged discrimination or harassment occurring.
- 14.00 In any meeting the complainant(s) and respondent(s) may be accompanied by a colleague of his or her choosing.
- 15.00 Complainants may seek assistance from the Ontario Human Rights Commission even when taking steps under this policy.
- 16.00 If the circumstances giving rise to a complaint under this policy independently give rise to proceedings before a Board of Inquiry under the Ontario Human Rights Code or to proceedings in the courts or to the laying of a criminal charge, or to proceedings under The University of Western Ontario Code of Student Conduct, then the complaint and resolution procedures set out herein shall be suspended until such proceedings are concluded.

## **Initiating the Complaint**

- 17.00 Following consultation with the HRO, the complainant(s) may elect to file a complaint which shall be in writing, signed and dated, setting out the circumstances of the alleged discrimination or harassment, naming the respondent(s) and authorizing the HRO to attempt informal resolution.

## **Informal Resolution**

- 18.00 Within five (5) working days of receiving the written complaint, the HRO shall provide the respondent(s) with a copy and invite the respondent(s) to reply in writing.
- 19.00 The respondent(s) shall have fifteen (15) working days after receiving the HRO's request to respond in writing to the HRO.
- 20.00 The HRO shall provide a copy of the response to the complainant and attempt to discuss the complaint with both parties and may conduct informal mediation in an effort to resolve the complaint in a manner acceptable to both parties.
- 21.00 If the terms of resolution entail action by the University, the University shall agree to undertake such action by signing the written resolution document. If the University refuses to undertake such action, it shall state in writing to the parties why it refuses to so do.

- 22.00 If resolution is achieved, both parties shall sign a statement of the terms of the resolution which shall be filed with the HRO.
- 23.00 If a resolution is not reached within thirty (30) working days of providing the respondent with a copy of the complaint, the HRO will so inform the parties in writing and terminate the proceedings.
- 24.00 If the informal resolution procedure is not successful, either because one or both parties failed to comply with the terms of resolution, or because the parties were unable to reach a settlement, a party may file a complaint with the appropriate University official (see section 8.00 above).
- 25.00 Complaint files maintained by the HRO pursuant to this policy shall be confidential and may not be introduced in subsequent investigations or proceedings except as provided in section 26.00 below, or unless compelled by law. The HRO may not appear as a witness in any dispute resolution process arising from the application of this policy or in any subsequent investigations or proceedings unless compelled by law.

#### **Retention of Files**

- 26.00 All documents related to a complaint will be retained in confidence for ten (10) years in the Equity Services Office and then will be shredded. Such files in the Equity Services Office can be accessed only when the HRO has reason to believe that there is a pattern of harassment.



## **The UNIVERSITY of WESTERN ONTARIO**

### **POLICIES and PROCEDURES**

#### **6.25 Non-Discrimination and Harassment Policy**

Classification: PMA-Eligible Staff

Effective Date: 01OCT06

Supersedes: (NEW)

##### **Purpose**

1. The Association and the Employer are committed to providing a working and learning environment that allows for full and free participation of all members of the institutional community. Discrimination and harassment of individuals, whether as members of any recognizable group or otherwise, undermine these objectives and violate the fundamental rights, personal dignity and integrity of individuals or groups of individuals.

##### **Definitions**

2. Harassment means engaging in a course of vexatious comment or conduct related to one or more of the prohibited grounds of discrimination under Clause 3 of this Policy. Sexual harassment means engaging in a course of vexatious comment or conduct of a sexual nature including sexual assault, verbal abuse or threats, unwelcome sexual invitations or requests, demands for sexual favours or unwelcome innuendo or taunting about a person's body, physical appearance or sexual orientation. Conduct and/or behaviour which creates an intimidating, bullying, demeaning or hostile working or academic environment also constitutes harassment, whether or not it is based on the prohibited grounds of Clause 3. Harassment and sexual harassment are serious offences that may be cause for disciplinary sanctions including, where appropriate, dismissal.
3. There shall be no discrimination, interference, restriction or coercion exercised against or by any PMA eligible staff regarding any term or condition of employment, including but not limited to salary, grade level, appointment, promotion, reappointment, dismissal, termination of employment, layoff, or leaves or benefits, by reason of grounds a) through h) listed below; nor shall any discrimination be exercised against or by PMA eligible staff in the course of carrying out their professional, managerial and/or academic responsibilities, by reason of:
  - a) race, colour, ancestry, place of birth, ethnic or national origin, citizenship (except for new appointments as provided for by law); or
  - b) creed, religious or political affiliation or belief or practice; or
  - c) sex, sexual orientation, physical attributes, marital status or family relationship; or
  - d) age (except for mandatory retirement according to law); or
  - e) physical or mental illness or disability; or
  - f) place of residence; or
  - g) record of offences; or
  - h) membership or participation in the Association.
- 3.1 Clause 3 does not apply to any action or decision based on a bona fide occupational requirement or qualification.
- 3.2 For the purposes of determining what limitations may reasonably be imposed in good faith to meet the objective requirements of employment, every employee is entitled to individual consideration.
- 3.3 The Employer shall ensure that there shall be no systemic discrimination through policies that may lead to adverse job-related consequences.
4. This Policy shall not infringe upon the implementation of special programs designed to relieve hardship or economic disadvantage or to assist disadvantaged persons or groups to achieve or attempt to achieve equal opportunity.
5. There shall be no harassment or sexual harassment exercised against or by any Member.

6. The Employer and all members of the University community share responsibility for ensuring that the work and study environment at The University of Western Ontario is free from discrimination and harassment. The Employer bears the responsibility to offer to Unit heads appropriate training in the recognition of behaviours and institutional cultures which may constitute discrimination and/or harassment, and in suitable procedures for removing them from the University's working and learning environment.
7. There shall be no reprisal or retaliation nor any threat of reprisal or retaliation against anyone for pursuing rights under this Policy or for participating in proceedings under this Policy or for assisting a person in pursuit of their rights under this Policy or pursuant to legislation protecting against harassment or discrimination. Any such alleged reprisal or retaliation or threat thereof shall be equivalent grounds for laying a complaint under this Policy.

### **Complaint Process**

8. Members may seek the advice of the Human Rights Officer (see Clause 14 of this Policy) in order to discuss situations which may be encompassed by this Policy. All such discussions shall be confidential and accord with the policies and procedures of the Equity & Human Rights Services.
- 8.1 A complaint may be filed by (an) individual(s) with the Human Rights Officer up to six months from the incident, or latest episode in a series of incidents, of the alleged discrimination or harassment occurring.

### **Informal Resolution**

- 8.1.1 The Employer and the Association emphasize their preference for prompt and informal resolution of all complaints. Informal resolution is a resolution to which the complainant consents, and to which the complainant and respondent consent where a decision or action affects the respondent, and is arrived at with the assistance of a Unit head or the Human Rights Officer but without the use of either mediation or investigation. The possible means of achieving informal resolution are numerous. Examples include advice to the complainant, such as referral for counseling or letter to the respondent; relocation of the complainant and/or the respondent or any other appropriate and just measures. Informal resolution can occur without the knowledge of anyone other than the complainant, the respondent and the Unit head or the Human Rights Officer, where assistance has been provided as above.
- 8.2 In any meeting or hearing held pursuant to the terms of this Policy, complainant(s) and respondent(s) may be accompanied by a representative of the Association or employee group to which they belong, or by another support or resource person of the individual's choosing.
- 8.3 With respect to matters arising under the terms of this Policy, complainant(s) and respondent(s) may be represented by legal counsel at their own expense.
- 8.3.1 The Employer-approved costs of the External Investigator described in Clause 11 shall be borne by the Employer.
- 8.4 Members may seek assistance from the Ontario Human Rights Commission, in accordance with the OHRC six-month time limit, even when taking steps under this Policy.
- 8.4.1 If the circumstances giving rise to a complaint under this Policy independently give rise to proceedings before a Board of Inquiry under the Human Rights Code or to proceedings in the courts or to the laying of a criminal charge, then any action under this Policy shall be suspended until such proceedings are concluded.

**Initiating the Complaint**

9. The complainant(s) may elect to file a complaint which shall be in writing, signed and dated, setting out the circumstances of the alleged discrimination or harassment, according to Clauses 2 and/or 3 of this Policy, naming the respondent(s) and authorizing the Human Rights Officer to attempt informal resolution.
  - 9.1 The Employer shall not apply the provisions of this Policy following receipt of anonymous complaints or complaints that cannot identify a complainant.
    - 9.1.1 Notwithstanding Clause 9.1 of this Policy, the Employer shall not be restricted in fulfilling its responsibilities under the Human Rights Code, other applicable legislation, or where the safety of individuals is threatened or compromised.
10. Within five working days of receiving the written complaint, the Human Rights Officer shall provide the respondent(s) with a copy and invite the respondent(s) to reply in writing. The Human Rights Officer shall make a reasonable effort to deliver the copy in person to the respondent. The Human Rights Officer shall undertake to provide to the respondent, at a time convenient to the respondent, an opportunity for discussion of the procedures involved.
  - 10.1 The respondent(s) shall have fifteen working days after receiving the Human Rights Officer's request to respond in writing to the Human Rights Officer.
    - 10.1.1 Where the respondent(s) fail(s) to make a written response within the fifteen working days referred to in Clause 10.1, the respondent(s) shall be advised that they have a further five working days to make a response, after which time the processing of the complaint will continue without their input, only if the respondent fails to make the response after that additional 5 day period.
  - 10.2 The Human Rights Officer shall provide a copy of any response to the complainant and attempt to discuss the complaint with both parties and may conduct informal mediation in an effort to resolve the complaint in a manner acceptable to both parties.
  - 10.3 If a resolution consistent with the terms of the Human Rights Code is achieved, both parties may sign a statement of the terms of resolution which shall be filed with the Human Rights Officer. No further action may then be taken on the complaint unless one or both parties fail to comply with the terms of resolution.
  - 10.4 If the terms of resolution entail action by the Employer, the Employer shall agree to undertake such action by signing the written resolution document. If the Employer refuses to undertake such action, it shall state in writing to the parties why it refuses to do so.
  - 10.5 If a settlement is not reached within thirty working days of providing the respondent with a copy of the complaint, the Human Rights Officer will so inform the parties in writing and shall advise the parties:
    - a) that the complainant may elect to withdraw the complaint; or
    - b) that either the complainant or the respondent may elect to request that the complaint be referred to an Investigation (Clause 11).
  - 10.5.1 If the complainant fails to make an election under Clause 10.5 within ten working days of the receipt of the letter from the Human Rights Officer, the complaint shall be deemed to be withdrawn by the complainant and no further action will be taken by the Human Rights Officer.
  - 10.5.2 Any deadlines specified in this Policy may be extended in exceptional circumstances by mutual agreement of the Parties.
  - 10.6 Complaint files maintained by the Human Rights Officer pursuant to this Policy shall be confidential and may not be introduced in subsequent investigations or proceedings except as provided in Clause 16 below, or unless compelled by law. The Human Rights Officer may not appear as a witness in any Arbitration arising from the application of this Policy or in any subsequent investigations or proceedings unless compelled by law.

11. The Director of Equity & Human Rights Services shall retain an External Investigator to conduct an investigation of the complaint.
- 11.1 Within twenty working days of being retained, the External Investigator shall submit a written report to the Human Rights Officer, with copies to the complainant(s) and respondent(s). The report shall advise either that:
- a) there is no prima facie case raised by the complaint, in which case it shall not go forward; or
  - b) there is a prima facie case appropriate for determination by a Panel of Inquiry.
- 11.2 Where a prima facie case is found to exist pursuant to Clause 11.1 b), the Human Rights Officer shall seek to meet with the complainant(s) and respondent(s) with a view to resolving the complaint on terms acceptable to both parties.
- 11.3 If the complaint is not resolved within ten working days of the attempted meeting(s) between the Human Rights Officer, the complainant(s) and the respondent(s), the complaint shall be submitted for hearing by a Panel of Inquiry. Before submitting the complaint to the Panel of Inquiry, the Human Rights Officer shall attempt to meet with the complainant(s) and respondent(s) to reach an agreed statement of facts to be submitted to the Panel of Inquiry.

### **Formal Determination**

#### **Panel of Inquiry**

12. The Panel of Inquiry shall be composed of one person chosen by the Association, one person chosen by the Employer, and a third person chosen from a list of names maintained in Equity & Human Rights Services. The list will be reviewed by the Association on an annual basis. The persons placed on this list shall be external to the University and the person chosen from the list shall chair the Panel of Inquiry.
- 12.1 In the event the complainant and respondent are members of different associations, unions or employee groups, the Panel of Inquiry shall be composed of one person chosen by the complainant's association, union or employee group, one person chosen by the respondent's association, union or employee group and a third person chosen from a list of names maintained in Equity & Human Rights Services.
- 12.2 In the event that there are multiple complainants and/or respondents who are members of different associations, unions or employee groups, the composition of the Panel of Inquiry will be determined jointly by the relevant employee groups and the Employer.
- 12.3 The purpose of the Panel of Inquiry shall be to determine the facts pertaining directly to the complaint. The Panel shall determine its own process and procedure and shall submit a written report based on the facts and evidence presented directly related to the complaint. The parties involved shall have the right to present evidence, to call witnesses and to present argument to the Panel of Inquiry.
- 12.4 Within ten working days of concluding the hearing, the Panel of Inquiry shall submit the written report to the Employer and to the parties.
- 12.5 This report shall include a copy of the complaint, the respondent's written response (if any) and the Panel of Inquiry's findings.
- 12.6 The Panel of Inquiry at its sole discretion may request a copy of the External Investigator's report but in no case shall the Panel of Inquiry make a finding solely on the basis of this report. The Panel of Inquiry's report shall be based on all of the facts and evidence presented.

**Employer Determination**

13. The Employer shall issue a written determination within ten working days of receiving the Panel of Inquiry's report. Copies of the Employer's determination shall be sent to the parties and to the Association.
- 13.1 The determination shall contain:
- a) a finding, with reasons, that the complaint is or is not upheld;
  - b) a statement of any remedy(ies), other action(s), sanction(s) or disciplinary measure(s) to be taken or required by the Employer;
  - c) a statement of exoneration where appropriate.
- 13.2 If the determination is that the complaint is not upheld or the Employer shall ensure that all documentation concerning the allegation is secured by the Equity & Human Rights Services according to Clause 16 below.
- 13.3 The Employer agrees that it shall take disciplinary action against those who make allegations of harassment which are reckless, malicious or not in good faith.

**Human Rights Officer**

14. The Employer shall ensure at least one Human Rights Officer is appointed in addition to the Director of Equity Services to the University's Equity & Human Rights Services. The Association shall be advised of the procedures leading to such (an) appointment(s). The Human Rights Officer shall be responsible to give advice and receive complaints according to Clauses 8, 9 and 10.
- 14.1 The Human Rights Officer shall have appropriate training in dealing with discrimination and harassment cases, including training in mediation and investigation of such cases.
- 14.2 By June 1 each year, the Human Rights Officer shall make an annual report to the President with a copy to the Association. This Report shall provide a statistical record of complaints, informal resolutions and determinations, and may include any observations and recommendations the Human Rights Officer may have with respect to the implementation of this Policy.

**Conflict of Interest**

15. A person involved in the application of any of the provisions or procedures under this Policy shall, on the grounds of conflict of interest or reasonable apprehension of bias, immediately declare any such conflict of interest or bias to the parties to the complaint, to the Vice-President (Resources and Operations) or designate and to the Association. The Vice-President (Resources and Operations) or designate or the Association or, as appropriate, both jointly, shall forthwith provide a replacement for the person who has made the declaration.
- 15.1 A party to a complaint who objects to the participation of a person in the application of the provisions or procedures under this Policy on the grounds of conflict of interest or reasonable apprehension of bias may inform the Vice-President (Resources and Operations) or designate that he or she wishes that person to be replaced, stating his or her reasons. The Vice-President (Resources and Operations) or designate shall immediately inform the Association of any such declaration. The Vice-President (Resources and Operations) or designate shall also immediately inform the person named in the declaration, and he or she shall be given a reasonable opportunity to respond to it. The Vice-President (Resources and Operations) or designate and the Association shall then decide jointly with regard to a replacement, should one be appropriate.

**Retention of Files**

16. All documents related to a complaint will be retained in confidence for ten years in the office of Equity & Human Rights Services. Such files in the Equity & Human Rights Services office can only be accessed where the Human Rights Officer has reason to believe that there is a pattern of harassment.

**The UNIVERSITY of WESTERN ONTARIO**

**POLICIES and PROCEDURES**

**[2.16 Travel & Expenses Reimbursement Policy]**

**Policy Category:** Financial

**Subject:** Travel & Expenses Reimbursement

**Approving Authority:** Board of Governors

**Responsible Officer:** Vice-President (Resources & Operations)

**Responsible Office:** Financial Services

**Related Procedures:** [Procedures document to be linked here](#)

**Related University Policies:**

**Effective Date:** January 13, 1997

**Revised:** October 18, 2011

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**I. PURPOSE**

To establish guidelines for all business related travel and expenses paid from all University administered funds. This Policy is in accordance with all applicable federal and provincial legislation including, but not limited to, the Canada Revenue Agency (CRA), the Treasury Board of Canada Travel Directive and the Broader Public Sector (BPS) Accountability Act and all related directives.

**II. DEFINITIONS**

Approver: Approvers are assigned at the departmental level and have primary responsibility for ensuring compliance with this Policy and Related Procedures. Authorized approvers must verify that expenses meet the criteria of this Policy. The authorized approver must have authorization over the account(s) being charged when approving reimbursement requests, cannot be the individual seeking reimbursement, and must not be asked to approve the travel, entertainment, or non-travel business expenditures for an individual to whom he or she reports. In the case of research accounts, the authorized approver must have a one over reporting relationship to the Claimant.

Business meals: An expense for meals where student(s), staff and faculty and/or other external parties are present for the purpose of conducting bona fide business on behalf of the University. Claimants will be reimbursed based on reasonable actual costs as determined by the Approver.

Claimant: A Western employee, student, or non-employee who incurs business-related expenses on behalf of the University.

Corporate card: An individual-liability credit card issued by the University to employees for payment of business-related expenses.

Entertainment expenses: Expenses include outings to theatres or other cultural events when a business discussion takes place during, immediately before, or immediately after the event.

Hospitality: The provision of food, beverage, accommodation, transportation and other amenities paid out of public funds to people who are not engaged to work for:

- Broader Public Sector (BPS) organizations covered by the directive; or
- any Ontario government ministries or agencies covered by the Ontario Public Sector Travel, Meal and Hospitality Expenses directive.

Official travel: Travel on official University business from one's home or normal place of employment to another destination, including University facilities outside the London area. Official travel does not include commuting to and from work for employees.

Personal expenses: Expenses for personal items such as clothing, luggage, toiletries, newspapers, magazines, or movies.

Principal Investigator: An individual eligible to hold a research account based on their job requirements and who has been awarded research funding from an external or internal source in support of specific research activity.

Purchasing Card (PCard): A University-liability credit card issued by the University to employees for payment of high-volume, **non**-travel-related and **non**-entertainment-related business purchases.

Traveller: A Western employee, student, or non-employee who incurs business-related expenses while travelling on behalf of the University.

### **III. POLICY**

#### **POLICY STATEMENT**

The University of Western Ontario reimburses for necessary and reasonable travel expenses incurred while conducting University business. Individuals should not benefit financially, or incur financial losses, as a result of travelling on behalf of the University. The University establishes reimbursement rates in accordance (for meals and mileage) with the Treasury Board of Canada Travel Directive. Reimbursements are made only when requests are in accordance with this Policy.

All travel and expense reimbursement requests must:

- be supported by a detailed business purpose and by original, itemized receipts;
- be charged to the appropriate general ledger account coding based on the business purpose of the expense;
- be approved, for employee claims, using Western's Online Travel and Expenses System (direct deposit will be the primary method of reimbursement for all employees);
- be received by Financial Services no later than sixty (60) days after the date of completion of the travel and or date of incurred expense;
- be in accordance with the University's Campus Alcohol Policy (MAPP 1.33) and Related Procedures to this Policy. Only claims considered nominal or moderate will be reimbursed; and
- comply with the guidelines of the external funding source if they are more stringent than this Policy.

## **SCOPE & RESPONSIBILITIES**

### **Travellers:**

All University employees, students and any other individuals travelling on University of Western Ontario business must abide by this Policy and the Related Procedures.

### **Online Travel & Expenses Claim Approvers:**

Approvers have primary responsibility for ensuring compliance with this Policy. When approving claims, Approvers must:

- verify that all expenses have a University business purpose;
- verify that all travel expenses were incurred while on official University business;
- verify that all receipts are accounted for;
- verify that all submitted information and supporting documentation is accurate and in accordance with this Policy;
- verify that all expenses are charged to the appropriate general ledger account(s) based on the business purpose of the expense(s);
- contact the appropriate Dean's, Associate Vice-President's (AVP) or Vice-Provost's office for instructions if travel expenses exceed the guidelines of this Policy, or if expenses seem excessive; and
- contact Research Accounting, when necessary, to verify that all expenses meet applicable granting agency guidelines.

Deans, AVPs, Vice-Provosts or Budget Unit Heads must:

- ensure that departments and/or Faculties within their portfolio abide by this Policy and the accompanying procedures;
- ensure that individuals involved in the process of approving travel expenses are properly trained;
- ensure that Travellers understand the requirements of this Policy;
- ensure that the expenditures are reasonable in the circumstances; and
- maintain an appropriate hierarchy for review and approval of University travel and travel-reimbursement requests.

*At their discretion, Deans, AVPs, Vice-Provosts or Budget Unit Heads may impose greater but not less control than required by this Policy.*

### **Financial Services:**

Financial Services must:

- maintain the University's Travel & Expenses Reimbursement Policy;
- review and audit travel reimbursement requests to ensure that they are compliant with University Policy, CRA guidelines and other regulations;
- review and adjust Travel & Expenses Reimbursement Procedures to be consistent with the Treasury Board of Canada Travel Directive;
- process reimbursements in a timely manner; and
- properly record and report any taxable reimbursements.

### **Research Accounting:**

Research Accounting, within Financial Services, will help determine which travel expenditures are reimbursable under a particular grant or contract, and are available to assist with any questions related to travel on research funds.



**Internal Audit:**

Internal Audit, as part of its program, is responsible for performing periodic audits, which include reviews of travel, entertainment, and non-travel business expense reimbursements.

## **The UNIVERSITY of WESTERN ONTARIO**

### **POLICIES and PROCEDURES**

#### **[2.16 Travel & Expenses Reimbursement Procedures]**

##### **I. PURPOSE**

These procedures have been developed with the help of University subject-matter experts and are intended to address the most common travel-related situations. The procedures do not, however, address every travel-related situation. Travellers, Expense Report Approvers, and Dean's, Associate Vice-President's (AVP's) or Vice-Provost's offices should contact Financial Services when confronted with a situation not addressed in this document. In the event of questions about the eligibility of an expense for reimbursement, a traveller must contact his or her Dean's, AVP's, Vice-Provost's or Budget Unit Head's office or, if using research funds, his or her contact in Research Accounting prior to making travel reservations or other arrangements to avoid any personal financial loss. General questions about properly completing Expense Reports may be directed to Financial Services at any point in the reimbursement process.

##### **II. PROCEDURES**

###### **1.00 General**

1.01 These procedures apply to all University travel and related expenses from all sources of funding administered by The University of Western Ontario, except where specific written policies of certain granting agencies may apply.

1.02 When making travel arrangements, "value for money" considerations must be paramount. Careful consideration of costs, mode of travel, travelling time and convenience will realize the most economical and effective use of all resources.

1.03 Only properly documented expenses related to approved University business, including research, teaching and administration will be reimbursed. Generally, expenses of a personal nature will not be reimbursed (see section 7.0).

1.04 Travel reimbursements to faculty and staff will primarily be made by direct deposit to the individual's bank account.

1.05 Exceptions to these Procedures can be made by the President or a Vice-President of the University.

###### **2.00 Approvals and Responsibilities**

2.01 The Claimant is responsible for ensuring that claims for expenses are in accordance with University Policy, including written explanations for any exceptions to the Policy which are reasonable under the circumstances and reflect "value for money" considerations. The Claimant must also certify that expenses paid by the University do not include items of a personal nature and will not be used for income tax purposes or for a claim to any other organization.

2.02 The individual who approves the Expense Report or Cash Advance is responsible for ensuring that the expenses are for University purposes only and are in accordance with University Policy, including any exceptions to the Policy which are documented by the Claimant as being reasonable under the circumstances. The Approver is also responsible for ensuring that any supporting documentation is forwarded to Financial Services within the specified time period.

2.03 Each Expense Report must be supported by a detailed business purpose that includes the following information:

- **who** travelled or attended the event;
- **what** type of event or activity was attended or purchase made;
- **when** the event or activity took place;
- **where** the event or activity took place; and
- **why** the expense was incurred.

2.04 The rule for approval of Expense Reports and Cash Advances is "one-over-one" as follows:

All Cash Advances and Expense Reports must be signed by the Claimant and approved by either a senior person who is an organizational level above that of the Claimant and will normally be the person to whom the Claimant reports, or the owner of the account. People authorized to sign Cash Advances and Expense Reports within Faculties and Departments will normally be Deans, AVPs, Vice-Provosts, Associate and Assistant Deans, Chairs and Directors (or their duly authorized delegate(s)).

Signature stamps will not be accepted. Both written and electronic signatures (through Western's Online Travel and Expense System) are acceptable methods of approval.

2.05 Signing authority may be delegated in writing by a Dean, AVP, Vice-Provost or Budget Unit Head to a senior administrator with functional responsibility for the unit's or department's travel budget. Individuals with delegated signing authority cannot approve their own travel claims or the claims of those to whom they report. Signing authority cannot be delegated for Research accounts.

2.06 All Expense Reports and Cash Advances must be signed by the Claimant or a University employee on behalf of a visitor to the University. The employee signing on behalf of the absent Claimant cannot be the person approving the claim.

2.07 Reimbursement of expenses does not, in itself, constitute ultimate approval and may be subject to subsequent audit adjustment.

2.08 Expense Reports and Cash Advances which do not conform to these policies and guidelines will be referred to the Budget Unit Head, Dean, AVP, Vice-Provost or the appropriate Vice-President to resolve any concerns or deficiencies prior to processing.

2.09 Individuals are not permitted to approve their own Expense Reports.

2.10 Expenses for a group can only be claimed by the most senior person present. Expenses cannot be claimed by an individual that are incurred by his/her approver.

2.11 Approval for Expense Reports must only be provided for claims that include all appropriate documentation.

### **3.0 Travellers Eligible for Reimbursement of Expense**

3.01 Prior to booking any business related travel, it is recommended that the traveller notify the University supervisor responsible for the budget from which the travel expenses will be drawn.

3.02 Travel expenses paid for by the University may not be used by the Claimant for income tax purposes or for a claim to any other organization.

3.03 Rates and allowances quoted in these procedures should be regarded as guidelines.

#### **4.0 Training**

4.01 Departments are responsible for ensuring that individuals involved in the process of submitting and approving Expense Reports receive adequate training before being allowed to process travel expenses. Online training is available at the following link: <http://www.uwo.ca/finance/pplsoft/index.html>. Financial Services is available to answer questions related to these Procedures or to the Travel & Expenses Reimbursement Policy.

#### **5.0 Timeline of Reporting Requirements**

5.01 Expense Reports must be completed and submitted no later than sixty (60) days after the date of completion of the travel. Reports received by Financial Services after this time will be returned to the Department; the Report may be submitted to Financial Services only if circumstances warrant and the Report is accompanied by a valid, signed letter of exception from the traveller's Dean, AVP, Vice-Provost or Budget Unit Head.

5.02 If ending employment with the University, the employee shall immediately submit all outstanding claims prior to leaving.

#### **6.0 Receipts**

6.01 Original, itemized receipts are required for all expenses except for mileage claims, parking meters, valet parking, tolls and reasonable gratuities paid in cash. Credit card sales slips, credit card statements, cancelled cheques and travel agency statements are not acceptable receipts (except as noted in sections 10.01 and 30.0 of this Policy).

6.02 Electronic receipts, such as those provided by airlines, are acceptable receipts. Where possible, original receipts such as boarding passes are preferred but electronic receipts will be accepted.

6.03 If the University is reimbursing the Claimant for only a portion of the total costs of the travel and the Claimant wants to use a portion of an original receipt for some other purpose, Financial Services will enter the amount paid by this University on the original receipt or ticket stub and return the defaced original to the Claimant.

6.04 Generally, with the exception of mileage, metered and valet parking, tolls and gratuities, reimbursement will not be made without the original receipt. If original receipts for major costs are lost, destroyed or stolen, a written explanation of the circumstances must be provided by the Claimant and approved by the Budget Unit Head before the claim will be processed.

6.05 Receipts should be sent to Financial Services within fifteen (15) days from approval of claim. Future reimbursements may be withheld if receipts are not received within the specified time period.

#### **7.0 Personal Expenses**

7.01 In most instances, personal expenses incurred on behalf of the Claimant, or the Claimant's colleagues, family, friends or relatives will not be reimbursed. All such expenses of a personal nature incurred on behalf of any individual, including clients or customers, must be clearly identified and either eliminated on the Expense Report or, if claimed, supported by an appropriate written explanation approved by the Dean, Associate Vice-President or Vice-Provost. Examples of personal expenses include, but are not limited to: flowers, in-room movie rentals, hotel health club fees, double occupancy room rates and meals when the second person is not on University business.

7.02 Costs related to loss or damage to personal possessions while travelling, or those of accompanying companions, will not be reimbursed.

## **8.0 Fundraising and Development Travel**

8.01 Fundraising and development expenses will by their nature match the expectations of potential donors, donors, volunteers and alumni, so may deviate from these procedures. In keeping with the philosophy of the overall Travel & Expenses reimbursement Procedures, staff will be expected to manage expenses carefully, mindful of the use of public sector funds while spending the required investment to generate net new funds or relationships for the University.

8.02 When travelling on donor and alumni business, but when not with donors or alumni, it is expected that expenses will adhere to the other sections of these Procedures, with accommodation made for the comparative costs associated with the location of travel.

8.03 When meeting with or entertaining donors, prospective donors, alumni and volunteers to accomplish University objectives, expenses will be allowed to support the objective(s) of the meeting and in relation to the expectations of the guest(s), while being responsible stewards of public funds.

8.04 As an exception to Section 2.11 of these Procedures, when the President is meeting with alumni, donors and volunteers, and expenses are incurred for travel (e.g., taxis) or when entertaining (e.g., restaurant meals) a more junior staff member may pay for associated costs in order to support the President and to not interrupt interactions with donors or volunteers.

## **9.0 Research Funded Travel**

9.01 Travel supported by research grants or contracts must comply with University regulations and policies unless specifically indicated otherwise by the granting agency. When contemplating travel supported by research funding, it is important to understand the guidelines that must be followed. A review of the agency Policy guide book or terms of contract will usually indicate the method. If it is unclear which travel procedure should be adhered to, contact the Research Accounting department of Financial Services for clarification.

9.02 Individuals travelling under research supported grants or contracts must maintain one claim per trip/event. If there is a requirement for more than one claim, such as the advance purchase of an airline ticket, the subsequent claim must reference the initial claim.

9.03 In addition to the approvals outlined in Section 2.04, it is also necessary for the Principal Investigator to approve Expense Reports and Cash Advances for items being charged to his/her research grant or contract and to document the working relationship between the Claimant and the Principal Investigator.

9.04 For Research grants and contracts, the funding agencies require that the approval of the Principal Investigator be present on all claims charged to his/her research account.

9.05 The Travel Policy Supplement document as related to Research can be found at the following link:

## **10.0 Currency**

10.01 All Western employees will be reimbursed by electronic funds transfer to the bank account identified in the Human Resources Information System. Reimbursements will be made in Canadian funds in amounts equivalent to the actual expenses incurred and converted to Canadian dollars for reimbursement. All expenses must be listed on the Expense Report in the currency that was used for the actual expenditures. Proof of cost of obtaining foreign funds should be provided.

When foreign currency expenses, including U.S., are charged to either the University credit card or a personal one, a copy of the credit card statement must be attached to verify the exchange rate used. Otherwise, the University will apply the standard exchange rate in use when the travel occurred. US and current foreign exchange rates are listed on the main page of the Financial Services website.

If foreign currency is purchased or sold at a banking institute, a receipt should be obtained and included with the Expense Report.

Visitors from the U.S.A. may accumulate expenses in U.S. dollars on the Expense Detail Sheet. A U.S. cheque for the total amount claimed may be requested.

Other foreign visitors can request a draft which can be drawn on a foreign bank.

In all cases, the University accounts will be charged in equivalent Canadian dollars.

### **11.0 Preferred Travel Agencies and Vendors**

11.01 The University of Western Ontario has formed vendor partnerships with certain travel agencies, hotels and car rental companies. It is recommended that University of Western Ontario travellers book all travel arrangements through the University's preferred providers. A list of vendor partnerships can be found at: <http://www.uwo.ca/finance/purchasing/suppliers.html>

### **12.0 Travel Card**

12.01 The University of Western Ontario's Travel Card is recommended as the primary payment method for travel expenses incurred by Western employees. Employees who travel on a regular basis are encouraged to apply for the Travel Card.

12.02 Upon termination of employment, the cardholder or their supervisor must immediately contact the Procurement Services Administrator to cancel the card with the card provider. The cardholder must return the card and promptly pay any remaining card balances. The Department is responsible for ensuring that the terminated employee's card is cancelled and that all outstanding balances are paid.

### **13.0 Cash Advances**

13.01 Cash Advances will only be processed for a minimum of one thousand (1000) dollars.

13.02 Cash Advances will not be given to employees eligible for a University Travel Card unless the funds are required for goods or services that cannot be paid for with the Travel Card. Where necessary, a Cash Advance may be obtained prior to incurring an expense by completing a Cash Advance electronically or by submitting a voucher through the Budget Unit Head to Financial Services. A budget showing how the funds are to be used must be shown on the Cash Advance. Cash Advances must be received by Financial Services at least 5 working days prior to the start of the travel in order to allow for processing of funds. Employees will receive payment of the Cash Advance by Electronic Funds Transfer (EFT).

13.03 Employees of the University will receive Cash Advances in Canadian dollars only.

13.04 All Cash Advances must be cleared by submitting an Expense Report to Financial Services within sixty (60) days following the completion of the activity. If an amount is to be returned to the University, a personal cheque in the correct amount, payable to The University of Western Ontario, must be attached to the Expense Report. If cash is being used to repay the amount due to the University, the Claimant must obtain a receipt in person from the Western Cashier's Office. Cash should not be sent in the mail.

13.05 Cash Advances may be given to people who are not employees of The University of Western Ontario in order to cover travel costs related to services to be performed on behalf of the University. This practice is permitted but is not encouraged. If such advances are not properly cleared by the submission of a Expense Report, with **original, itemized receipts** attached, the individual will either be sent an invoice to repay the Cash Advance (if the services have not been rendered) or the Cash Advance will be reported as taxable income to the recipient (if the services have been rendered).

13.06 Expenses will not be reimbursed until travel has occurred. Out-of-pocket expenses can be reimbursed, in advance of the activity, through a Cash Advance.

13.07 Individuals who obtain a Cash Advance should be made aware of the requirements for completing an Expense Report as outlined in these guidelines.

13.08 In the event travel, for which a Cash Advance was requested, is postponed or cancelled, a refund of the Cash Advance should be forwarded immediately to Financial Services.

13.09 Individuals who fail to clear Cash Advances within sixty (60) days following the completion of the activity will have no further expenses reimbursed until the Cash Advance is cleared.

#### **14.0 Daily Meal Reimbursement**

14.01 Per diems are not permitted under the Broader Public Sector (BPS) Accountability Act. Guidelines have been established to assist individuals with the meal reimbursement process.

14.02 As per the BPS Accountability Act, **original, itemized receipts are a mandatory requirement** for all expenses. **Original, itemized receipts must be provided for all travel related expenses, including meals.**

Employees will be reimbursed for the actual meal expenses as per the itemized receipts. Employees should look to the Treasury Board of Canada Meal Allowance guidelines ([Appendix C, Section 1.2](#)) for the range of what is normally considered acceptable: \$70.25 per day for travel within Canada and the US. This rate is constructed from the following guidelines: Breakfast \$15.35, Lunch \$14.60 and Dinner \$40.30 per day. These guidelines include gratuities and taxes.

For travel outside of North America the Treasury Board of Canada Meal Allowance guidelines should be used ([Appendix D, Allowances, Module 4](#)), **Original, itemized receipts are required.**

Meal costs that are not substantiated with a business purpose will not be reimbursed.

Where an individual is claiming 3 meals per day, the traveller will be reimbursed up to the daily guideline of \$70.25. If only one meal is being claimed, the traveller will only be reimbursed the amount stipulated under the Treasury Board of Canada Meal Allowance guidelines for that particular meal. (If only breakfast is being claimed then the traveller will only be reimbursed up to \$15.35 with the submission of original, itemized receipts).

The figures provided in the guidelines are reviewed and adjusted periodically.

14.03 Meals must not be claimed if they are included in the price of prepaid transportation or conference tariffs (e.g.; VIA 1 or Business Class airfare, registration fees, etc.). Claims for meals exceeding the guidelines provided must be supported by a detailed explanation.

#### **15.0 Alcohol**

Alcoholic beverages are considered acceptable expenditures by faculty and staff where consumption is nominal or moderate. Any claims for reimbursement of alcoholic beverages must be submitted through an Expense Report.

Alcohol is not reimbursable or allowable if the project or program being charged is externally funded.

## **16.0 Hospitality**

### **16.01 Refreshment at In-House Meetings**

Providing coffee or other refreshment at in-house meetings or educational sessions is not considered “hospitality” and, therefore, is an allowable expense under these guidelines.

### **16.02 Meals for Business Functions**

Business meals are defined as an expense for meals where student(s), staff and faculty and/or other external parties are present for the purpose of conducting substantial and bona fide business on behalf of the University. Individuals must exercise fiscal responsibility when choosing restaurants. High-end establishments must be avoided unless circumstances dictate that such a choice is appropriate, such as when conducting University business with a major donor or foreign dignitary. Meal costs that are not substantiated with a business purpose will not be reimbursed.

### **16.03 Celebratory Events**

Internal staff events such as retirement gatherings and holiday parties are not considered “hospitality” and, therefore, are allowable expenses under these guidelines. When hosting such events, the prudent and responsible use of taxpayer dollars should be taken into consideration. Departments should be able to demonstrate accountability and provide a sound business case for the expense.

## **17.0 University Related Reception and Hospitality Expenses**

17.01 Reception and hospitality expenses must be charged to a University account designated for such expenses. The purpose of the event, including the name of the group, the number of individuals involved, or the names of guests, must be listed on the Expense Report. **Original, itemized receipts are required for reimbursement.**

17.02 Generally, no reimbursement will be made for reception and hospitality expenses related to social events involving only employees of The University of Western Ontario or involving only employees and their personal guests. However, in particular circumstances, such expenses will be reimbursed provided the expenditure received the prior approval of the Dean, AVP, Vice-Provost or above and is supported by **original, itemized receipts** and a fully documented written explanation.

17.03 Individuals hosting social events should also consider the prudent and responsible use of taxpayer dollars and be able to demonstrate accountability and provide a sound business case for the expense, should it be challenged. Individuals hosting university events in their homes are reminded that university policies, including the Campus Alcohol Policy (MAPP 1.33), apply to such events <http://www.uwo.ca/univsec/mapp/section1/mapp133.pdf>.

## **18.0 Entertainment**

In general, entertainment expenses, such as concerts and sporting events, are not reimbursable. However, certain entertainment expenses are reimbursable if the person(s) entertained has a potential or actual business relationship with the University, or if the business discussion will benefit the University. These claims must be accompanied by a written explanation from the Claimant stating the reasons for an exception, approved by the Dean, Associate Vice-President or Vice-Provost.



## **19.0 Accommodations**

19.01 Travellers should refer to the travel section of the Financial Services website to obtain the most favourable room rates at major hotels.

19.02 Reimbursement for hotels, motels and other lodging will be limited to the basic University or Government rate for single occupancy, standard room accommodation unless a written explanation is provided by the Claimant and approved by the Dean, AVP, Vice-Provost or above stating the need for an exception to the Policy. It is expected that Claimants will always request the most favourable terms such as Government or other special rates and, particularly within Canada, those negotiated by the Canadian Association of University Business Officers (CAUBO). These rates are available from the CAUBO website <http://caubo.ca/front>.

19.03 The University will not reimburse travellers for personal expenses, such as, but not limited to, in-room video rentals and recreational charges (such as golf fees or exercise room/health club fees).

19.04 Claims for accommodation with colleagues, friends or relatives, in lieu of hotel accommodations, must state the name and address of such individuals. As per the Treasury Board of Canada Travel Directive ([Appendix C, Section 1.1](#)) the maximum rate for these accommodations is \$50.00 per night. No receipts are required.

## **20.0 Transportation Expenses**

### **20.01 Air Travel**

It is recommended that University of Western Ontario travellers book airline tickets through one of the University's preferred travel agencies <http://www.uwo.ca/finance/purchasing/suppliers.html>.

Travellers are expected to book the lowest-priced, non-stop economy airfare available when booking domestic air travel. Business-class domestic air travel is not allowed. Under extenuating circumstances, such as documented medical reasons, business-class service may be reimbursable where it is normally prohibited, provided the expense is approved by the traveller's Dean, AVP, VP or Vice-Provost.

With proper approvals, individuals travelling on a long haul flight (outside of North America) may book the lowest-priced, non-stop business class airfare, if funds are available and where allowable by the funding source. Approval must be obtained prior to travel by the traveller's Dean, AVP, VP or Vice-Provost.

### **20.02 Baggage Fees and Lost or Damaged Baggage**

Airlines often charge fees for checking baggage. Employees will be reimbursed for such fees when they are reasonable and necessary. The University will not reimburse travellers for personal items lost or damaged while travelling on business, nor will the University replace lost or damaged personal items. The traveller must address any such claims with the responsible airline.

### **20.03 Ticket Cancellation Fees, Change Fees and Unused Tickets**

If, for any valid reason such as a business-trip cancellation or a medical emergency, a paid airline ticket is **not** used by a traveller, the traveller must contact the relevant travel agency **or** airline (depending on who issued the ticket) as soon as possible. The traveller must inquire about obtaining a refund or, if the ticket is non-refundable, applying the cost of the unused ticket to a future ticket. (In such cases, a change fee will likely apply to the future ticket.)

Travellers are expected to obtain the maximum value possible from an unused ticket. In most cases, the original ticket will have to be returned to the issuer to obtain a refund. Any ultimate cancellation fees or change fees will be reimbursed provided there is a bona fide business reason for the change or cancellation of the ticket.

#### 20.04 Frequent Flyer Miles

Travellers may use personal, frequent-flyer-program miles to upgrade tickets provided there is no additional cost to the University. The University does not reimburse individuals who choose to use personal, frequent flyer miles. The University will reimburse individuals for fees associated with issuing a frequent flyer ticket such as taxes and airline service fees.

#### 20.05 Rail Travel

All train travel is expected to be at the best value for money consideration. Corporate rates are available for Western employees at a discounted price <http://www.viarail.ca/en/fares/business-travel/corporate-fares/western>. While a boarding pass is preferred as confirmation of travel, an electronic receipt will be accepted.

#### 20.06 Private Vehicle

The mileage reimbursement rates currently in effect are shown below. These rates are in accordance with Treasury Board of Canada Travel Directive and are reviewed and adjusted accordingly.

(a) The mileage reimbursement rate for use of a private vehicle while on approved University business is:

57 cents per kilometre

(b) Based on the above mileage rate, it is relatively expensive to use a private vehicle for long distance travel to places like Toronto or Detroit. Alternative forms of transportation, such as car rental, are often more economical and are encouraged whenever possible and practical.

For example, car rental costs range from \$30 - \$75 for one day of travel to Toronto and return, depending on whether the rental is a compact or a large SUV. This includes gasoline and assumes the corporate travel card is used to avoid insurance costs of approximately \$25 per day.

(c) In situations where staff members are required to make frequent short trips, special arrangements may be approved. A log detailing each date, location and the distance travelled must be filed on an Expense Report.

(d) Use of private vehicle should be limited to travel where no suitable public transportation is available or where a private vehicle is more economical and effective considering all factors such as costs, time constraints, itinerary, etc.

**NOTE:** When a private vehicle is used strictly for personal reasons or convenience, and such expenses exceed the equivalent cost of available public transportation, only the cost of such public transportation will be reimbursed.

(e) Where members of the University community travel together, in one vehicle, only one person may submit a claim for reimbursement.

(f) If a traveller claims mileage, fuel costs cannot be reimbursed.

#### 20.07 Vehicle Rentals

In many cases, it will be more economical to rent a vehicle than to use public transportation or a private automobile for one day of travel. The University has negotiated rates for rental cars both locally and nationally. Preferred suppliers can be found at <http://www.uwo.ca/finance/purchasing/suppliers.html>.

In instances where it is deemed more economical, individual budget units may wish to establish internal policies requiring staff, faculty and students to rent a vehicle when travelling for business purposes.

#### **20.08 Insurance**

Flight cancellation insurance is an allowable expense and should be obtained when there is a possibility that the Claimant may be unable to travel or when the ticket purchased is "non-refundable." A receipt is required.

Expenditures for air travel accident insurance will not be reimbursed.

Health care insurance (i.e., Blue Cross) for travel outside Canada is allowable for Claimants who are not regular full-time employees of the University. Full-time employees are covered for travel outside Canada under existing insurance coverage.

If a private vehicle is used on approved University business, the owner must ensure that his/her personal automobile insurance is adequate. A minimum of \$2,000,000 third party liability is recommended.

Multiple insurance options are available when renting a car for business purposes. These options include:

- Western Corporate Insurance: rental cars registered through the HR Insurance Office are covered under Western's insurance Policy;
- Corporate Credit Card(Pcard or Travel Card): individuals who pay for the rental of their vehicle using the corporate credit card are automatically covered (only the individual named on the card is insured);
- Personal Credit Card: individuals who pay for the rental of their vehicle using their own personal credit card may have rental car insurance (travellers should check the terms and conditions of their card prior to assuming the insurance exists); or
- Rental Agency: individuals can choose to purchase the damage waiver insurance offered by the rental agency at an additional cost.

#### **20.09 Other Transportation Costs**

Taxi fares are allowable expenses. A receipt is required.

Off-campus parking expenses are allowable expenses. A receipt is required for lot parking but not for metered parking.

Tolls for roads, bridges and tunnels are allowable. No receipts required.

Parking and traffic fines are not allowable expenses.

If a personal aircraft is used, the Claimant will be reimbursed at the lesser of economy airfare, rail fare, or private automobile.

#### **21.0 Benefits Accruing From Travel Inducements**

21.01 Many airline, hotels, car rental companies, etc. provide programs which offer free, or at reduced cost, flights, accommodation or rental rates after a certain amount of business has been conducted with the company involved.

21.02 Due to the cost and complexity associated with reporting and quantifying the value of such inducements or credits, the University does not require formal reporting of these items. The University expects that:

Employees will apply credits earned and accumulated on University business against the acquisition of future related University business expenses.

21.03 Benefits or credits generated from University business are taxable in the hands of the employee except when such credits or benefits have been applied to University business. Employees are referred to Interpretation Bulletin - 470R of Revenue Canada which states that where an employee accumulates credits while travelling on employer paid business travel and uses them to obtain air travel or other benefits for the personal use of the employee or the employee's family, the fair market value of such air travel or other benefits must be included in the employee's income. It is the University's position that the employee is responsible for quantifying and reporting the value of these benefits for income tax purposes.

## **22.0 Spousal/Family Member Travel**

22.01 Expenses related to an employee's spouse or other family members are not reimbursable unless there is a bona fide business purpose for their presence. These expenses must be approved by the employee's Vice-President or above.

## **23.0 Student Travel**

Students required to travel for University business are required to submit their own Expense Report for reimbursement. Faculty members may not submit the student's claim under their own and reimburse them separately.

## **24.0 Combining Personal with Business Travel**

Travelling expenses to and from a destination are reimbursable only if the travel is related primarily to business. If the travel combines both personal travel days and business travel days, the University will only reimburse the traveller for accommodation and meal expenses incurred on business days. These travel arrangements must be preapproved by the Claimant's supervisor.

## **25.0 Contractors/Consultants**

As per the BPS Accountability Act, hospitality, incidental or food expenses are not allowable expenses for consultants and contractors in any contract between The University of Western Ontario and a consultant or contractor.

Consultants, contractors and those individuals providing professional services should include these costs within their fees.

Claims for these expenses will not be reimbursed.

## **26.0 Equipment Purchases**

Equipment purchases should be made through either a purchase order or with a purchasing card and not using an Expense Report. In extenuating circumstances, purchases of necessary equipment valued at \$2000 or less will be reimbursed using an Expense Report provided an explanation is stated on the Expense Report. Equipment purchased through the Personal Expense Reimbursement program should refer to the guidelines of the appropriate employee group.

## **27.0 Gifts and Awards to Employees**

Gifts and awards given by the University may be considered taxable income to the recipients. Please review the CRA guidelines specific to gifts, awards and long-service awards. [http://www.cra-arc.gc.ca/E/pub/tg/t4130/t4130-e.html#P515\\_51151](http://www.cra-arc.gc.ca/E/pub/tg/t4130/t4130-e.html#P515_51151)

## **28.0 Moving Expenses**

As per MAPP Policy 2.17 the University may assist in the payment of necessary moving expenses incurred by a newly appointed full-time member of the faculty or administrative staff for the transportation of the appointee, members of the immediate family and normal household effects.

Expenses incurred under MAPP Policy 2.17 are subject to prior and final approval by the appropriate Dean, AVP, Vice-Provost or Budget Unit Head.

## **29.0 Subject Fees**

Allowable subject fees for research projects, in amounts up to \$500 per person, may be reimbursed. Subject fees in excess of \$500 must be processed through the Payroll System. Requests for reimbursement of subject fees must include the number of subjects assigned to the study and the amount and method of reimbursement. Appropriate documentation must be maintained by the researcher.

## **30.0 Supplies/Miscellaneous Expenses**

Western's Online Travel and Expense System may be used for certain non-travel purposes as outlined in this section. In all cases, expenses will only be allowed if **original, itemized receipts are provided**.

**Telephone/Postage:** Charges for telephone, faxes, and postage related to University business are allowable expenses. (Receipts for pay phones are not required.)

**Internet Connections at Hotels:** Travellers will be reimbursed for hotel internet connection charges that are reasonable and are necessary for conducting University business.

**Passports and Visas:** Expenses related to visas required for business travel are reimbursable. The University will not reimburse a traveller for the cost of a passport.

**Inoculations:** Expenses related to inoculations required for business travel are reimbursable for the amounts not covered through other benefit claims.

**Laundry:** Reasonable laundry expenses for business travel of five (5) days or more are reimbursable provided the Expense Report has a proper, detailed business purpose noting the duration of the travel. Laundry expenses for business travel of four (4) days or less are not reimbursable.

**Supplies:** *The preferred method for procuring supplies is through the University's Electronic Purchase Requisition System, purchasing card or preferred vendor agreements.* Purchases of necessary supplies valued at \$500 or less will be reimbursed using the Expense Report only in the following instances:

- (a) when the Claimant is away from the University on a field trip, at a conference or other professional meeting;
- (b) when it is more economical to obtain a "personal" subscription for a professional journal than to pay the University rate; or
- (c) when it is more practical for an individual considering all costs and time constraints.

**Books, magazines and subscriptions:** Proof of payment must be attached to the Expense Report for the purchase of allowable books, magazine subscriptions and renewals related to University business. The title of the publication must be indicated on the Expense Report. Acceptable proof of payment for these items includes: the customer copy of an original, itemized receipt, the cancelled cheque, the sender's copy of a money order or a cash register slip. For eligible employees, these expenses should be claimed as a first charge against the Personal Expense Reimbursement of the appropriate employee group.

**Individual Memberships:** Costs for individual memberships required for approved corporate University purposes, professional fees and seminar fees may be reimbursed. The receipt from the organization or a copy of the application form along with proof of payment must be attached to the Expense Report. For eligible employees, these expenses should be claimed as a first charge against the Personal Expense Reimbursement of the appropriate employee group.

**Living Allowances/Honoraria:** Living allowances and honoraria are not permitted to be reimbursed using an Expense Report. These items should be processed through Human Resources.

**Other purchases:** All other purchases from local suppliers when ordered from and delivered to University offices should be obtained through the University's Electronic Purchase Requisition System, purchasing card or preferred vendor agreement in order to maximize all educational discounts and sales tax rebates.

## RELATED DOCUMENTS AND OTHER RESOURCES

BPS Expense Directive	<a href="http://www.fin.gov.on.ca/en/bpssupplychain/documents/bps_expenses_directive.html">http://www.fin.gov.on.ca/en/bpssupplychain/documents/bps_expenses_directive.html</a>
Campus Alcohol Policy	<a href="http://www.uwo.ca/univsec/mapp/section1/mapp133.pdf">http://www.uwo.ca/univsec/mapp/section1/mapp133.pdf</a>
CAUBO car rental rates	<a href="http://caubo.ca/supplier_contracts/car_rentals/car_rental_rates">http://caubo.ca/supplier_contracts/car_rentals/car_rental_rates</a>
CAUBO hotels	<a href="http://caubo.ca/supplier_contracts/hotels">http://caubo.ca/supplier_contracts/hotels</a>
CRA: Gifts	<a href="http://www.cra-arc.gc.ca/E/pub/tg/t4130/t4130-e.html#P515_51151">http://www.cra-arc.gc.ca/E/pub/tg/t4130/t4130-e.html#P515_51151</a>
Financials & Grants Module (Western's Online Travel and Expense and Electronic Purchase Requisition Systems)	<a href="https://finance.uwo.ca/psp/fsprdweb/?cmd=login&amp;languageCd=ENG">https://finance.uwo.ca/psp/fsprdweb/?cmd=login&amp;languageCd=ENG</a>
HR Insurance Office	<a href="http://www.uwo.ca/humanresources/facultystaff/insurance/rentals.htm">http://www.uwo.ca/humanresources/facultystaff/insurance/rentals.htm</a>
Moving Policy (MAPP 2.17)	<a href="http://www.uwo.ca/univsec/mapp/section2/mapp217.pdf">http://www.uwo.ca/univsec/mapp/section2/mapp217.pdf</a>
Preferred Vendors (Includes preferred travel agencies rental car agencies, florists, movers and many others)	<a href="http://uwo.ca/finance/purchasing/suppliers.html">http://uwo.ca/finance/purchasing/suppliers.html</a>
Travel Card Application	<a href="http://www.uwo.ca/finance/purchasing/docs/p_card_app.pdf">http://www.uwo.ca/finance/purchasing/docs/p_card_app.pdf</a>
Travel Policy Supplement (Research)	
Treasury Board: Mileage	<a href="http://www.njc-cnm.gc.ca/directive/travel-voyage/s-td-dv-a2-eng.php">http://www.njc-cnm.gc.ca/directive/travel-voyage/s-td-dv-a2-eng.php</a>
Treasury Board Travel Directive	<a href="http://www.tbs-sct.gc.ca/pubs_pol/hrpubs/tbm_113/menu-travel-voyage-eng.asp">http://www.tbs-sct.gc.ca/pubs_pol/hrpubs/tbm_113/menu-travel-voyage-eng.asp</a>
Western VIA Rail site	<a href="http://www.viarail.ca/en/fares/business-travel/corporate-fares/Western">http://www.viarail.ca/en/fares/business-travel/corporate-fares/Western</a>

**The UNIVERSITY of WESTERN ONTARIO**  
**TRAVEL POLICY SUPPLEMENT AS RELATED TO RESEARCH**

The purpose of this document is to compare and contrast university requirements and eligibility of expenses to that of major granting agencies.  
When determining which policy/guideline to use, the more stringent of them will apply.

	The University of Western Ontario Travel and Expense Reimbursement Policy 2.16	Tri-Council CIHR/NSERC/SSHRC, Canada Research Chairs (CRC), Networks of Centres of Excellence (NCE)	Treasury Board of Canada, Public Works and Government Services Canada (PWGSC), CIDA, AUCC	Provincially funded programs
<b>INFORMATION</b>				
Travel destination	City and Country			
Dates	Departure date to Return date			
Purpose of Trip	Indicate the nature of the trip (i.e. name of conference, workshop or meeting)	<ul style="list-style-type: none"> <li>Indicate the relationship between the trip and the research project (i.e. name of conference, workshop or meeting)</li> <li>If the claimant is not the Principle Investigator (PI), specify the relationship to the PI (i.e. student, PDF, visiting scientist, collaborator, etc.)</li> <li>Indicate the person or institution visited</li> <li>A separate claim must be submitted for each trip. If additional receipts for a particular trip are submitted subsequent to the original claim, please reference the original claim number on the second claim.</li> </ul>	Same as Tri-Council	Same as Tri-Council
<b>TRANSPORTATION</b>				
Air Travel	• See Travel and	• Economy class only	• Economy class only	• Economy class only

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	Expense Reimbursement Procedure 20.01. <ul style="list-style-type: none"> <li>Original invoice and boarding passes must be submitted. When electronic boarding passes are used please note this on the claim.</li> </ul>	<ul style="list-style-type: none"> <li>Original invoice and boarding passes must be submitted. When electronic boarding passes are used please note this on the claim.</li> </ul>	<ul style="list-style-type: none"> <li>Original invoice and boarding passes must be submitted. When electronic boarding passes are used please note this on the claim.</li> </ul>	<ul style="list-style-type: none"> <li>Original invoice and boarding passes must be submitted. When electronic boarding passes are used please note this on the claim.</li> </ul>
Airfare – insurance related to travel	<ul style="list-style-type: none"> <li>Trip cancellation insurance is recommended.</li> <li>The combined non-medical travel insurance is eligible if it is the most cost effective way to purchase the cancellation insurance.</li> <li>Medical insurance is not eligible</li> </ul>	<ul style="list-style-type: none"> <li>Travel medical insurance is eligible for research personnel who do not receive any such benefits from their institution and/or other sources.</li> <li>Trip cancellation insurance is eligible</li> </ul>	Not eligible	Travel medical insurance is eligible for travel outside Canada for research personnel who do not receive any such benefits from their institution and/or other sources.
Rail, Bus, Taxi	<ul style="list-style-type: none"> <li>Original ticket stub or equivalent, including detailed cost information is required</li> <li>See Travel and Expense Reimbursement Procedures 20.05 and</li> </ul>	<ul style="list-style-type: none"> <li>Original ticket stub or equivalent, including detailed cost information is required</li> <li>Most economical rate</li> </ul>	Same as Tri-Council	Same as Tri-Council



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	20.09			
Use of Claimant's Owned Vehicle	<ul style="list-style-type: none"> <li>Reimbursement is on a per kilometer basis only.</li> <li>Rates other than that published in the Travel Procedure, clause 20.06, will not be paid.</li> </ul>	Same as Western	Rates can be obtained from the Treasury Board website, <a href="http://www.njc-cnm.gc.ca/directive/travel-voyage/s-td-dv-a2-eng.php">http://www.njc-cnm.gc.ca/directive/travel-voyage/s-td-dv-a2-eng.php</a>	Same as Western
<b>ACCOMODATION</b>				
Hotel	<ul style="list-style-type: none"> <li>If booked on-line, detailed hotel reservation is acceptable only if no detailed receipt provided on check out.</li> <li>Detailed reservation must indicate dates, type of room, rate, total cost and method of payment.</li> </ul>			
Private, non-commercial	<ul style="list-style-type: none"> <li>Refer to Treasury Board directive, Appendix C, 1.1</li> <li>Western does not pay the host directly</li> </ul>	Same as Western	<ul style="list-style-type: none"> <li>Refer to Treasury Board directive, Appendix C, 1.1</li> </ul>	<ul style="list-style-type: none"> <li>\$30 CDN per night</li> <li>Written explanation must be submitted describing the purpose of trip, name of host and number of days.</li> </ul>
<b>MEALS &amp; HOSPITALITY</b>				
Meals	<ul style="list-style-type: none"> <li>Original, detailed receipt is required. Credit/debit card slips are not acceptable.</li> <li>Maximums apply per meal, see Travel Procedure 14.02</li> <li>Alcohol is eligible, if nominal or moderate</li> </ul>	<ul style="list-style-type: none"> <li>Receipt requirements are the same as Western's.</li> <li>Maximums apply per meal, see Travel Procedure 14.02</li> <li>Alcohol is <u>not</u> eligible.</li> </ul>	<ul style="list-style-type: none"> <li>Receipt requirements are the same as Western's.</li> <li>Maximums apply per meal, see Travel Procedure 14.02</li> <li>Alcohol is <u>not</u> eligible.</li> </ul>	<ul style="list-style-type: none"> <li>Receipt requirements are the same as Western's.</li> <li>Maximums apply per meal, see Travel Procedure 14.02</li> <li>Alcohol is <u>not</u> eligible.</li> </ul>
Entertainment of Others	<ul style="list-style-type: none"> <li>Original, detailed</li> </ul>	<ul style="list-style-type: none"> <li>Eligible for networking</li> </ul>	Same as Western	Same as Western

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	receipt must be accompanied by sufficient detail to identify the person or persons entertained, including names, university or organization.	and research related activities between grantee and guest researchers, external partners and/or stakeholders. <ul style="list-style-type: none"> <li>• Must state the date and purpose of the event, names and number of attendees</li> <li>• Alcohol is <u>not</u> eligible</li> </ul>		
Meal Per Diem – without receipts	Not reimbursable	Same as Western	Total meal allowance is \$70.25 CDN per day for travel in Canada and US. Individual meal rates are as follows: <ul style="list-style-type: none"> <li>• Breakfast \$15.35</li> <li>• Lunch \$14.60</li> <li>• Dinner \$40.30</li> </ul> Refer to the Treasury Board website for international rates.	Same as Western
<b>MISCELLANEOUS</b>				
Conference Prospectus/Program	Not required	<ul style="list-style-type: none"> <li>• Must include dates of conference/workshop, breakdown of conference fees (i.e. meals, events, etc.)</li> </ul>	Same as Tri-Council	Same as Tri-Council
Advances	Funds received in advance of the travel/event occurring must be cleared by submitting a Travel/Expense claim within sixty (60) days following the completion of the travel/event or prior to the end date of the research project,			

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	whichever is sooner.			
Paperwork	Claims with itemized receipts should be sent to Financial Services within fifteen (15) days from approval of the claim. Future reimbursements may be withheld if receipts are not received within the specified time period.			

<b>REFERENCES - WEBSITES</b>	
University Travel Policy, 2.16	<a href="http://www.uwo.ca/univsec/mapp/section2/mapp216.pdf">http://www.uwo.ca/univsec/mapp/section2/mapp216.pdf</a>
Travel Procedures	See link in Travel Policy 2.16 document
Tri-Council (CIHR, NSERC, SSHRC)	<b>Financial Administration Guide:</b> <a href="http://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/index_eng.asp">http://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/index_eng.asp</a> <b>Use of Grant Funds:</b> <a href="http://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/FundsUse-UtilisationSubventions_eng.asp">http://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/FundsUse-UtilisationSubventions_eng.asp</a> <b>Supporting Documentation:</b> <a href="http://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/Reporting-Rapports_eng.asp">http://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/Reporting-Rapports_eng.asp</a>
Treasury Board of Canada	<a href="http://www.tbs-sct.gc.ca/pubs_pol/hrpubs/tbm_113/menu-travel-voyage-eng.asp">http://www.tbs-sct.gc.ca/pubs_pol/hrpubs/tbm_113/menu-travel-voyage-eng.asp</a>
Ontario Travel Directives	<a href="http://www.mgs.gov.on.ca/stdprodconsume/groups/content/@mgs/@home/documents/resourcelist/276507.pdf">http://www.mgs.gov.on.ca/stdprodconsume/groups/content/@mgs/@home/documents/resourcelist/276507.pdf</a>

**Notes:**

- 1) All travel/expense claims applied to research accounts must have a one-over approval. This approval cannot be delegated and must be from the individual to whom the claimant reports.
- 2) If any portion of the claim is not within policy, procedure or guidelines, an explanation must be provided as to the extenuating circumstances and approved by the appropriate authority.
- 3) This document is for reference only. Please refer to Travel Policy 2.16 for complete details of Western's requirements.

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

**2.16 TRAVEL**

Classification: Financial

Effective Date: 23JUN01

Supersedes: 13JAN97

**GENERAL**

- 1.00 This policy applies to all University travel and related expenses from all sources of funding administered by The University of Western Ontario, except where specific written policies of certain granting agencies may apply.
- 2.00 When making travel arrangements, "value for money" considerations must be paramount. Careful consideration of costs, mode of travel, travelling time and convenience will realize the most economical and effective use of all resources.
- 3.00 Individuals must obtain the approval of their immediate supervisor prior to any travel. The immediate supervisor must ensure that regular duties will be maintained during the absence and that the necessary travel funds will be provided.
- 4.00 Travel expenses can be reimbursed only by submitting a properly completed and approved Travel Expense Report form. This form must be accompanied by original receipts and should be submitted to the Travel Expense Section of the Department of Finance, normally within 10 working days following completion of each trip.
- 5.00 Only properly documented expenses related to approved University business, including research, teaching and administration, will be reimbursed. Generally, expenses of a personal nature will not be reimbursed (see also 8.03).
- 6.00 Travel expenses paid for by the University may not be used by the claimant for income tax purposes or for a claim to any other organization.
- 7.00 The rates and allowances quoted below should be regarded as maxima guidelines. Individual budget units may choose to adopt lower amounts should circumstances dictate.

8.00 **FORMS, CLAIMS DOCUMENTATION/RECEIPTS, PERSONAL EXPENSES AND CURRENCY**

**Forms**

- 8.01 All expenses incurred relating to a particular trip must be shown individually on the Travel Expense Report. These include transportation costs, hotel bills, car rentals, conference registrations and other items that have been paid directly by the University on behalf of the claimant. Original receipts for each item must be attached. Each city visited must be listed separately.

A short Travel Expense Report is available to claim expenses for subject fees or same day return trips involving mileage and/or meal allowances (i.e., when no receipts are needed except for taxis and parking lots).

For field trips of an extended nature, a Travel Expense Claim Supplement/Daily Log Sheet form is available to assist in keeping track of expenses. The form can be used with the Travel Expense Report form and is available from the Travel Expense Section. This form is

not mandatory except where some granting agencies require detailed information, i.e., NSERC, SSHRC and Supply & Services Canada government contracts.

### **Claims Documentation/Receipts**

- 8.02 Claims for air, rail and bus fares must be supported by the passenger's copy of the ticket. Credit card sales slips and/or restaurant bill stubs may be used to support claims for hospitality and business related meals incurred outside of Canada. For similar costs incurred within Canada, a detailed bill must be provided, showing the restaurant's GST registration number and the GST charged on food and alcohol which must be shown separately so that the allowable GST rebate can be credited to the claimant's account. Except as noted above, all meal claims will be reimbursed up to the maximum of the meal allowance with no receipts required. Original receipts are required for all other expenses except for mileage claims, parking meters, valet parking, tolls and reasonable gratuities paid in cash. Credit card sales slips, credit card statements, cancelled cheques and travel agency statements are not acceptable receipts (except as noted above and in 12.04 and 12.05 of this policy).

If the University is reimbursing the claimant for only a portion of the total costs of a trip and the claimant wants to use a portion of an original receipt for some other purpose, the Travel Expense Section will enter the amount paid by this University on the original receipt or ticket stub and return the defaced original to the claimant.

Generally (except for mileage and meal allowances, metered and valet parking, tolls and gratuities), reimbursement will not be made without the original receipt. If original receipts for major costs are lost, destroyed or stolen, a written explanation of the circumstances must be provided by the claimant and approved by the Budget Unit Head before the claim will be processed.

### **Personal Expenses**

- 8.03 Generally, personal expenses incurred on behalf of the claimant, or the claimant's colleagues, family, friends, or relatives will not be reimbursed. All such expenses of a personal nature incurred on behalf of any individual, including clients or customers, must be clearly identified and either eliminated on the Travel Expense Report or, if claimed, supported by an appropriate written explanation approved by the Budget Unit Head. Examples of personal expenses include: flowers, in-room movie rentals, hotel health club fees, and double occupancy room rates when the second person is not on University business.

### **Currency**

- 8.04 All UWO employees will be reimbursed by cheque in Canadian funds in amounts equivalent to the actual expenses incurred and converted to Canadian for reimbursement. All expenses must be listed on the Travel Expense Report in the currency that was used for the actual expenditures. Proof of cost of obtaining foreign funds should be provided.

When foreign currency expenses (including U.S.) are charged to either the University credit card or a personal one, a copy of the credit card statement must be attached to verify the exchange rate used. Otherwise, the University will apply the standard exchange rate in use when the travel occurred. Most common currencies are listed on an exchange rate table which is maintained on the "Bulletin Board" of the central administration's mainframe system. These rates can also be obtained from the Travel Expense Section.

If foreign currency is purchased or sold at a banking institute, a receipt should be obtained and included with the Travel Expense Report.

Visitors from the U.S.A. may accumulate expenses in U.S. dollars on the Travel Expense

Detail Sheet. A U.S. cheque for the total amount claimed may be requested.

Other foreign visitors can request a draft which can be drawn on a foreign bank.

In all cases, the University accounts will be charged in equivalent Canadian dollars.

## 9.00 **TRANSPORTATION EXPENSES**

### **Public Transportation**

- 9.01 Generally, reimbursement of public transportation costs will not exceed rail fare or economy air fare. Any claim exceeding this standard must be accompanied by a written explanation from the claimant stating the reasons for an exception, approved by the Budget Unit Head. For public transportation, the original ticket receipt (third copy of the ticket) must be submitted with the claim.

### **Private Vehicle**

- 9.02 The mileage reimbursement rates currently in effect are shown in Appendix A, Section 1. These rates are reviewed and adjusted periodically.

In situations where staff are required to make frequent short on-campus trips, special arrangements may be approved by the Controller. A log detailing each date, location and the distance traveled must be filed with such claims on a Travel Expense Report.

Use of private vehicle should be limited to those trips where no suitable public transportation is available or where private vehicle is more economical and effective considering all factors such as costs, time constraints, itinerary, etc.

**NOTE:** When a private vehicle is used strictly for personal reasons or convenience, and such expenses exceed the equivalent cost of available public transportation, only the cost of such public transportation will be reimbursed.

Where members of the University community travel together in one vehicle, only one person may claim reimbursement.

### **Vehicle Rentals**

- 9.03 In many cases it will be more economical to rent a vehicle than to use public transportation or a private automobile for one day trips. See also Appendix A, Section 1(b). Departments should refer to the Travel Section of the Purchasing Information Handbook issued by the Purchasing Department to obtain information about vehicle rentals and insurance requirements.

### **Insurance**

- 9.04 Flight Cancellation insurance is an allowable expense and should be obtained when there is a possibility that the claimant may be unable to travel or when the ticket purchased is "non-refundable". A receipt is required.

Expenditures for air travel accident insurance will not be reimbursed.

Health care insurance (i.e., Blue Cross) for travel outside Canada is allowable for claimants who are not regular full-time employees of the University. Full-time employees are covered for travel outside Canada under existing insurance coverage.

If a private vehicle is used on approved University business, the owner must ensure that his/her personal automobile insurance is adequate. A minimum of \$1,000,000 third party liability is recommended.

### **Other Transportation Costs**

9.05 Taxi fares are allowable expenses. A receipt is required.

Off-campus parking expenses are allowable expenses. A receipt is required for lot parking but not for metered parking.

Tolls for roads, bridges and tunnels are allowable. No receipts required.

Parking and traffic fines are not allowable expenses.

If a personal aircraft is used, the claimant will be reimbursed at the lesser of economy air fare, rail fare, or private automobile.

## **10.00 ACCOMMODATION AND MEAL EXPENSES**

### **Accommodations**

10.01 Travelers should refer to the Travel Section of the Purchasing Information Handbook to obtain the most favourable room rates at major hotels.

10.02 Reimbursement for hotels, motels and other lodging will be limited to the basic University or Government rate for single occupancy, standard room accommodation unless a written explanation is provided by the claimant and approved by the Budget Unit Head stating the need for an exception to the policy. It is expected that claimants will always request the most favourable terms such as Government or other special rates and particularly, within Canada, those negotiated by the Canadian Association of University Business Officers (CAUBO). These rates are available from the Purchasing Department.

10.03 Claims for accommodation with colleagues, friends or relatives must state the name and address of such individuals. The maximum rate that is currently in effect is shown in Appendix A, Section 2(b). No receipts are required.

### **Meals**

10.04 (a) Expenses for the claimant's meals while travelling on University business will be reimbursed based on the daily meal allowance rate, without receipts. The meal allowance includes gratuities and taxes. A meal allowance must not be claimed if the meal(s) are included in the price of prepaid transportation or conference tariffs such as air and train fares, registration fees, etc. Current rates are listed in Appendix A, Section 2(a) and are reviewed and adjusted periodically.

Claims for actual meal costs exceeding the daily meal allowance must be supported by detailed, original receipts and should be accompanied by an appropriate written explanation. For meals in Canada, the receipts must indicate the restaurant's GST registration number and the breakdown of GST charged on food and alcohol for purposes of crediting the department's account with the allowable GST rebate.

(b) Reimbursement for hospitality and business related meals will be allowed when the claimant is host to individual(s) from outside the University or within it. Such reimbursement will be based on reasonable, actual costs and will be paid when

supported by original receipts and a fully documented written explanation approved by the budget unit head. The information provided must include the purpose of the meeting of occasion, the name(s) of the individual(s) involved, and a detailed bill showing the breakdown of GST charged on food and alcohol for purposes of crediting the department's account with the allowable GST rebate.

**11.00 UNIVERSITY RELATED RECEPTION AND HOSPITALITY EXPENSES**

- 11.01 Reception and hospitality expenses must be charged to a University account designated for such expenses. The purpose of the event, including the name of the group, the number of individuals involved, or the names of the guests, must be listed on the Travel Expense Detail Sheet. Receipts are required.
- 11.02 Generally, no reimbursement will be made for reception and hospitality expenses related to social events involving only employees of The University of Western Ontario or involving only employees and their spouses. However, in particular circumstances, such expenses will be reimbursed provided the expenditure has received the prior approval of the Budget Unit Head and is supported by original receipts and a fully documented written explanation as in 10.04(b) above.

**12.00 SUPPLIES/MISCELLANEOUS EXPENSES**

- 12.01 The Travel Expense Report may be used for certain non-travel purposes as outlined in this section.
- 12.02 Charges for telephone, telegram and postage related to University business are allowable expenses. Receipts are required (except for pay phone).
- 12.03 Purchases of necessary supplies and equipment valued at \$500 or less will be reimbursed using the Travel Expense Form only in the following instances:
  - (a) when the claimant is away from the University on a field trip, at a conference or other professional meeting
  - (b) when it is more economical to obtain a "personal" subscription for a professional journal than to pay the University rate.

Receipts are required.

ALL OTHER PURCHASES FROM LOCAL SUPPLIERS WHEN ORDERED FROM AND DELIVERED TO UNIVERSITY OFFICES MUST BE OBTAINED THROUGH THE UNIVERSITY'S PURCHASE ORDER SYSTEM (either a Low Value or Regular Purchase Order form in order to maximize all educational discounts and sales tax rebates).

- 12.04 Proof of payment must be attached to the Travel Expense Report for the purchase of allowable books, magazine subscriptions and renewals related to University business. The title of the publication must be indicated on the Travel Expense Report. Acceptable proof of payment for these purposes include the customer copy of a credit card sales slip, the cancelled cheque, the sender's copy of a money order, or a cash register slip.
- 12.05 Costs for memberships required for approved corporate University purposes and seminar fees may be reimbursed. The receipt from the organization or a copy of the application form along with proof of payment (section 12.04 above) must be attached to the Travel Expense Report. For eligible Faculty members, these expenses should be claimed as a first charge against the annual Faculty Professional Allowance plan.



- 12.06 Allowable subject fees for research experiments, in amounts up to \$100 per person, may be reimbursed. A signed receipt from the individual being paid must be attached to the Travel Expense Report. Subject fees in excess of \$100 must be processed through the Payroll system.
- 12.07 Living allowances and honoraria are not permitted to be reimbursed using a Travel Expense Report. These items should be processed through the Payroll system.

13.00 **TRAVEL ADVANCES**

- 13.01 Travel advances will not be given to employees eligible for a University Travel Card unless the funds are required for goods or services that cannot be paid for by the Travel Card. Where necessary, an accountable travel advance may be obtained prior to travelling by completing an Advance Voucher and submitting this voucher through the Budget Unit Head to the Travel Expense Section. A budget showing how the funds are to be used must be shown on the Advance Voucher. Advance Vouchers must be received in the Travel Expense Section at least 5 working days prior to the start of the trip in order to allow for processing and mailing of a cheque.
- 13.02 Employees of this University will receive advance cheques in Canadian dollars only.
- 13.03 All advances must be cleared by submitting a Travel Expense Report to the Travel Expense Section within 10 working days following the completion of the trip. If an amount is to be returned to the University, a personal cheque in the correct amount, payable to The University of Western Ontario, must be attached to the Travel Expense Report. If cash is being used to repay the amount due to the University, the claimant must obtain a receipt in person from the UWO cashier. Cash should not be sent in the mail.
- 13.04 Travel advances may be given to people who are not employees of The University of Western Ontario in order to cover travel costs related to services to be performed on behalf of the University. This practice is permitted but is not encouraged. If such advances are not properly cleared by the submission of a Travel Expense Report, with original receipts attached, the individual will either be sent an invoice to repay the advance (if the services have not been rendered) or the advance will be reported as taxable income to the recipient (if the services have been rendered).
- 13.05 Any travel expenses paid directly by the University on behalf of an individual through the Purchase Order System must be charged to an advance account and reported on a Travel Expense Report. Such items include air fare, hotel bills, car rentals and other items charged directly to the University accounts. Air fare and train fare purchased through Preferred Travel Agent Agreements do not need to be charged to an advance account or be reported on a Travel Expense Report.
- 13.06 Individuals who obtain a travel advance should be made aware of the requirements for completing a Travel Expense Report as outlined in these guidelines.
- 13.07 In the event a trip, for which a travel advance was requested, is postponed or cancelled, a refund of the advance should be forwarded immediately to the Travel Expense Section.

14.00 **RESEARCH FUNDED TRAVEL**

- 14.01 Travel supported by research grants or contracts must comply with University regulations and policies unless specifically indicated otherwise by the granting agency. When contemplating travel funded by research accounts, it is important to understand the guidelines that must be followed. A review of the agency policy guide book or terms of contract will usually indicate

the method. If it is unclear which travel procedure should be adhered to, contact the Research Accounting Section of the Department of Finance for clarification.

- 14.02 If extensive travelling is anticipated (for example, a 3 month field trip), the traveler should contact the Research Accounting office in advance of departure to avoid any delays in obtaining an advance and to establish the appropriate method of reporting expenses.
- 14.03 In addition to the approvals outlined in Section 15.03, it is also necessary for the Principal Investigator to approve Travel Expense Reports and Advance Vouchers for items being charged to his/her research grant or contract.

#### 15.00 **APPROVALS AND RESPONSIBILITIES**

- 15.01 The claimant is responsible for ensuring that claims for expenses are in accordance with University policy, including written explanations for any exceptions to the policy which are reasonable under the circumstances and reflect value for money considerations. The claimant must also certify that expenses paid by the University do not include items of a personal nature and will not be used for income tax purposes or for a claim to any other organization.
- 15.02 The individual who approves the Travel Expense Report or Advance Voucher is responsible for ensuring that the expenses are for University purposes only and are in accordance with University policy, including any exceptions to the policy which are documented by the claimant as being reasonable under the circumstances.
- 15.03 The rule for approval of Travel Expense Reports and Advance Vouchers is "one-over-one" as follows:

All Travel Advances and Expense Reports must be signed by the claimant and approved by a senior person who is on an organizational level above that of the claimant and will normally be the person to whom the claimant reports. People authorized to sign Travel Advances and Expense Reports within Faculties and Departments will normally be Deans, Associate and Assistant Deans, Chairs and Directors (or their duly authorized delegate).

Signature stamps will not be accepted.

Signing authority may be delegated in writing by a Dean or Budget Unit Head to a senior administrator with functional responsibility for the unit's or department's travel budget. Individuals with delegated signing authority cannot approve their own travel claims nor the claims of those to whom they report.

All Travel Claims and Advances must be signed by the claimant or a University employee on behalf of a visitor to the University. The employee signing on behalf of the absent claimant cannot be the person approving the claim.

For Research grants and contracts, the funding agencies require that the signature of the Principal Investigator be present on all claims charged to the research account.

- 15.04 Reimbursement of expenses does not, in itself, constitute ultimate approval and may be subject to subsequent audit adjustment.
- 15.05 Travel Expense Reports and Advance Vouchers which do not conform to these policies and guidelines will be referred to either the Budget Unit Head, the Dean, or the appropriate Vice-President to resolve any concerns or deficiencies prior to processing.

16.00 **BENEFITS ACCRUING FROM TRAVEL INDUCEMENTS**

- 16.01 Many airline, hotels, car rental companies, etc. provide programs which offer free, or at reduced cost, flights, accommodation or rental rates after a certain amount of business has been conducted with the company involved.
- 16.02 Due to the cost and complexity associated with reporting and quantifying the value of such inducements or credits, the University does not require formal reporting of these items. The University expects that:
- (a) Employees will apply credits earned and accumulated on University business against the acquisition of future related University business expenses.
  - (b) Benefits or credits generated from University business are taxable in the hands of the employee except when such credits or benefits have been applied to University business. Employees are referred to Interpretation Bulletin - 470R of Revenue Canada which states that where an employee accumulates credits while travelling on employer paid business trips and uses them to obtain air travel or other benefits for the personal use of the employee or the employee's family, the fair market value of such air travel or other benefits must be included in the employee's income. It is the University's position that the employee is responsible for quantifying and reporting the value of these benefits for income tax purposes.

17.00 **THE UNIVERSITY OF WESTERN ONTARIO AMERICAN EXPRESS TRAVEL CARD SYSTEM**

- 17.01 The University of Western Ontario American Express Travel Card system is administered by the Department of Finance.
- 17.02 Full-time members of faculty and staff are eligible to complete an application for a University of Western Ontario American Express Corporate Card.
- 17.03 Applications by Budget Unit Heads require no approval and should be mailed directly to the Travel Expense Coordinator. All other applications must be pre-approved by the Dean or Budget Unit Head.
- 17.04 Only expenses related to approved University business may be charged to the card.
- 17.05 The cardholder is responsible for all charges on the card and must pay his/her account when due. The University is not responsible for late charges to the account and will not reimburse such charges to the cardholder.
- 17.06 The cardholder must complete a Travel Expense Report in order to be reimbursed for expenses.
- 17.07 The card must be returned to the University when the cardholder terminates or retires from the University.
- 17.08 The University or American Express may revoke a card if the cardholder does not follow this policy.
- 17.09 Lost or stolen cards must be reported in person at the nearest American Express office **or** by telephone, to any American Express Card member Service Centre worldwide **and** to: Travel Expense Section, Department of Finance, Room 280, Stevenson-Lawson Building, The University of Western Ontario.

17.10 The University will receive monthly reports from American Express.

**ATTACHED:** APPENDIX A - [Mileage Allowances](#) and [Meal and Accommodation Allowances](#)

**Effective July 1, 2005**

**Policy 2.16 - Travel**

**APPENDIX A**

**Section 1 - Mileage Allowances**

- (a) The mileage reimbursement rates for use of a private vehicle while on approved University business are:

64 cents per mile

or

40 cents per kilometer

- (b) Based on the above mileage rates, it is relatively expensive to use a private vehicle for long distance travel to places like Toronto or Detroit. Alternative forms of transportation, such as car rental, are often more economical and are encouraged whenever possible.

For example, car rental costs range from \$80 - \$95 for a one-day trip to Toronto and return, depending on whether the rental is a compact or a full size 6 passenger car. This includes gasoline and taxes and assumes the American Express Corporate Card is used to avoid insurance costs of about \$25 per day.

Rather than incur mileage costs of about \$140 - \$160 for each trip to Toronto, budget units may wish to introduce a flat rate allowance of say, \$95, in lieu of actual mileage, whenever a personal car is used.

**Section 2 - Meal and Accommodation Allowances**

- (a) Without receipts, the maximum allowance for meals is \$45.00 per day in Canada and the equivalent of \$45.00 U.S. in all other countries. The meal allowance **includes** gratuities and taxes and its breakdown is:

Breakfast	\$10.00
Lunch	\$12.00
Supper/Dinner	\$23.00

- (b) The maximum rate for accommodation with colleagues, friends or relatives is \$25.00 per night.

*Code of Student Conduct*  
**Annual Report: Misconduct and Sanctions**  
**for the period July 1, 2010 – June 30, 2011**  
prepared by John Doerksen,  
Vice-Provost (Academic Programs & Students) [Registrar]

This is the tenth report of actions taken under the terms of the *Code of Student Conduct* since the *Code* was enacted by the Board of Governors. The office of the Vice-Provost (Academic Programs & Students) [Registrar] continues to work closely with the University's Legal Counsel, Deans' offices and Campus Community Police Service, to ensure all matters involving the *Code* are handled according to the established procedures for record-keeping, communication and follow-up.

As shown in the table below, there have been 20 incidents involving 23 students that have either come to my direct attention or been reported to me by the Faculties/Affiliates under the terms of the Code of Student Conduct.

INCIDENT	SANCTION	DECISION BY
Harassing behaviour	Not permitted to register for Fall 2011	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Criminal harassment	Code proceeding delayed pending further investigation	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Possession and consumption of crack cocaine	Code proceeding suspended until December 31, 2011	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Theft of property	Student placed on probation for one year and required to pay restitution to the victim – <b>student appealed to UDAC Appeal denied.</b>	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Theft and possession of stolen property	Student placed on one year probation	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Assault involving alcohol	Student placed on one year probation and required to abstain from drinking and being in possession of alcohol	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Disruptive behaviour	Formal reprimand	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]

*Code of Student Conduct*  
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 Vice-Provost (Academic Programs & Students)

<b>INCIDENT</b>	<b>SANCTION</b>	<b>DECISION BY</b>
Assault and harassment	Student suspended for one year	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Sexual assault	Code proceedings suspended during one year voluntary absence from campus	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Breach of university policy on Parking and Traffic regulations	Student records sealed until payment was made in full to Parking Services	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Domestic violence and breach of Interim Prohibition Order (IPO)	Suspend for one term and placed on probation for remaining time at Western.	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Harassment – 2 <sup>nd</sup> offense	Student suspended for one year / <b>appealed to UDAC – appeal denied</b>	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Theft	Student placed on one year probation	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Theft – two occasions	Student suspended for one year	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Domestic violence	Student suspended for one year with conditions not to have any contact with the victim	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Mischief to property	Student required to pay all costs incurred	Dr. John Doerksen, Vice Provost (Academic Programs & Students) [Registrar]
Theft	Student issued a Notice of Trespass prohibiting access to Western Campus for one year and restricted to attend classes at home affiliated campus.	Mary Carol Waters, Dean of Students King's University College

***Code of Student Conduct***  
**Annual Report: Misconduct and Sanctions**  
**for the period July 1, 2010 – June 30, 2011**  
 prepared by John Doerksen,  
 Vice-Provost (Academic Programs & Students)

<b>INCIDENT</b>	<b>SANCTION</b>	<b>DECISION BY</b>
Alteration of Student Medical Certificate	No accommodation was made for which the original note was intended. All future requests for accommodation will be scrutinized by the Dean's office and a record on this student will be held in the Dean's office.	Keith Griffiths, Associate Dean (Academic) Faculty of Science
Theft – six students involved	Formal reprimand to all students remaining on file until graduation. Formal letters of apology required by all students plus each student was required to complete 10 hours of community service. One student with a previous incident on record was removed as an Ivey orientation team member for the 2011 academic year and received a letter of warning from Campus Police.	Carol Stephenson, Dean Ivey Business School



**Annual Report on Activities of the Senior Operations Committee, July 2010 – November 2011**

The terms of reference of the Senior Operations Committee are set out in Special Resolution No. 1-M of the Board of Governors, attached.

**1. PERSONNEL MATTERS**

Conducted the annual review of the President

- Invited written submissions from Board members
- Invited written submissions from the broader University community (*Western News* and *Gazette* advertisements)
- Received and reviewed comments from Governors which were shown (without attribution) to the President and discussed with him

Began reviewing the performance appraisal process for the President, in response to comments received from members of the Board

Received the annual performance appraisal of:

- The “statutory senior salary group” (Vice-Presidents, Deans, Registrar, University Librarian, and the Secretary of the University)
- The Senior Administrative Staff Group (SASG)
- Members of faculty excluded from the UWOFBA bargaining unit, including Associate Deans, Board members, Vice-Provost (Policy, Planning and Faculty), and Vice-Provost (Graduate & Postdoctoral Studies)

Reviewed and approved negotiation mandates and/or made recommendations to the Board to ratify negotiated collective agreements and policy provisions for:

- CUPE 2361 Physical Plant
- UWOFBA-LA
- UWOFBA
- UWOSA
- PSAC
- IUOE
- PMA
- Hospitality Services
- Campus Police

Recommended to the Board the following appointment(s) and/or approved conditions and terms of employment:

- Dean, Faculty of Education – Vicki Schwean
- Dean, Faculty of Science – Charmaine Dean
- Dean, Faculty of Law – W. Iain Scott
- Dean, Don Wright Faculty of Music – Betty Anne Younkers
- Acting Dean of the Faculty of Arts & Humanities – Michael Milde
- Associate Vice-President (Principal Gifts)
- Associate Vice-President (Alumni Relations & Development)

Advised the President on a senior personnel matter

## **2. NOMINATING COMMITTEE MATTERS**

Made recommendations to the Board for the following appointments:

- Chair and Vice-Chair of the Board (terms beginning January 1, 2011)
- Chairs and Vice-Chairs of Board Standing Committees for 2011
- Members of Board Standing Committees for 2011
- University Discipline Appeal Committee (UDAC)
- Chancellor Electoral Board
- Associate Vice-President (Research)

Made appointments to a number of bodies external to the Board (reported to the Board, for information)

## **3. BOARD OPERATIONS**

- Annual Board Retreat organization
- Discontinuation of Board approval of membership on the Advisory Council on Western Engineering and the Ivey Advisory Board

## **4. ADVICE TO AND REPORTS FROM SENIOR ADMINISTRATION**

- Discussions with the City re Downtown Plans
- Government Funding
- Potential off-campus land purchases
- Processes & Resources for Responding to Students in Crisis
- Flowthrough Shares Proposal
- Discussions with the City re Gibbons Wetlands

## **5. OTHER**

- President's Annual Expenses
- Annual Report on University Functions Held at Gibbons Lodge
- Receipt of Annual Report on the Code of Student Conduct
- Recommended policy amendments/new policies:
  - MAPP 1.51 – Policy on Establishing University Policies
  - MAPP 1.35 – Non-Discrimination/Harassment Policy Revisions
  - MAPP 2.16 – Travel & Expenses Reimbursement Policy Revisions
- Delegation of administrative policy set to the President for oversight

**The UNIVERSITY of WESTERN ONTARIO  
BOARD OF GOVERNORS**

**SENIOR OPERATIONS COMMITTEE**

Ref: Special Resolution No. 1-M

**Terms of Reference**

1. The Senior Operations Committee is a standing committee of the Board with the duties, responsibilities and authorities as set out below.
2. The Committee's principal responsibilities are:
  - (a) personnel issues, including:
    - (i) to review and make recommendations to the Board regarding negotiated collective agreements
    - (ii) to negotiate and approve on behalf of the Board the terms of the contract with the President
    - (iii) to fix and provide for the remuneration, retirement and superannuation of the following employees of the University:

President & Vice-Chancellor  
Vice-Presidents  
University Librarian  
Vice-Provosts  
Registrar  
Secretary of the Senate  
Secretary of the Board  
Deans
    - (iv) to fix, on the recommendation of the President, the salary of those occupying positions in the Senior Administrative Staff Group, numbering not more than 20, as identified by the Board on the recommendation of the President.
    - (v) when not so determined by approved policies, group plans or collective agreements, to authorize expenditures of such sums as may be required to establish funds for the payment of gratuities, retirement allowances, pensions, life insurance or other insurance (including health insurance) for the benefit of employees
    - (vi) to review recommendations from the President in personnel matters which fall outside existing University policies
    - (vii) to review annually the performance of the President and to receive from the President and Provost the performance appraisals of the other employees listed in (iii) and (iv) above;
    - (viii) to receive from the President the President's proposed priorities for each forthcoming academic year and to make a recommendation thereon to the Board

In all of the foregoing, the Committee shall have due regard for collective agreements which have been approved by the Board.

- (b) to advise the Board or the President in matters concerning compensation, and to report and make recommendations to the Board on matters of policy as the Chair deems advisable
  - (c) to advise the Board or the President in matters concerning community relations (internal and external) and the University's reputation, including:
    - (i) general relationships with the external community
    - (ii) affiliation and other agreements which require Board approval, or as may be referred by the President
    - (iii) vehicles of community relations (e.g., publications, special events, media relations)
    - (iv) general University/student relations in non-academic matters, including student disciplinary codes
    - (v) responses for requests for access to the Board (in accordance with the process outlined in [Appendix A](#), attached hereto)
  - (d) to act as the Nominating Committee of the Board for the purpose of making recommendations to the Board
    - for the appointment of external members to the Board in accordance with Guidelines for the Identification and Appointment of External Board Members as may be approved by the Board from time to time
    - for the appointment of members to standing committees of the Board <sup>1</sup>
    - for the appointment of members to other bodies as may be appropriate in the judgment of the Committee
  - (e) to plan initial and ongoing orientation activities for Board members
3. On behalf of the Board, the Committee may approve and authorize actions noted in 2.(a)(ii), (iii), and (iv) above and may report thereon to the Board in summary form.

### **Membership and Procedure**

4. The membership of the Committee shall be:

Chair of the Board, who shall be Chair of the Committee  
Vice-Chair of the Board, who shall be Vice-Chair of the Committee  
Chair of the Audit Committee  
Chair of the By-Laws Committee  
Chair of the Development & Fund Raising Committee  
Chair of the Property & Finance Committee  
Immediate Past Chair of the Board

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<sup>1</sup>

The Senior Operations Committee may fill vacancies in the membership of committees and subcommittees as necessary in the succeeding twelve months [following the Board's approval of the initial list in January each year]. [By-Law No. 1, sec. G.5.(a).]

Notwithstanding the ex officio membership of the Committee, in light of the mandate of the Committee with respect to personnel, employee contract and remuneration issues, all members of the Committee must be external members of the Board.

5. The Committee shall meet as directed by the Board, at the call of the Chair, or as requested by the President.

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#### APPENDIX A

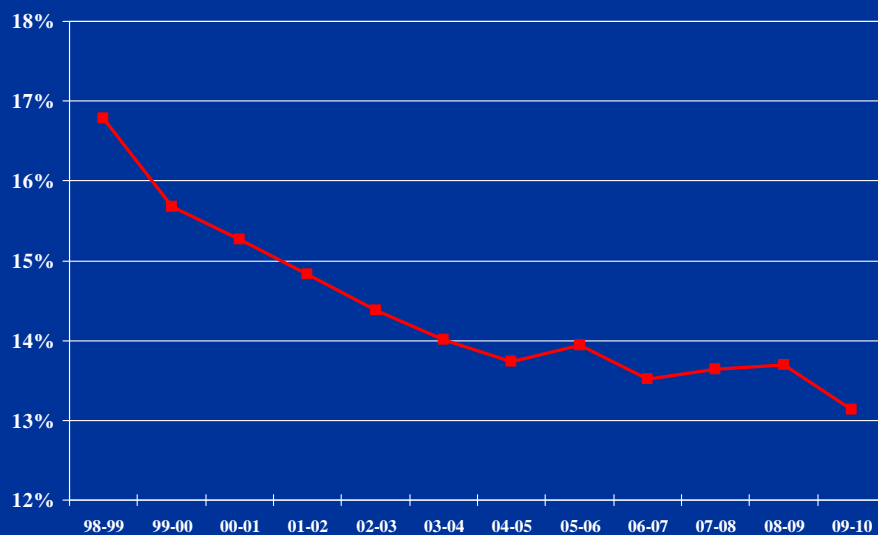
##### **Requests for Access to the Board**

1. Requests for access to the Board for particular issues should be submitted to the Board Secretary who will forward them to the Board Chair and the President.
2. The Board Chair will consult with the President on the appropriate response.
3. When appropriate, the Chair will deputize a member of the Board to discuss the issue with the requester and the appropriate member(s) of the administration will be involved in that discussion.
4. The Board member will report to the Senior Operations Committee on the issue, the discussion and any steps that might follow (i.e., whether the matter should be referred back to the administration for consideration, whether it should be referred to a Board committee for review, or whether no further action is appropriate).
5. The Senior Operations Committee will then make the determination as to how to proceed.

## Effective and Efficient Support of the University's Strategic Directions

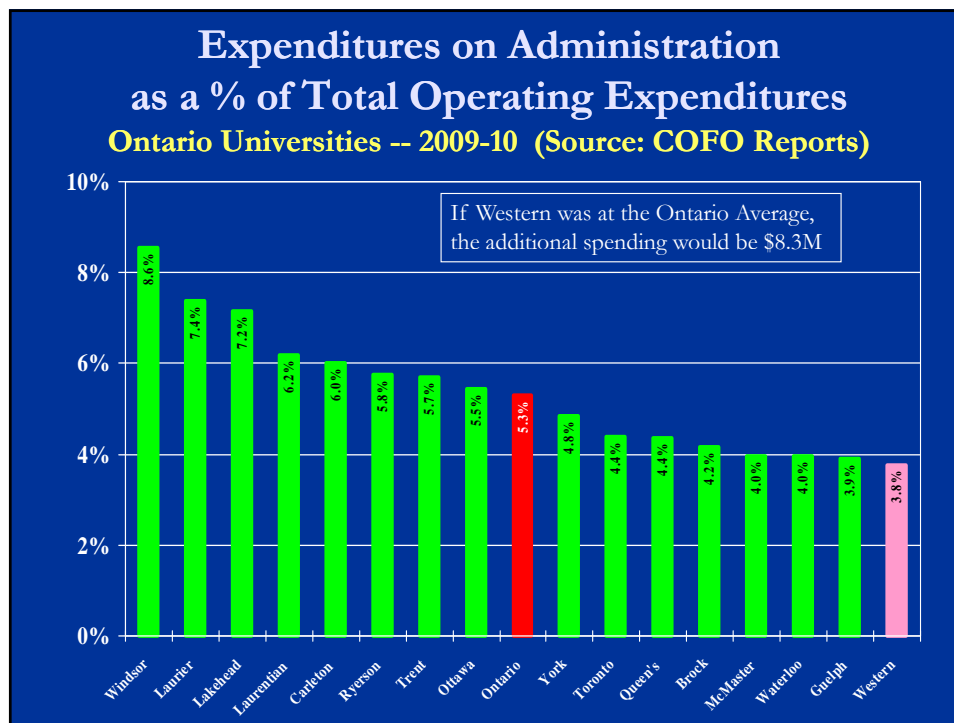
Board of Governors  
November 24, 2011

### Western: Support Unit Base Budgets as a Percent of Total Operating Expenditures



## Notes

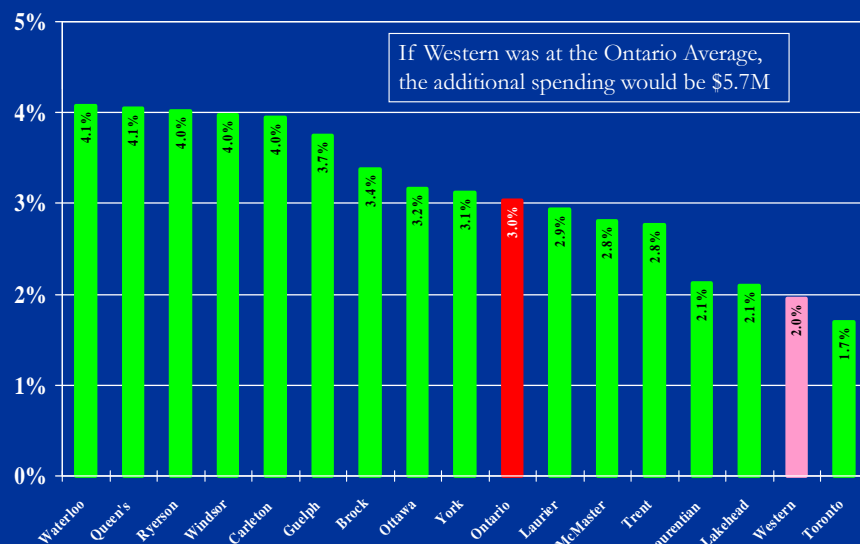
- “Support Units” captures the units that provide “services” to the University Community
  - Teaching Support Centre, ITS, Libraries, Registrar’s Office, SGPS, IPB, Faculty Relations
  - Finance, HR, Physical Plant, Police, Internal Audit
  - Research Western
  - Communications, Development, Alumni Relations
  - President’s Office, University Secretariat



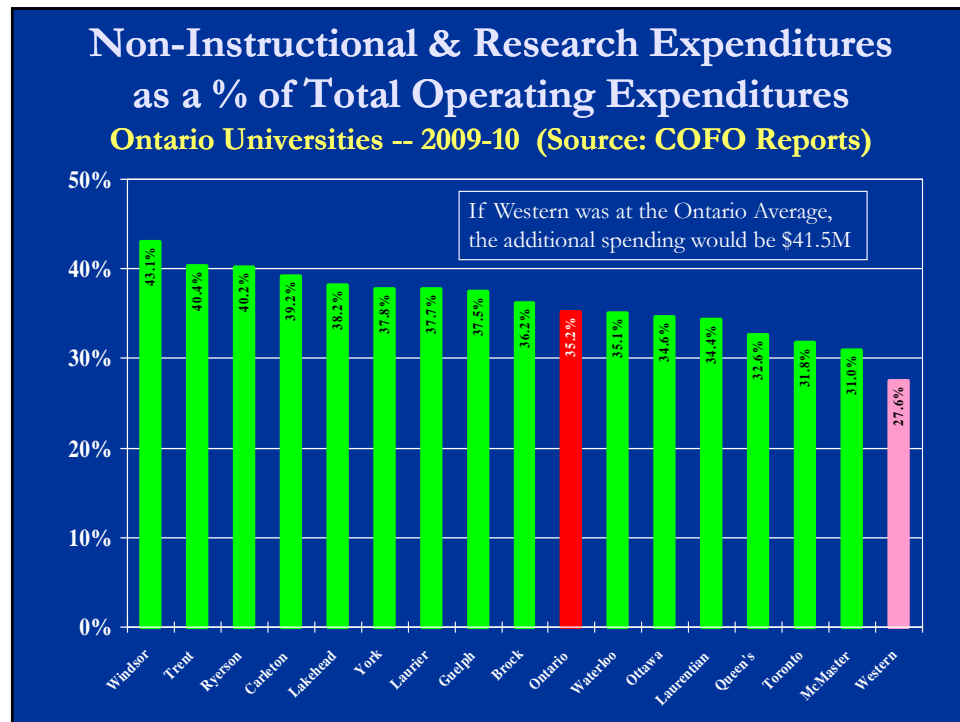
## Notes

- “Administration” includes:
  - Office of the President/VPs, University Secretariat, Convocation & Diplomas
  - Internal Audit, Finance, IPB, HR, Insurance
  - General University Memberships
    - e.g. COU, AUCC, G13
  - Professional Fees
    - e.g. Legal Fees, Audit Fees

### Central Computing & Communication Expenditures as a % of Total Operating Expenditures Ontario Universities -- 2009-10 (Source: COFO Reports)

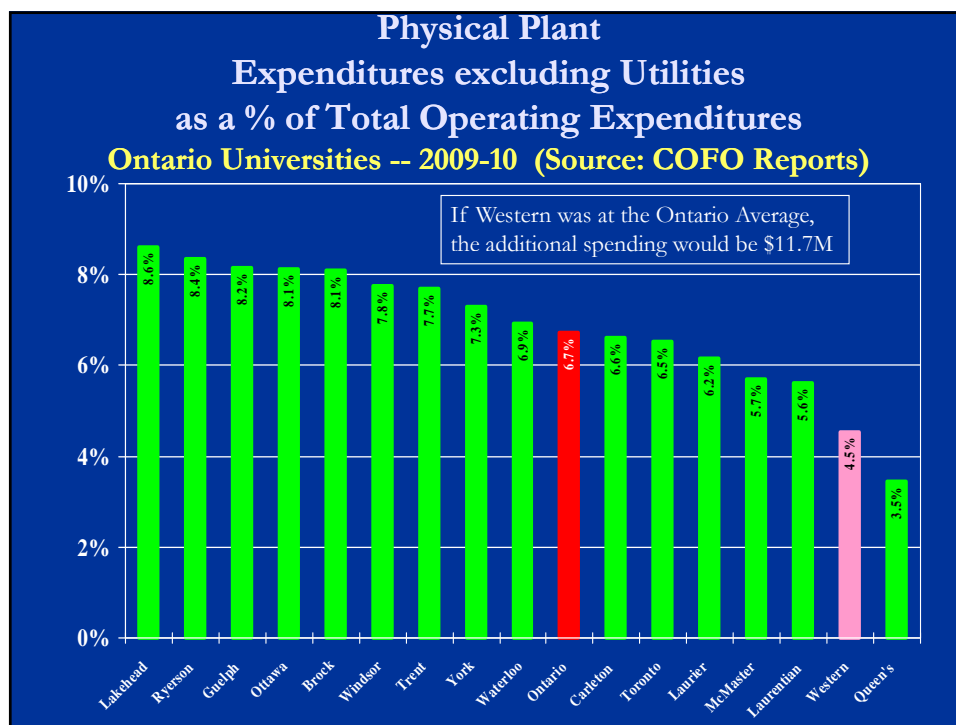
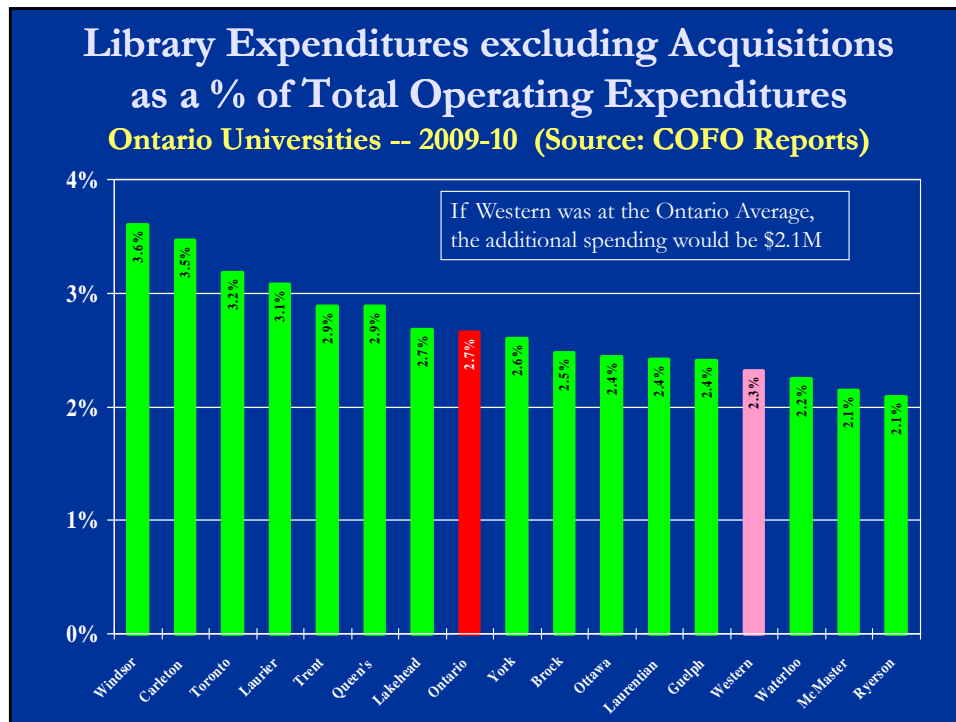






## Notes

- “Non-Instructional and Research” includes all expenditures outside of the Faculties and Student Financial Aid



## Two goals Driving What/How of the Portfolio

- Align and integrate business processes to better serve clients
- Pursue best practices and measure success

These drive priorities and resource allocations.

## Some Cautions

- Good does not necessarily equate to lowest
- May be certain areas where we need to make incremental investments for different outcomes
  - for example - Research

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

<b>Contents</b>	<b>Consent Agenda</b>
<b>Fund Raising Results to September 30, 2011</b>	Yes
<b>Quarterly Report on Fund Raising</b>	Yes
<b>Ivey Building Naming</b>	Yes

**FOR INFORMATION**

1. **Fund Raising Results to September 30, 2011**

See [Annex 1](#).

2. **Quarterly Report on Fund Raising**

See [Annex 2](#).

3. **Ivey Building Naming**

Following the meeting of the Board of Governors on September 27<sup>th</sup> at which the transfer of the Ivey name to the new building was approved, the Secretariat was informed by the School that the name should be the "Richard Ivey Building," not the "Richard G. Ivey Building." Changes have been made to the Board's records.

With the transfer of the Ivey name to the new building, the original building had to be renamed for mapping purposes. As the Ivey School of Business will continue to use the building for several years for its HBA program, it has been determined, in consultation with the Dean, that for the interim the building will be named the "HBA Building."

The University of Western Ontario

Campaign Activity Summary  
for the period ending September 30, 2011

	For the Campaign: May 1, 2007 to April 30, 2014					
	Campaign Goal	Gifts & Pledges to Date*	% of Goal	Endowed UWO	Endowed FW	Expendable
Faculties:						
Arts and Humanities	9,000,000	4,860,694	54%	68,987	997,621	3,794,086
Don Wright Faculty of Music	6,500,000	3,043,503	47%	126,890	273,928	2,642,685
Education	6,000,000	1,716,249	29%	1,400	1,253,386	461,463
Engineering	17,000,000	15,028,811	88%	714,805	357,122	13,956,884
Health Sciences	30,000,000	14,187,776	47%	6,594,727	2,199,539	5,393,510
Information & Media Studies	2,125,000	1,262,632	59%	1,363	159,020	1,102,250
Law	11,400,000	8,957,762	79%	829,744	831,139	7,296,879
Libraries	6,000,000	10,016,614	167%	38,659	30,532	9,947,423
Mustang Athletics	6,000,000	4,954,162	83%	479,118	2,070,064	2,404,980
Richard Ivey School of Business	125,000,000	74,048,372	59%	7,446,610	8,530,902	58,070,860
Robarts Research Institute	25,000,000	8,103,584	32%	738,020	1,590,908	5,774,656
Schulich School of Medicine & Dentistry	100,000,000	30,836,103	31%	4,692,008	9,225,878	16,918,217
Science	34,000,000	18,382,635	54%	11,563	574,863	17,796,209
Social Science	14,500,000	8,986,635	62%	74,243	1,053,893	7,858,500
Sub Total by Faculty	\$392,525,000	\$204,385,533	52%	\$21,818,137	\$29,148,794	\$153,418,602
Special Projects:						
Student Awards - University Wide	15,000,000	12,805,520	85%	6,239,816	4,206,968	2,358,736
Western Fund	10,000,000	5,760,654	58%	260	1,664,771	4,095,623
Campus Wide Programs	7,475,000	28,581,595	382%	11,482	1,358,151	27,211,962
Future Priorities	75,000,000					
Sub Total by Special Projects	\$107,475,000	\$47,147,769	44%	\$6,251,558	\$7,229,891	\$33,666,320
GRAND TOTAL	\$500,000,000	\$251,533,302	50%	\$28,069,695	\$36,378,685	\$187,084,922

Footnotes:  
Ivey Campaign commenced in 2006/07 during which \$20.4 million was raised; total raised to date is \$93.4 million (75% of goal)  
Adjustments to the Accumulative Pledges may reflect redirection of initial designation.

Gift Planning Progress**	Campaign Goal	Value	% of Goal
Expectancies	\$100,000,000	60,885,352	61%

\*\*Expectancies represents future commitments such as bequests or life insurance, realizations counted in the current/prior campaign activity by faculty.

Year-to-Date Progress: May 1, 2011 to April 30, 2012						For the month: September 2011
Annual Goal	Gifts & Pledges to Date*	% of Goal	Endowed UWO	Endowed FW	Expendable	Gifts & Pledges
1,400,000	713,452	51%	27,150	1,700	684,602	2,376
350,000	22,419	6%	8,000	3,155	11,264	1,475
650,000	35,299	5%	-	2,805	32,494	5,960
5,500,000	3,370,107	61%	10,000	9,510	3,350,597	13,108
1,000,000	554,351	55%	250,100	272,944	31,307	72,478
2,000,000	584,128	29%	-	120,008	464,120	400
4,000,000	1,433,764	36%	661,500	7,920	764,344	373,183
700,000	271,835	39%	1,451	1,200	269,184	11,325
1,000,000	551,580	55%	200	60,750	490,630	118,870
18,000,000	3,487,294	19%	500	275,731	3,211,062	956,461
2,000,000	708,492	35%	50	37,258	671,184	36,571
11,000,000	3,541,443	32%	1,544,371	287,915	1,709,157	465,346
3,500,000	574,855	16%	50	20,132	554,672	1,425
1,200,000	984,744	82%	600	415,551	568,593	97,117
\$52,300,000	\$16,833,763	32%	\$2,503,972	\$1,516,580	\$12,813,211	2,156,095
3,000,000	520,894	17%	-	266,840	254,054	13,720
1,200,000	198,109	17%	-	51,645	146,464	27,672
3,500,000	373,041	11%	7,756.00	346,590	18,695	3,000
\$7,700,000	\$1,092,045	14%	\$7,756	\$665,075	\$419,214	44,393
\$60,000,000	\$17,925,808	30%	\$2,511,728	\$2,181,655	\$13,232,425	2,200,488

Gift Planning	Annual Goal	Value	% of Goal	September 2011
Expectancies	\$10,000,000	1,959,429	20%	279,998
Realizations	\$5,000,000	1,732,007	35%	221,217

Annual Fund*	Annual Goal	Annual Achievement	% of Goal
Annual Fund	\$1,400,000	315,296	23%

\*included in the above results



Fund Raising Initiatives Quarterly Report  
as at July 31, 2011  
(with comparative figures for the fiscal year 2010/11 and 2009/10)

Exhibit I

(1) **PLEDGE DATA**

	May 1, 2011 to April 30, 2012 (000's)			May 1, 2010 to April 30, 2011 (000's)			May 1, 2009 to April 30, 2010 (000's)		
	Target	Actual	Actual as a % of Target	Target	Actual	Actual as a % of Target	Target	Actual	Actual as a % of Target
Pledges outstanding May 1,	98,090	98,090	N/A	150,720	89,957	N/A	125,709	89,094	N/A
New Gifts & Pledges (Gross)	60,000	11,007	18.35%	54,000	63,563	117.71%	65,000	55,020	84.65%
Pledges cancelled/amended on new/prior pledges	-2,041	-43	2.11%	-3,204	-1,760	54.93%	-3,204	-3,207	100.09%
<b>Net New Pledges</b>	<b>57,959</b>	<b>10,964</b>	<b>18.92%</b>	<b>50,796</b>	<b>61,803</b>	<b>121.67%</b>	<b>61,796</b>	<b>51,813</b>	<b>83.85%</b>
Contributions received in payment of pledges:									
Foundation Western	10,000	1,667	16.67%	10,000	11,490	114.90%	10,000	6,014	60.14%
The University of Western Ontario	38,289	7,093	18.52%	38,887	41,784	107.45%	26,387	44,518	168.71%
Richard Ivey School of Business (Asia) Limited	400	9	2.25%	396	396	100.00%	398	418	105.03%
Total contributions received	<b>48,689</b>	<b>8,769</b>	<b>18.01%</b>	<b>49,283</b>	<b>53,670</b>	<b>108.90%</b>	<b>36,785</b>	<b>50,950</b>	<b>138.51%</b>
<b>Net Pledges Outstanding</b>	<b>107,360</b>	<b>100,285</b>	<b>93.41%</b>	<b>152,233</b>	<b>98,090</b>	<b>64.43%</b>	<b>150,720</b>	<b>89,957</b>	<b>59.68%</b>

**Cost Per Dollar Raised**

Advancement Fund Raising Units  
Development  
Richard Ivey School of Business  
Foundation Western

	Net Pledges	Expenses	Cost per Dollar Raised	Net Pledges	Expenses	Cost per Dollar Raised	Net Pledges	Expenses	Cost per Dollar Raised
Development	6,885	609	\$0.09	27,733	3,389	\$0.12	29,671	3,444	\$0.12
Richard Ivey School of Business	2,270	252	\$0.11	25,171	1,634	\$0.06	21,770	1,433	\$0.07
Foundation Western	1,852	290	\$0.16	10,542	1,145	\$0.11	3,366	1,118	\$0.33
<b>Total Expenses/Cost Per Dollar Raised</b>	<b>11,007</b>	<b>1,151</b>	<b>\$0.10</b>	<b>63,446</b>	<b>6,168</b>	<b>\$0.10</b>	<b>54,807</b>	<b>5,995</b>	<b>\$0.11</b>
<b>3-Year Average Cost Per Dollar Raised</b>	<b>129,260</b>	<b>13,314</b>	<b>\$0.10</b>						

(3)

(1) **Includes total activity of:**

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

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

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



## STATUS REPORT AS JULY 31, 2011

### By Constituency

Board of Governors/Faculty/Staff/Retirees	8,384
Students	21,920
Alumni	2,967,797
Parents	120,792
Friends	984,939
Corporations	5,130,100
Foundations	1,352,570
Associations	420,459
Municipal Government	<u>200</u>

**TOTAL      \$11,007,160**

### Gifts & Pledges

### By Faculties/Special Projects

Arts and Humanities	676,946
Don Wright Faculty of Music	18,639
Education	20,435
Engineering	2,924,571
Health Sciences	459,255
Information & Media Studies	566,128
Law	351,642
Libraries	211,376
Mustang Athletics	337,886
Richard Ivey School of Business	2,270,462
Robarts Research Institute	96,490
Schulich School of Medicine & Dentistry	1,585,250
Science	172,001
Social Science	498,620

### **Special Projects**

Student Awards-University Wide	339,128
Western Fund	124,086
Campus Wide Programs	<u>354,245</u>

**TOTAL      \$11,007,160**

### Gifts & Pledges

### By Theme

Educate the next generation of global leaders	4,740,209
Shape the future of healthcare, wellness and medical discovery	1,760,326
Promote exploration and innovation through research	352,356
Enrich humanity through the arts culture and music	702,140
Support environmental management and a sustainable future	2,407,803
Inspire community engagement and a global outlook	<u>1,044,326</u>

**\$11,007,160**

**2011/2012 Fund Raising Objective**  
**% of the 2011/2012 Objective Achieved**

**\$ 60,000,000**  
**18%**

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#### **ENDOWED CHAIR MATCHING PROGRAM**

Included in the above results is **\$6,000,000** in gifts & pledges towards a **\$12,500,000** goal and establishes **4** new endowed chairs in The Richard Ivey School of Business (1), Robarts Research Institute (1), Schulich School of Medicine & Dentistry (2).

#### **GIFT PLANNING PROGRAM**

In addition to the above gifts and pledges, The University of Western Ontario has been notified of **34** new expectancies, future commitments such as bequests or life insurance totaling **\$1,379,429** toward a **\$10,000,000** annual goal and an overall campaign progress of **\$60,305,352** toward a **\$100,000,000** campaign goal.

**Overall Progress February 1989 to current \$144,232,296 (Expectancies)**

McIntosh Gallery  
The University of Western Ontario  
**Annual Report 2010-2011**



## *The recent McIntosh revival will be one of the London success stories of the decade.*

James Reaney, London Free Press, May 14 2011, C2

2010-11 was a year of dramatic change at McIntosh. Major renovations closed the gallery for four months (April to August) and then continued throughout the year. For the first time in its near 70 year history, McIntosh now meets national standards for museological climatic controls for the display of works of art, a basic requirement of the category A status designation from Canadian Heritage granted in 1974.

New windows, doors, air handling systems and LED lighting have also dramatically reduced the Gallery's carbon footprint. An application for LEED (Leadership in Energy and Environmental Design) certification has been submitted. Energy Star appliances have replaced older models. Other green initiatives include using local FSC (Forest Stewardship Council) certified walnut to frame works of art. McIntosh has dramatically decreased the amount of paper used for administration, documentation and dissemination by switching to electronic communications, including online publishing, invitations and other correspondence, and by presenting information in the gallery on energy efficient LED monitors.

The renovation provided an opportunity to reorganize the lower level into the new Curatorial Study Centre. It includes documents, publications and archival materials about museology, gallery practices and the McIntosh Gallery's collection of over 3,500 works of Canadian and international art. A resource for researchers, students and the public, the CSC will begin publishing critical research on curatorial practices in fall 2011 in collaboration with Blue Medium Press. It is the only such centre in Canada.

Major acquisitions included a gift from Dr. Terence Bailey, a retired professor of music, of works by the Regina Five and their contemporaries. These rare works, acquired by Dr. Bailey directly from the artists in the 1960s, fill a gap in the McIntosh collection of modern Canadian art. We also added major works by London artists Ron Benner, Jamelie Hassan, Patrick Mahon, David Merritt and Ed Zelenak. And we continued to actively collect the work of indigenous artists including works on paper by Ashevak Kenojuk, Etidlooie Etidlooie and Jeff Thomas. A site-specific installation *Time Transposition 1010 2010* by Audio Lodge (Canadian, Kevin Curtis-Norcross, Troy David Ouellette and Paul Walde), a London-based sound art collective, was commissioned by McIntosh to complement the exhibition *Mapping Medievalism*.

Throughout the year, Western students played a major role in our programs and operations. In addition to the annual MFA graduate thesis exhibition, 17 students, mainly from the Department of Visual Arts, participated in paid internship and bursary

programs, assisting with exhibition research while learning about curatorial practices. Prof. Kirsty Robertson dedicated her entire museums study course to expand upon the McIntosh's Clark McDougall exhibition. *Mapping Medievalism at the Canadian Frontier*, the exhibition, book and brochure, was the culmination of a Department of Visual Arts graduate research seminar. Visual Arts graduate student Laura Ritchie curated the exhibition *Fantastic Details: Building Materials for the Construction of other Worlds*.

Whenever possible, McIntosh collaborated with the Department of Visual Arts offering support to a variety of worthy initiatives including the *DJ Spooky* exhibition at ArtLab Gallery (in collaboration with LOLA), providing funding for the *Breaking and Entering* Symposium, organized by Dr. Bridget Elliott, and publishing, through the new Curatorial Study Centre, the proceedings from the Visual Arts graduate students' conference *Revisiting Ephemera*. Jeremy Jeresky, a Visual Arts MFA candidate, was selected to be the McIntosh's first artist in the community, a program that continued this year with MFA student Lea Bucknell's *Forest City Garden Project*.

We also collaborated with Museum London on exhibitions: *Mapping Medievalism* (the exhibition and publication), and lent works to Museum London from our collection for solo exhibitions of London artists Duncan deKergommeaux, Eric Atkinson, Greg Curnoe and Jack Chambers.

Works from the McIntosh collection were seen across Canada in the major research exhibition *Traffic: Conceptual art in Canada 1965-1980* curated by Barbara Fischer for The Justina M. Barnicke Gallery, University of Toronto.

One of the highlights of the year was the Alistair MacLeod and Nino Ricci reading in January 2011 in memory of Dr. Suzanne Kaufmann, a great friend of McIntosh and retired Western faculty member. Over 180 people, including family and friends of Dr. Kaufmann, many of them donors to McIntosh, attended the event at Conron Hall followed by a reception at the Gallery. It is through the generosity of donors like Dr. Kaufmann that I am able to report that the McIntosh ended the year with an accumulated surplus of \$104,529, an increase of \$71,563 over the previous year.

On behalf of McIntosh, I thank all of our supporters, donors and friends for making 2010-11 such a successful year.

James Patten, Director/ Chief Curator

# Acquisitions

Patrick Mahon (Canadian, b.1957)

*Baker Lake House #9* 2009, silkscreen on Plexiglas, 68.6 x 86.4 cm  
Purchase, Abbott Fund, 2010

Patrick Mahon (Canadian, b.1957)

*Baker Lake House #6* 2009, silkscreen on Plexiglas, 68.6 x 86.4 cm  
Purchase, Abbott Fund, 2010

Patrick Mahon (Canadian, b.1957)

*Baker Lake House 2* 2009, silkscreen on Plexiglas, 68.6 x 86.4 cm  
Purchase, Abbott Fund, 2010

Patrick Mahon (Canadian, b.1957)

*Study for Baker Lake House #2* 2009, ink on parchment, 43.1 x 55.8 cm  
Gift of the Artist, 2010

Patrick Mahon (Canadian, b.1957)

*Study for Baker Lake House #6* 2009, ink on parchment, 43.1 x 55.8 cm  
Gift of the Artist, 2010

Patrick Mahon (Canadian, b.1957)

*Study for Baker Lake House #9* 2009, ink on parchment, 43.1 x 55.8 cm  
Gift of the Artist, 2010

Mary Ella Dignam (Canadian, 1860-1938)

*Pines* 1915, oil on canvas, 45.7 x 55.9 cm  
Purchase, 2009

Ron Benner (Canadian, b.1949)

*Como Se Llama...? / How Are You Called...?* 1983, photo-based installation, variable dimensions  
Gift of the Elliott Family, 2010

Clare Bice (Canadian, 1909-1976)

*Woodfield (Cronyn family home)* n.d., oil on canvas, 43.7 x 48.7 cm  
Gift of Susan Cooper Cronyn, 2010

Sigrid Lochner (Canadian, b.1925)

*Big Mama Goes Hunting* n.d., oil on canvas, 116.2 x 77.9 cm  
Gift of the artist, 2010

Sigrid Lochner (Canadian, b.1925)  
*Windsor Resident* 1960, oil on canvas board, 50.5 x 40.6 cm  
Gift of the artist, 2010

Sigrid Lochner (Canadian, b.1925)  
*Yesterday* n.d., oil on canvas board, 40.4 x 30.1 cm  
Gift of the artist, 2010

Sigrid Lochner (Canadian, b.1925)  
*My Father*, 1959, oil on canvas board, 30.5 x 25.2 cm  
Gift of the artist, 2010

Sigrid Lochner (Canadian, b.1925)  
*Untitled* 1973, intaglio, edition: 1/3, 28.5 x 36.0 cm  
Gift of the artist, 2010

Sigrid Lochner (Canadian, b.1925)  
*Ms. Pear* 1973 intaglio, edition: artist's proof, 42.6 x 33.5 cm  
Gift of the artist, 2010

Sigrid Lochner (Canadian, b.1925)  
*As a Painter* 1975, intaglio, edition: 1/10, 27.9 x 33.7 cm  
Gift of the artist, 2010

Thelma Rosner (Canadian, b.1941)  
*Mandelbrote's Garden #19*, 1988, oil on canvas, 140.2 x 185.9 cm  
Gift of Alan and Phyllis Cohen, 2010

Lillian Freiman (Canadian, 1908-1986)  
*Young Girl with Apple* 1930, chalk pastel, chalk pastel wash, oil, graphite on board,  
21.5 x 16 cm  
Gift from the collection of Al McGrath and Virginia Sullivan, 2010

Michael Durham (Canadian, b.1944)  
*Dreaming in Blue*, 2010, acrylic on board, 179 x 186 cm  
Gift of the artist, 2010

Jack Chambers (Canadian, 1931-1978)  
*Middle I – multiple* 1966, silver paint on board, 48.4 x 76.2 cm  
Gift of Joan Walters & David Job in memory of Dr. Jack H. Walters, UWO professor and  
graduate of Med '51, 2010

Jack Chambers (Canadian, 1931-1978)

*4 Gerard – multiple* 1966, oil on paper, 63.7 x 76.3 cm

Gift of Joan Walters & David Job in memory of Dr. Jack H. Walters, UWO professor and graduate of Med '51, 2010

Etidlooie Etidlooie (Inuit, 1910-1981)

*Enraged Hawk* 1970, stone cut/ paper 26/50, 43.2 x 61.6 cm

Gift of Mary Catherine Healey in memory of Philip Basil Healey (1889-1968) and Kathleen Gleeson Healey (1894-1966), 2010

Lila McGillivray Knowles (Canadian, 1886-1979)

*Irish Croft*, n.d., oil on canvas mounted on cardboard, 20 x 25.5 cm

Gift of the estate of William Haight, 2010

Jeff Thomas (Canadian, b.1956)

*Greg Hill Seated in his Cereal Box, Samuel de Champlain Monument, Ottawa Ontario*

2000, chromogenic print, 79.5 x 64.5 cm

Gift of the artist, 2010

Mackie Cryderman (Canadian, 1900-1969)

*East Coast Fishing Village*, 1948, oil on canvas board, 50.8 x 76.2 cm

Gift of Steven J. McLarty-Payson, B.A. (2007), 2010

James Griffiths (Canadian, 1814-1896)

*Untitled still life* n.d, oil on canvas, 89.0 x 71.5 cm

Gift of the estate of William O. Herold (Hons. Business 1952), 2010

Brian Richard Fisher (Canadian, b.1939)

*February #11* 1964, oil on plywood, 69.0 x 52.0 cm

Gift of Dr. Terence Bailey, 2010

Kenneth Lochhead (Canadian, 1926-2006)

*Red Square at Night* 1962, enamel on Masonite, 53.5 x 68.0 cm

Gift of Dr. Terence Bailey, 2010

Kenneth Lochhead (Canadian, 1926-2006)

*Yellow at the Top* 1963, acrylic on canvas, 54.5 x 49.0 cm

Gift of Dr. Terence Bailey, 2010

Kenneth Lochhead (Canadian, 1926-2006)

*Untitled* 1963, water colour on paper, 51.0 x 66.0 cm

Gift of Dr. Terence Bailey, 2010

Kenneth Lochhead (Canadian, 1926-2006)  
*Untitled*, 1964, acrylic on paper, 62.5 x 95.0 cm  
Gift of Dr. Terence Bailey, 2010

Kenneth Lochhead (Canadian, 1926-2006)  
*To the Right*, 1965, water colour on paper, 51.0 x 66.0 cm  
Gift of Dr. Terence Bailey, 2010

Kenneth Lochhead (Canadian, 1926-2006)  
*Untitled* 1969, monoprint on paper, 53.5 x 108.0 cm  
Gift of Dr. Terence Bailey, 2010

Kenneth Lochhead (Canadian, 1926-2006)  
*Bloom Colour* 1970, spray acrylic on canvas, 54.5 X 85.5  
Gift of Dr. Terence Bailey, 2010

Kenneth Lochhead (Canadian, 1926-2006)  
*Untitled* 1970, spray acrylic on canvas, 66.0 x 51.0 cm  
Gift of Dr. Terence Bailey, 2010

Art McKay (Canadian, 1926-2000)  
*Untitled* 1957, watercolour on paper, 58.0 x 44.0 cm  
Gift of Dr. Terence Bailey, 2010

Art McKay (Canadian, 1926-2000)  
*Qu'Apelle Valley* 1959, ink on paper, 58.5 x 72.5 cm  
Gift of Dr. Terence Bailey, 2010

Art McKay (Canadian, 1926-2000)  
*Quiet* 1961, enamel on Masonite, 155.0 x 124.5 cm  
Gift of Dr. Terence Bailey, 2010

Art McKay (Canadian, 1926-2000)  
*Panorama of the Interior* 1964, enamel on Masonite, 64.0 x 95.0 cm  
Gift of Dr. Terence Bailey, 2010

Ronald Bloore (Canadian, 1925-2009)  
*Untitled* 1965, coloured ink on paper, 39.0 x 52.0 cm  
Gift of Dr. Terence Bailey, 2010

Ted Godwin (Canadian, b.1933)  
*Untitled*, 1964, acrylic on canvas, 119.5 x 104.0 cm  
Gift of Dr. Terence Bailey, 2010

Kenneth Lochhead (Canadian, 1926-2006)  
*Untitled*, 1963, watercolour on paper, 23.0 x 30.4 cm  
Gift of Dr. Terence Bailey, 2010

David Merritt (Canadian, b. 1955)  
*Moving Images* 1998, installation, 200.0 x 185.0 cm  
Anonymous donation, 2010

David Merritt (Canadian, b.1955)  
*(Untitled) Drawn from Life* 1997-1998, graphite on paper, thirteen sketchbooks 15.5 x 10.3 cm, two sketchbooks 15.5 x 23.0 cm  
Anonymous donation, 2010

David Merritt (Canadian, b.1955)  
*Drawn from Life #9 Flipbooks & Ledger* 2003, coloured video installation  
Anonymous donation, 2010

David Merritt (Canadian, b.1955)  
*Untitled (Wahditty)*, 2008, chalk and watercolour on lead, 141.5 x 196.5 cm  
Purchase, Abbott Fund with support from the Canada Council for the Arts Acquisition Assistance program/Oeuvre achetée avec l'aide du programme d'aide aux acquisitions du Conseil des Arts du Canada, 2010

Edward Zelenak (Canadian, b.1940)  
*Levitation —As Witnessed by 24 Ciphers* 2010, alloyed tin, copper, enamel paint, 137.2 x 99.1 cm  
Purchase, Abbott Fund with support from the Canada Council for the Arts Acquisition Assistance program/ Oeuvre achetée avec l'aide du programme d'aide aux acquisitions du Conseil des Arts du Canada, 2011

Joseph Hubbard (Canadian, b.1945)  
*You Don't Know What You're Seeing* 2010, transmission layer diagram, 81.7 x 81.7 cm  
Purchase, Abbott Fund with support from the Canada Council for the Arts Acquisition Assistance program/ Oeuvre achetée avec l'aide du programme d'aide aux acquisitions du Conseil des Arts du Canada, 2011

John Bernard Boyle (Canadian, b.1941)  
*Canadian Martyr Box* 1974, serigraph, 28 x 32.6 cm  
Gift of Judith and Wilson Rodger, 2011



John Bernard Boyle (Canadian, b.1941)  
*Untitled* 1988, acrylic on ceramic plate, 19.8 cm  
Gift of Judith and Wilson Rodger, 2011

Janice Gurney (Canadian, b.1949)  
*Curnoe Family Portrait* 2007, digital prints on Plexiglas, 38.1 x 22.9 cm  
Gift of Judith and Wilson Rodger, 2011

Eve Apostoll (Canadian, 1931-1995)  
*Journey to Corfu* 1968, acrylic on canvas, 120.6 x 91.44 cm  
Gift of Judith and Wilson Rodger, 2011

James Reaney (Canadian, 1926-2008)  
*Wild Swans, Charlottetown Township* 1975, water colour and graphite on paper, 33.2 x 40.7 cm  
Gift of Judith and Wilson Rodger, 2011

Ashevak Kenojuak (Inuit, b.1927)  
*Happy Owl* n.d., ink and coloured pencil on paper, 71.4 x 86.6 cm  
Gift of Judith and Wilson Rodger, 2011

Sara Hartland-Rowe (Canadian)  
*Opening* 1999, silk thread on linen, 49.0 x 49.9 cm  
Gift of Judith and Wilson Rodger, 2011

David Merritt (Canadian, b.1955)  
*Untitled (Drawn from Life)*, 1998, black pen on paper, whiteout, 17.2 x 18.0 cm  
Gift of Judith and Wilson Rodger, 2011

David Merritt (Canadian, b.1955)  
*Untitled (Drawn from Life)*, 1998, graphite on tracing paper, 21.0 x 16.3 cm  
Gift of Judith and Wilson Rodger, 2011

David Merritt (Canadian, b.1955)  
*Me and You* 1999, twigs, dressmaker's pins, 85.0 x 85.0 cm  
Gift of Judith and Wilson Rodger, 2011

David Merritt (Canadian, b.1955)  
*Untitled (Drawn from Life)*, 1998, twigs, dressmaker's pins, 30.0 x 38.0 cm  
Gift of Judith and Wilson Rodger, 2011



Jamelie Hassan (Canadian, b.1948)  
*Green House #8, Lotus Cultivation Papyrus—Work Site, Moore Water Gardens, Port Stanley, Ontario* 2001, watercolour, 100.7 x 131.2 cm  
Gift of Judith and Wilson Rodger, 2011

## Commissioned Works of Art

Audio Lodge (Canadian, Kevin Curtis-Norcross, Troy David Ouellette and Paul Walde)  
*Time Transposition 1010* 2010, sound installation  
Commissioned by McIntosh Gallery through the Gillian Saward Memorial Fund, 2010

The Gillian Saward Memorial Fund is for the acquisition of new works of art by younger artists. *Time Transposition 1010* was commissioned by McIntosh to complement the exhibitions *Mapping Medievalism* and *Mapping Iroquoia*. A site-specific, 24 hour sound installation, it re-creates the sounds of the London region in the pre-European contact era. It was installed for two weeks in October 2010 in the lobby of University College. Audio Lodge is a London-based, sound art collective.

## ArtShare

ArtShare is McIntosh Gallery's ongoing program that puts over 800 works of art on display throughout Western's campus. 2010-11 was a busy year for ArtShare because of the many renovations at Western that required the removal and installation of works of art. New selections from the McIntosh collection were installed in the Board of Governor's room, Support Services Building, and the offices of the President, Secretariat and Dean of Arts. An important source of revenue (posting a surplus of \$19,171 at year end) ArtShare is increasingly popular with the Western community.

Various factors, including the increasing value and fragility of individual works of art and limited capacity (staff and storage space), will limit the growth of ArtShare over the next five years. An inventory is planned for the summer of 2011 that will identify works deemed too valuable or vulnerable for ArtShare. These will be gradually removed from display and stored in the vault.

# Exhibitions

*Note: McIntosh Gallery was closed for renovations April 25 to August 15<sup>th</sup> 2010*

*Kelly O'Dette* (MFA thesis exhibition in collaboration with Department of Visual Arts)  
August 20 to September 18, 2010

*John Cushnie* (MFA thesis exhibition in collaboration with Department of Visual Arts)  
August 20 to September 18, 2010

Paul D. Miller aka D.J. Spooky *That Subliminal Kid: Kino-Glaz/ Kino-Pravda: Remix*  
September 13 to 19 2010  
Presented at ArtLab Gallery, Department of Visual Arts  
Organized in collaboration with ArtLab Gallery, Department of Visual Arts and LOLA

*Mapping Medievalism at the Canadian Frontier*  
September 30 to December 11, 2010  
Organized in collaboration with Museum London, D.B. Weldon Library, ArtLab Gallery,  
Department of Visual Arts (catalogue)

*Mapping Iroquoia: Shelley Niro & Jeff Thomas*  
September 30 to December 11, 2010  
Organized by McIntosh Gallery  
Curated by Jeff Thomas (brochure)

*Send of Place: a Cross Border Print Exhibition*  
January 6 to February 19, 2011  
Organized by Windsor Printmaker's Forum  
Curators: Iain Baxter&, Nancy Sojka and James Patten. Artists: Joseph Banh (Edmonton AB); Nadine Bariteau (Toronto ON); Mark Bovey (Halifax NS); Yael Brotman (Toronto ON); Dacia Celeste-Fauth (Calgary AB); Patricia Coates (Amherstberg ON); Meena Dhar (Hamilton ON); Lisa Driver in collaboration with Milky Way (Eastman QC); Christopher Durocher (Bloomfield Hills MI); Erik Edson (Sackville NB); Joel Fullerton (Guelph ON); Sue Gordon (Winnipeg MB); Dieter Grund (Oakville ON); Libby Hague (Toronto ON); George Hawken (Toronto ON); Liz Ingram (Edmonton AB); Hannamari Jalovaara (Vancouver BC); Melody Krauze (Windsor ON); Bill Laing (Calgary AB); Tara Lynn MacDougall (Halifax NS); Judy Major-Girardin in collaboration with Briana Palmer (Hamilton ON); Adam Medley (Guelph ON); John Montminy (Windsor ON); Rory O'Connor (Tecumseh ON); Gary Olson (Calgary AB); Terry O'Reilly (North Adams MA); Kenneth Pattern (Vancouver BC); Shannon Phair (Toronto ON); Dianna Rae Borel (Ann Arbor MI); Victor Romão (Windsor ON); Carol Rowland-Ulmann

(Smiths Falls ON); Dan Steeves (Sackville NB); Michele Tarailo (Windsor ON); Susan Turner (Winnipeg MB); Terry Vatr (Winnipeg MB)

*Fugitive Light: Clark McDougall's Destination Places*

March 3 to May 14, 2011

Organized by McIntosh Gallery

Curated by Dr. Anna Hudson, York University and Catherine Elliot Shaw (catalogue)

*Fantastic Details: Building Materials for the Construction of Other Worlds*

Organized by McIntosh Gallery

Curated by Laura Ritchie, Curatorial Intern and MFA candidate, Department of Visual Arts (brochure)

## Programs

Artist in the Community: Jeremy Jeresky

September to December 2010

Department of Visual Arts MFA candidate Jeremy Jeresky was selected to be the McIntosh Gallery's first annual Artist in the Community. Throughout the fall of 2010, Jeresky worked with disadvantaged adults, offering art classes through the Aid Ark Mission in East London.

Lecture: Artist and curator Jeff Thomas talks about *Mapping Iroquoia*, Friday October 1, noon

Guided tours of *Mapping Medievalism* and *Mapping Iroquoia* with a special appearance by "Colonel Thomas Talbot" performed by Nick Wells in conjunction with Western's Homecoming celebrations, Saturday October 2 from 10:00 A.M. to 12:00 P.M.

Reception for *Mapping Medievalism at the Canadian Frontier* symposium, Friday 22 October, 7:00 to 9:00 P.M. featuring the premier of *Time Transposition 1010*, 2010, a sound installation commissioned by McIntosh Gallery by London-based, artists' collective Audio Lodge (Kevin Curtis-Norcross, Troy Ouellette and Paul Walde) at University College 7:00 P.M.

*Mapping Medievalism* symposium keynote address: Dr. Gerald McMaster, Fredrik S. Eaton Curator of Canadian Art, Art Gallery of Ontario  
Conron Hall, University College  
Presented in collaboration with Department of Visual Arts

Gallery talk: Prominent historical figures in Upper Canada with Simon Bentley and Ahlia Moussa. October 27 at 12:30 P.M.

Gallery talk: *Mapping and Representing the Landscape of Upper Canada* by Trista Mallory and Hillary Walker Guban, November 3 at 12:30 P.M.

Gallery talk: *The History and Mapping of London and southern Ontario* by John Lutman, James Alexander and Ellen Rea Benson, Special Collections Librarian, and Cheryl Woods, Map Librarian, Serge A. Sauer Map Library, November 10 at 12:30 P.M.

*Monitor 6: New South Asian Short Film and Video* October 19 2010

Organized by South Asian Visual Arts Centre (SAVAC)

Curated by Richard Fung

Presented at Western in collaboration with Department of Film Studies

Artists: Khaldoon Ahmed (London, England); Sharlene Bamboat (United Kingdom); Athar Jahanian (Pakistan); Pranay Limbu (Kathmandu, Nepal); Divya Mehra (Winnipeg MB and New York, NY); Asma Mundrawala (Karachi, Pakistan); Holly Rodricks (Syracuse, NY); Ashim Halder Sagor (Dhaka, Bangladesh); Tejal Shah (Bombay, India); Roger Sinha (Montreal QC).

*Monitor 6: New South Asian Short Film and Video* is an experimental short film and video screening that showcases work by independent artists and filmmakers of South Asian backgrounds. Monitor 6 presents 10 new works that explore the performance of gender in public and private spaces in South Asian cities and within close-knit diaspora communities and draw on personal narratives, family rituals and critiques of mass culture.

*Alistair MacLeod and Nino Ricci Reading in Memory of Dr. Suzanne Kaufmann*

January 30, 2011

MacLeod and Ricci wrote for the publication *Sense of Place: a Cross-Border Print Exhibition*

## LOANS from the Collection

Museum London: *Eric Atkinson: Drawings 1944 to 2010*

March 29 to June 30, 2010

Eric Atkinson (Canadian b. 1928)

*Mexico City* 1974, mixed media, ink and watercolour, 36.6 x 47.2 cm

Gift of Bridgit Atkinson, 1995

Eric Atkinson (Canadian b. 1928)  
*Sea God – Zapotec* 1974, mixed media, graphite, ink and gouache, 55.7 x 71.2 cm  
Gift of Bridgit Atkinson, 1995

Eric Atkinson (Canadian b. 1928)  
*Symbols Landscape* 1980, mixed media, gouache, muslin cloth and ink on paper, 29.5 x 37.3 cm  
Gift of Bridgit Atkinson, 1995

Eric Atkinson (Canadian b. 1928)  
*Scunthorpe Steelworks* 1953-54, ink and ink wash on paper, 31.2 x 19.6 cm  
Gift of Bridgit Atkinson, 1995

Museum London: *Mapping Medievalism at the Canadian Frontier*  
October 16 to January 16, 2011

Captain John Herbert Caddy (Canadian 1801-1883)  
*A European Lake Scene with Ruins* undated, watercolour and sepia ink over graphite on paper, 62.2 x 77.4 cm  
Purchase, McIntosh Estate Fund, 1982

Museum London: *Duncan deKergommeaux: These are the Marks I Make*  
April 9 to June 26, 2011

Duncan deKergommeaux (Canadian b. 1927)  
*Old Master Grid #2* 1979, acrylic and oil on canvas, 213.5 x 213.5 cm  
Gift of Duncan deKergommeaux, 2003

Duncan deKergommeaux (Canadian b. 1927)  
*Yellow/Red/Blue/Yellow* 1975, oil on canvas, 167.5 x 167.5 cm  
Gift of Duncan deKergommeaux, 2003

Duncan deKergommeaux (Canadian b. 1927)  
*Black and Blue #7* 1977 acrylic on canvas, 162.5 x 162.5 cm  
Gift of Duncan deKergommeaux, 2003

Duncan deKergommeaux (Canadian b. 1927)  
*Canadian Pittsburg M533, Raspberry Cream* 1973, acrylic on canvas 165 x 165 cm  
Gift of Duncan deKergommeaux, 2003

Duncan deKergommeaux (Canadian b. 1927)  
*Blue and White* 1976, oil on canvas, 164 x 164 cm  
Gift of Duncan deKergommeaux, 2003

Museum London: *Anatomy of a Collage: The Cut-out Works of Greg Curnoe 1965-1968*  
January 3 to April 29, 2011

Greg Curnoe (Canadian 1936-1992)  
*Moustache #4*, 3 December 1965, collage, stamp pad ink on paper, paint,  
Plexiglas, screws, cup washers, eye hook on wood, 20 x 38 cm  
Anonymous gift, 2007

Museum London: *Jack Chambers: The Light from the Darkness, Silver Paintings and Filmwork*, December 15-April 30, 2011

Jack Chambers (Canadian 1931-1978)  
*Middle I* 1966, aluminum paint on wood, 121.9 x 243.8 cm  
Gift of the Alumni Association, 1967

Jack Chambers (Canadian 1931-1978)  
*Middle I* (multiple, unframed) 1966, aluminum paint on wood, 121.9 x 243.8 cm  
Gift of the Alumni Association, 1967

Jack Chambers (Canadian 1931-1978)  
*Middle I* (multiple, framed) 1966, aluminum paint on wood, 30.2 X 60.7 cm  
Gift of Joan Walters & David Job in Memory of Dr. Jack H. Walters, UWO  
professor and graduate of Med '51, 2010

St. Thomas-Elgin Public Art Centre: *Clark McDougall: A Life on the Land* September 11  
to November 28, 2010

Clark McDougall (Canadian 1921-1980)  
*Charlie Rowe's Lane* 1963, oil on Masonite, 48.5 x 60.9 cm  
Purchase, Abbott Fund with assistance from Wintario, 1986

Clark McDougall (Canadian 1921-1980)  
*Bucke's Barn* 1978, silkscreen, 52 x 62.6 cm  
Gift of Barb and Jens Thielsen, 2007

Clark McDougall (Canadian 1921-1980)  
*Untitled Landscape* 1948, watercolour on paper, 40.7 x 51 cm  
Gift of Edwin R. Procunier, 1993

Clark McDougall (Canadian 1921-1980)  
*Near 13<sup>th</sup> Concession* 1978, silkscreen on paper, 48.5 x 60.9 cm  
Gift of Barb and Jens Thielsen, 2007

St. Thomas-Elgin Public Art Centre: *Colonel Talbot Comes Home*  
December 1-23, 2010

Colonel Richard Airey (1803 -1881)  
*Port Talbot, Canada West* 1847-1851, watercolour on paper, 24.2 x 36.5 cm  
Purchase, Library Collections, 1957

St. Thomas-Elgin Public Art Centre: *Eric Atkinson: A Survey*  
September 17-October 29, 2011

Eric Atkinson (Canadian b. 1928)  
*Floating Violet* 1979, acrylic and paper collage on canvas, 137.8 x 152.6 cm  
Gift of Kelly Mancari, 2000

Eric Atkinson (Canadian b. 1928)  
*Sand Barrens* 1981, acrylic, sand, pencil on canvas, 137.2 x 152.8 cm  
Purchase, Wintario Grant, 1982

Eric Atkinson (Canadian b. 1928)  
*Vikingland* 1993, acrylic and sand on canvas, 137 x 152.2 cm  
Gift of Muriel and Eric Atkinson, 2004

Eric Atkinson (Canadian b. 1928)  
*Mendelssohn Songlines* 2000, acrylic and sand on canvas,  
three panels 203.5 x 142.1 cm each  
Gift of Muriel and Eric Atkinson, 2004

The Canadian Medical Hall of Fame, London, Ontario

Frank de Bruin Valerius (Canadian b. 1922)  
*Portrait of Dr. Collip* 1960, oil on canvas, 59.7 x 49.5 cm  
Gift of the Faculty of Medicine, 1960

The Justina M. Barnicke Gallery, University of Toronto: *Traffic: Conceptual art in Canada 1965-1980*  
September 6, 2010 to September 9, 2012

Greg Curnoe (Canadian 1936-1992)



*List of Names of Boys I Grew Up With* 1962, ink on paper, (ink stamp and ball-point pen), 33 x 15.3 cm  
Gift of Owen Curnoe, 2002

Greg Curnoe (Canadian 1936-1992)  
*Four Carbons from "Wings Over the Atlantic # 7, 1970, 1970*, ink (stamp) on paper  
58.8 x 43.5 cm  
Gift of Zoe Curnoe, 2002

Robert Fones (Canadian b. 1949)  
*Leaf Collection* 1968, matchbooks assembled on card, 43 x 25 cm  
Gift of Zoe Curnoe, 2004

## Donors

Derek Aylen  
Barbara Bain  
Jack Behrens  
David Bentley  
Graeme & Elizabeth Bieman  
Greg Child  
Tim Child  
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Phyllis & Alan Cohen  
Marilyn & David Conklin  
Stephen Coxford  
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The Elliott Family, Toronto  
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Michael Gibson  
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David Job  
B. Dalin Jameson



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Jonathan Vance  
Bernice Vincent  
Joan Walters  
Amelia Wehlau  
Robert & Yvonne Westland  
Windsor Printmaker's Forum  
Jim Zuccherro

## McIntosh Committee

Joel Faflak, Chair  
David M.R. Bentley  
Tim Child  
Stephen R. Coxford  
Catherine Finlayson  
Joy James  
Julie McMullin  
David Merritt  
Linda T. Miller  
Jonathan F. Vance  
Catherine E. Wilkins  
Kelly Wood  
Janice Deakin (ex-officio)  
James Patten (ex-officio)

## Acquisitions Committee

Joel Flaflak  
Ian Tripp  
Madeline Lennon  
Tim Child  
Gail Lockyer  
Patrick Thibert  
Sarah Bassnett  
Matt Smith  
Catherine Finlayson

## Staff and Volunteers

Director/ Chief Curator: James Patten  
Curator: Catherine Elliot Shaw  
Collections Manager: Brian Lambert  
Office Administrator: Susan Skaith

### Work/Study Bursary Students:

Tiffany Asseltine  
Danya Atta, BA, Department of Psychology and Department of French, Brescia University College  
Rachel Bell, BA, Department of Visual Arts  
Nicole Borland, BA, Department of Visual Arts  
Jasmin Fisher, BA, Department of Visual Arts  
Mariyah Gonzales  
Lola (Rulah) Abdel Khaleq  
Akwasi Kumah, BSc, Department of Kinesiology  
Nirish Puri, HBA, Richard Ivey School of Business  
Ola Saleh, BA, Department of Modern Languages, King's University College  
Kendra Spurgeon, BA, Department of Visual Arts  
Sevil Vahdati, BSc, Department of Medicine  
Nina Youkhanna, BA, Department of Psychology, Huron University College

### Young Canada Works/ Canadian Museum Association Internships

Simon Bentley MA, Department of Visual Arts  
Hillary Walker Guban MA, Department of Visual Arts  
Nicole Borland, BA, Department of Visual Arts

## Volunteers

Sara Cowling

Jaspreet Gill, BFA, Department of Visual Arts; Bachelor of Education, Althouse College

Valda-Christine Glennie

Amber Illman

Kate Kim

June Kwon

Michael Materski

Biljana Rakic

Solafa Rawas

Pearl Seferian

Joe Snyder

Stephanie Stehr

Caroline Taylor, BA, Department of Psychology, Huron University College

Adrian Torrington

Gordon Vance, BA, Department of History

Gordon Wishart

**ITEMS REFERRED BY SENATE**

<b>Contents</b>	<b>Consent Agenda</b>
<b>Annual Update on Performance &amp; Activity Indicators Report of the</b>	<b>No</b>
<b>Academic Colleague</b>	<b>Yes</b>
<b>Academic Administrative Appointments</b>	<b>Yes</b>

FOR INFORMATION

1. **Annual Update on Performance & Activity Indicators** See **Annex 1**.

The annual report may also be found at:

[http://www.ipb.uwo.ca/documents/2011\\_performance\\_indicator.pdf](http://www.ipb.uwo.ca/documents/2011_performance_indicator.pdf)

2. **Report of the Academic Colleague** See **Annex 2**.

3. **Academic Administrative Appointments**

Faculty of Health Sciences

T. Overend, Director, School of Physical Therapy, July 1, 2009 – June 30, 2014 (extended for two years)

Faculty of Information & Media Studies

T. Carmichael, Dean, July 1, 2012 – June 30, 2018

Schulich School of Medicine & Dentistry

G. Cooper, Associate Dean, Windsor Program, September 1, 2011 – August 31, 2016

H. Sandhu, Director, Dentistry, July 1, 2011 – June 30, 2017

Western Libraries

C. Martin, Metadata Access, Library Information Resources Management, Acting Dept. Head, August 15, 2011 – August 12, 2012



*The University of Western Ontario*

**Performance and Activity Indicators**

**Annual Report to the Board of Governors**

**October 2011**



**This document is dedicated to Martin England, Director of Institutional Research and Senior Policy Advisor to the President, who passed away March 13, 2011. Marty started at Western in January 2004, after many years at the University of Toronto. He was the driving force behind the creation of this report, first produced in April 2005. His vision was a document that reported both strengths and weaknesses in areas of strategic importance to Western. Through his guidance and leadership, this document delivers an unbiased depiction of Western and is intended to assist the University develop and meet its priorities.**

## **President's Message**

Since 1995, the administration has presented the Board 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. This is the sixth annual report to give the presentation a more formal structure. These annual reports reproduce 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.

The report is 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 we are currently engaged with the government on the attributes of an enhanced accountability framework. At Western we are already well-positioned to respond to these calls, in the sense that our academic plans, budget plans, financial statements, and Board and Senate proceedings are already publicly available on a readily-accessible public accountability website.

In selecting a set of core 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 improvement is necessary in order to achieve our strategic plans 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 damage the reputation of another member institution. Therefore, Western's performance indicators compare us to the aggregate of the other member 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 scope of the G10DE continues to expand, and it holds promise for the development of additional benchmarking data in future. The G10 group was in 2006 expanded to include the University of Ottawa, the University of Calgary, and Dalhousie University: since that time the comparative indicators have been expanded gradually to include the larger G13 group as the three new members begin to provide data.

Western also participates in a number of American-based data exchange initiatives which can be used for comparison purposes:

- The Consortium for Student Retention Data Exchange (CSRDE)
- The Association of Research Libraries (ARL)
- 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 all of the central administrative offices in the data collection effort. Martin England and Ruban Chelladurai were 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 and 2**

**Data Source:** Ontario University 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. Figure 1 shows the average for first-year registrants at Western as compared to the aggregate of all Ontario universities.

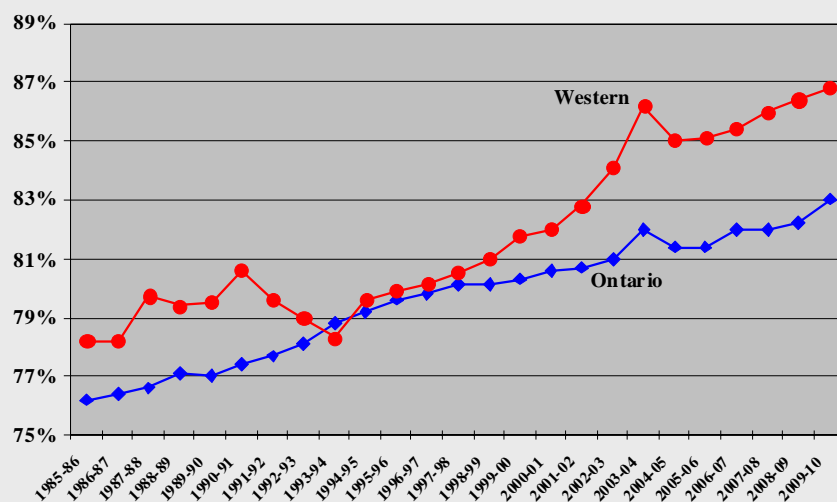
**Relation to Strategic Plan:** Commitment 1.2, Excellence: we aspire in our teaching and research to academic excellence that is recognized nationally and internationally. We set high standards for the recruitment and performance of our faculty, staff, and students.

**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 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 2009-10, entering average grades for Western continued to be nearly 4 percentage points higher than the aggregate of other Ontario universities.

The long-term trend is particularly pronounced at the highest end of the grade scale: Western's share of all Ontario secondary school applicants with averages of 85 percent or better has increased by over 50 percent, from under 6 percent of the provincial total in 1996-97 to well over 9 percent in 2009-10.

Figure 1

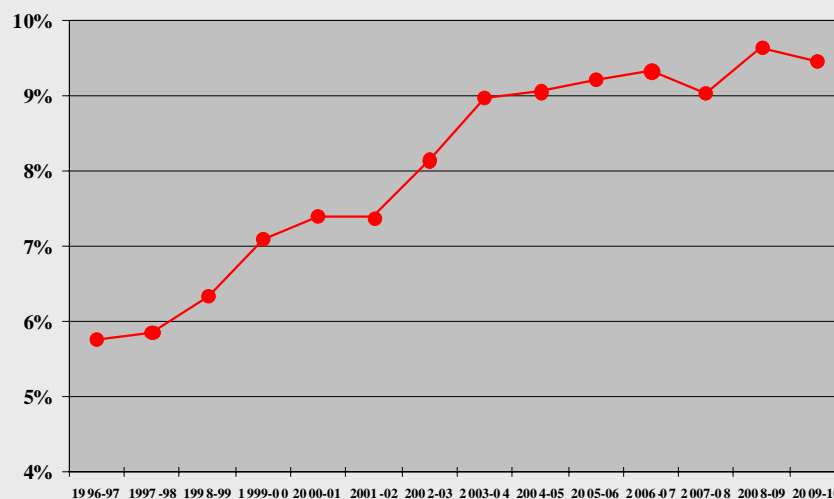
### Average Entering Grades of New Full-Time First-Year Ontario Secondary School Students



Source: Council of Ontario Universities and The University of Western Ontario

Figure 2

### Western's Share of All First Choice Ontario Secondary School Applicants with Entering Grades of 85%+



Source: Council of Ontario Universities and The University of Western Ontario

## Out-of-Province and International Students

### Figures 3 and 4

**Data Source:** Ontario University Applications Centre (OUAC)

**Calculation of Indicator:** The proportion of Western's first time, first-year registrants in direct entry programs from out-of-Province and out-of-country are compared to the proportion of these first time registrants for the aggregate of all Ontario's universities.

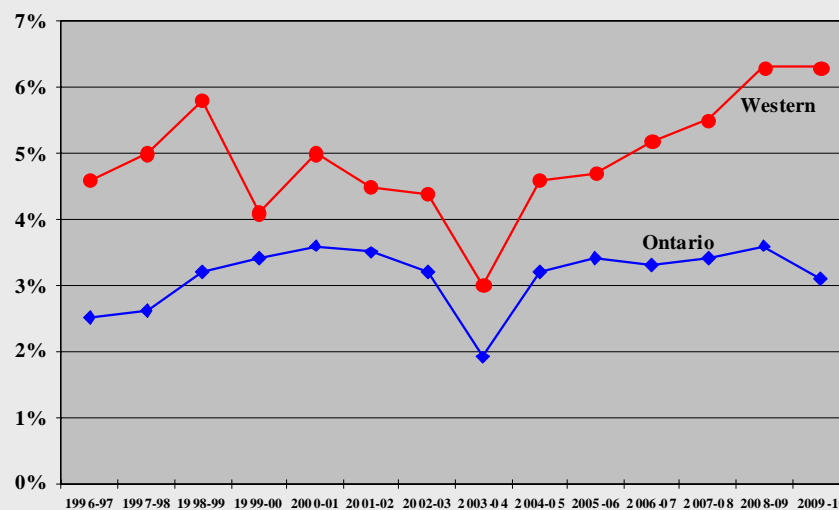
**Relation to Strategic Plan:** Commitment 1.2, Excellence: we aspire in our teaching and research to academic excellence that is recognized nationally and internationally. We set high standards for the recruitment and performance of our faculty, staff, and students.

**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 2009-10 has now surpassed the recent historical high achieved in 1997-98. Western's intake of out-of-Province students is now more than double the aggregate for other Ontario universities.

Conversely, Western's proportion of first-year students from other countries remains below the provincial average, and considerably below the recent historical peak of 7 percent of the incoming class. The Premier of Ontario has recently expressed an aspiration for much higher levels of international enrolment: a 50 percent increase over the next five years. Western shares this aspiration, and has developed an array of strategies to achieve significant growth.

Figure 3

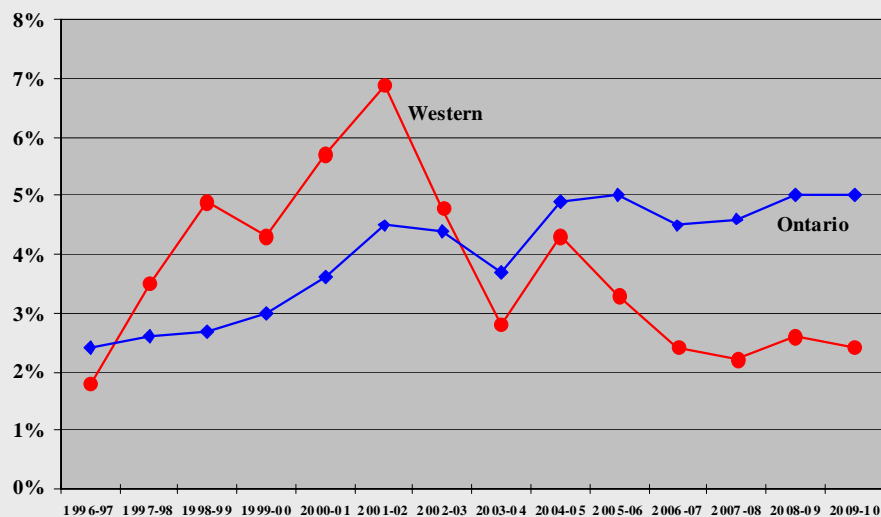
### Proportion of First-Year Students from Other Canadian Provinces



Source: Council of Ontario Universities and The University of Western Ontario

Figure 4

### Proportion of First-Year Students from Other Countries



Source: Council of Ontario Universities and The University of Western Ontario

## Undergraduate Student Retention Rates

### Figures 5 and 6

**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:** Commitment 12.3: Urge the Higher Education Quality Council of Ontario to approach university accountability in a manner that supports institutional diversity and autonomy, and to use the best of existing measures of university quality and performance, including ... the Consortium for Student Retention Data Exchange (CSRDE).

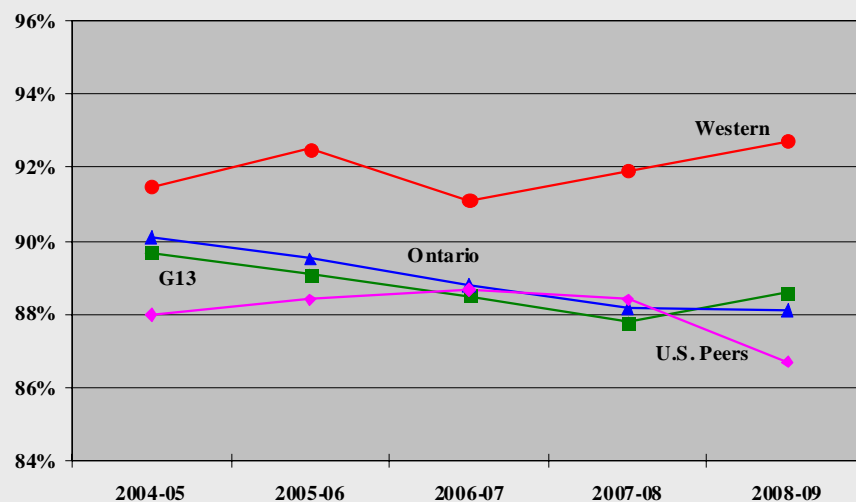
**Commentary:** In the 2010 reporting cycle, all Ontario universities and twelve of the G13 universities participated in the CSRDE – permitting meaningful comparison of retention rates across institutions.

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

Western compares favourably in year 1 retention rates with other Canadian institutions, and considerably exceeds the rates experienced by our American peer institutions. Within the G13 group, only Queen's achieves higher year 1 to year 2 retention rates.

Figure 5

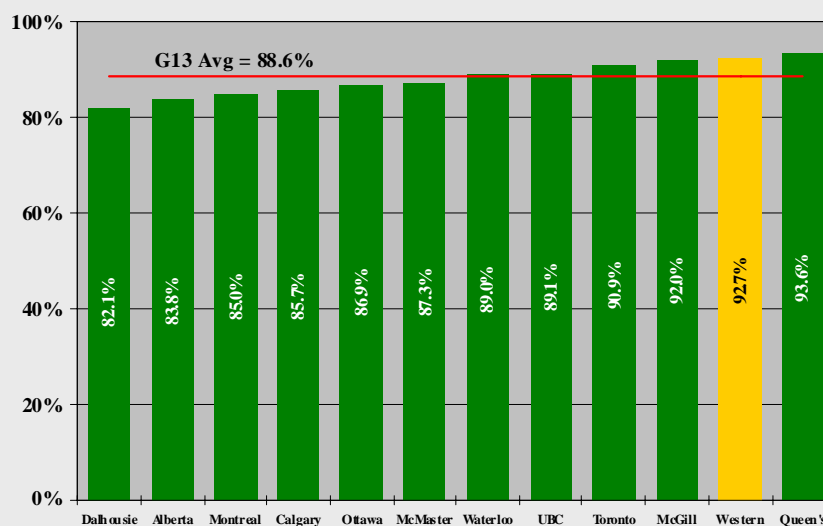
Year 1 to Year 2 Retention Rates  
2004-05 to 2008-09 Entering Cohorts



Source: July 2010 CSRD Peer Institutional Reports. U.S. Peers include the University of Arizona, University of Iowa, Michigan State University, University of North Carolina at Chapel Hill, and Ohio State University

Figure 6

G13 Universities: Year 1 to Year 2 Retention Rates  
2008-09 Entering Cohort



Source: July 2010 CSRD Peer Institutional Reports



## Undergraduate Student Graduation Rates

### Figures 7 and 8

**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.

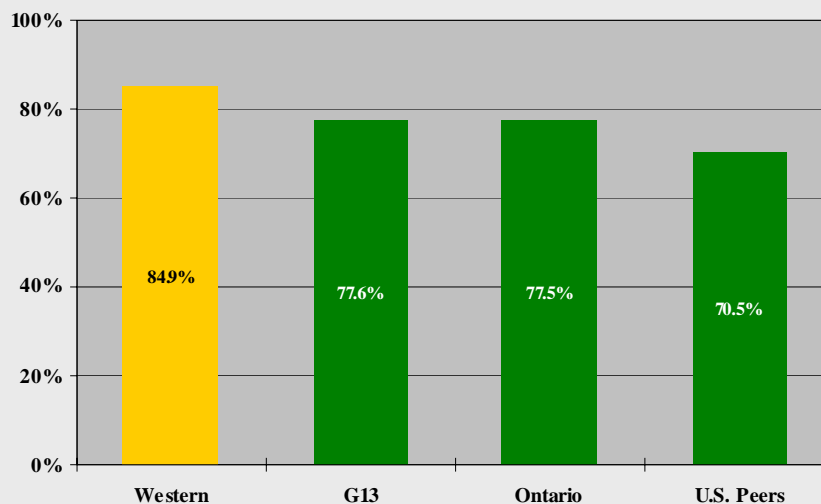
**Relation to Strategic Plan:** Commitment 12.3: Urge the Higher Education Quality Council of Ontario to approach university accountability in a manner that supports institutional diversity and autonomy, and to use the best of existing measures of university quality and performance, including ... the Consortium for Student Retention Data Exchange (CSRDE).

**Commentary:** In the 2010 reporting cycle, all Ontario universities and twelve of the G13 universities participated in the CSRDE – permitting meaningful comparison of graduation rates across institutions.

Western's six-year graduation rate is higher than the G13 average, the Ontario average, and the average for U.S. peer institutions. Within the G13 group, Western's graduation rate is at the higher end of the range – but notably lower than Queen's.

Figure 7

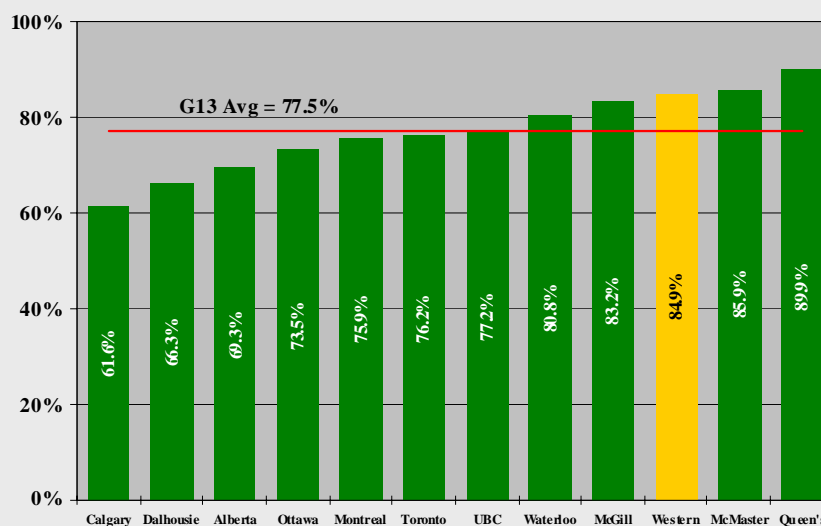
### Undergraduate Student Graduation Rates 2003-04 Entering Cohort Six Years After Entry



Source: July 2010 CSRD Peer Institutional Reports. U.S. Peers include the University of Arizona, University of Iowa, Michigan State University, University of North Carolina at Chapel Hill, and Ohio State University.

Figure 8

### G13 Universities: Undergraduate Student Graduation Rates 2003-04 Entering Cohort -- Six Years After Entry



Source: July 2010 CSRD Peer Institutional Reports

## Proportion of First-Year Students in Residence

### Figure 9

**Data Source:** The University of Western Ontario

**Calculation of Indicator:** The number of full-time, first-year students living in Western student residences expressed as a percentage of the full-time first-year student population.

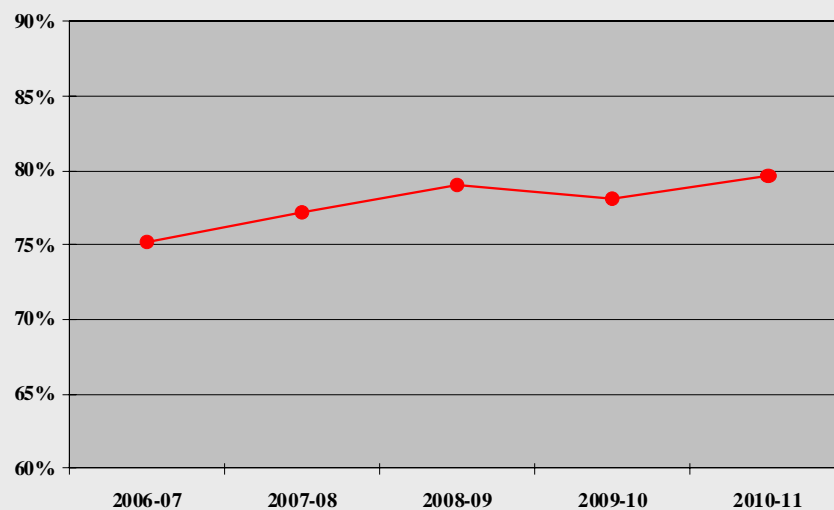
**Relation to Strategic Plan:** Commitment 2.3: Maintain the Western guarantees with regard to a first-year residence room, choices for first-year courses, and our financial commitment that no undergraduate student will be denied access or the ability to complete a degree because of financial need.

**Commentary:** One of the hallmarks of the Western undergraduate experience is the commitment to an offer of a residence place for all first-year students. This has become increasingly important to prospective students and their parents because of the compressed Ontario secondary school curriculum and the resulting younger postsecondary incoming class.

Through the construction of new residences and effective use of existing residences, the proportion of first-year students in residence has increased slightly to nearly 80 percent.

Figure 9

Percent of Full-Time First-Year Students in Residence at Western



Source: The University of Western Ontario

## **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 undergraduate students are invited to submit a course evaluation. Students grade their course experience on a variety of measures, on a scale of 1 (poor) to 7 (outstanding). The indicator summarizes five years of these student evaluations of their course instructor's effectiveness.

**Relation to Strategic Plan:** Chapter 2: Enhancing the Undergraduate Student Experience. A significant component of the high level of student and alumni satisfaction is the strong interaction among students, faculty, and staff and the feeling of students that faculty and staff take a personal interest in them. Maintaining that interaction will set limits on the future growth of the University at the undergraduate level.

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

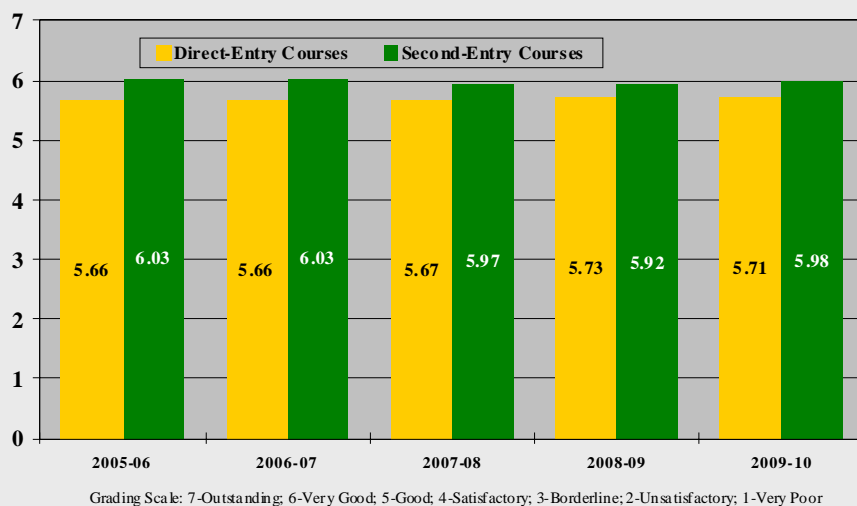
**Data Source for Figure 11:** Exit survey of all undergraduate students at time of graduation.

**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 a five-year 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 over the past five years.

Figure 10

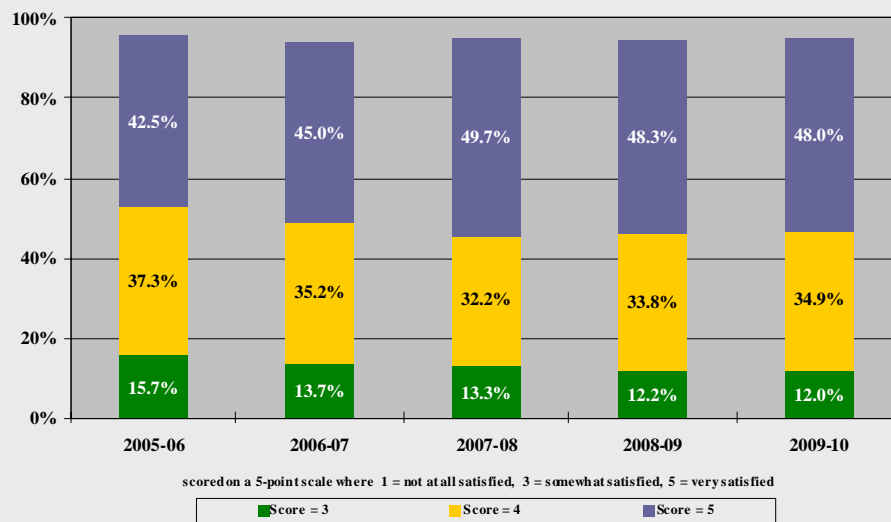
### Western's Instructor and Course Evaluations Ratings of Effectiveness of the Instructor



Source: The University of Western Ontario

Figure 11

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



Source: The University of Western Ontario

## Undergraduate Student Engagement

### Figures 12 through 16

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

**Calculation of Indicator:** In the Spring of 2008, over 40 Canadian universities, including Western, elected to participate in the National Survey of Student Engagement (NSSE) administered through Indiana University. The NSSE survey, it must be emphasized, is not a student satisfaction survey, but rather an attempt to measure the extent to which students are involved in campus life and their academic program. Student responses are segregated between first-year and senior-year students in direct-entry undergraduate programs.

**Relation to Strategic Plan:** Commitment 2.12: Use ongoing involvement in NSSE to establish additional benchmarks for performance in student-related activities and services and measures of Western's success.

**Commentary:** The NSSE survey contains a very large and rich source of information about the student experience. The 2008 survey marks the third administration at Western, following 2004 and 2006. The survey will be administered again in early 2011, and the results will be available in August 2011.

The major challenge faced by universities in using the NSSE results is to focus upon the particular areas of student response that represent, for the individual institution itself, priorities for the maintenance and improvement of the student experience.

The NSSE Institute provides each participating institution with a benchmark report which groups and aggregates responses to individual questions into five benchmarks:

- Level of Academic Challenge
- Active and Collaborative Learning
- Student-Faculty Interaction
- Enriching Educational Experiences
- Supportive Campus Environment

In the charts which follow, Western's benchmark scores in these five areas are presented for each of the three years in which the survey was administered to display changes over time. The 2008 results for Western are also compared to the aggregate for all Ontario universities, for all G13 universities, and the aggregate for all American universities in the Carnegie Foundation's category of highly research-intensive universities.



## NSSE: Level of Academic Challenge

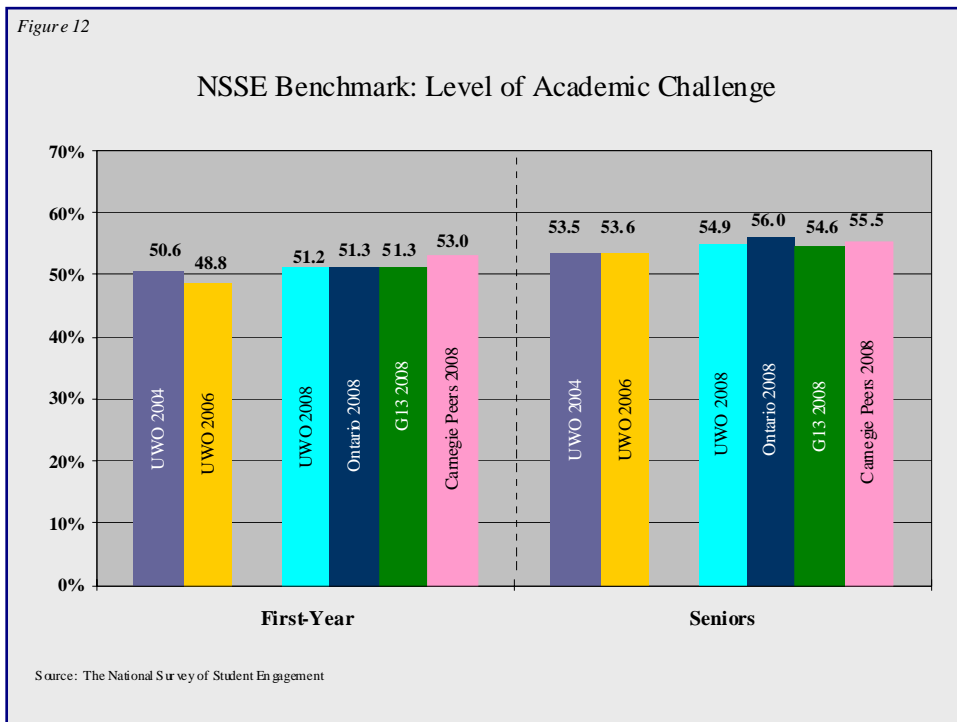
Figure 12

**Calculation of the Benchmark:** This benchmark combines student responses to the following group of questions:

- Preparing for class (studying, reading, writing, doing homework or lab work, etc. related to academic program)
- Number of assigned textbooks, books, or book-length packs of course readings
- Number of written papers or reports of 20 pages or more; number of written papers or reports of between 5 and 19 pages; and number of written papers or reports of fewer than 5 pages
- Coursework emphasizes: Analysis of the basic elements of an idea, experience or theory
- Coursework emphasizes: Synthesis and organizing of ideas, information, or experiences into new, more complex interpretations and relationships
- Coursework emphasizes: Making of judgments about the value of information, arguments, or methods
- Coursework emphasizes: Applying theories or concepts to practical problems or in new situations
- Working harder than you thought you could to meet an instructor's standards or expectations
- Campus environment emphasizes: Spending significant amount of time studying and on academic work.

**Commentary:** There has been a slight improvement in Western's benchmark score between 2004 and 2008. For this particular indicator, the results are very tightly grouped for Western and its comparator groups.

Figure 12



## NSSE: Active and Collaborative Learning

### Figure 13

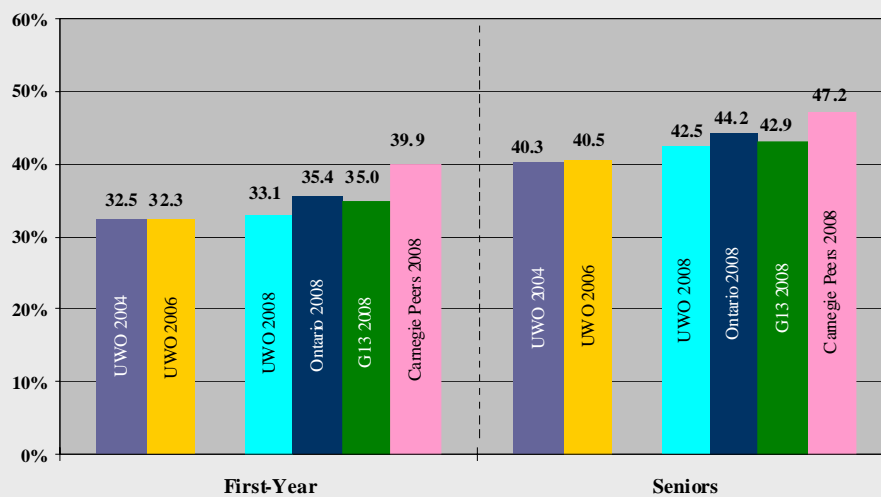
**Calculation of the Benchmark:** This benchmark combines student responses to the following group of questions:

- Asked questions in class or contributed to class discussions
- Made a class presentation
- Worked with other students on projects during class
- Worked with classmates outside of class to prepare class assignments
- Tutored or taught other students (paid or voluntary)
- Participated in a community-based project (e.g., service learning) as part of a regular course
- Discussed ideas from your readings or classes with others outside of class (students, family members, co-workers, etc.)

**Commentary:** There has been a slight improvement in Western's benchmark score between 2004 and 2008, more so at the level of fourth-year students. For this particular indicator, Western underperforms its comparator groups. The gap is most pronounced between Western and its U.S. peer comparators.

Figure 13

### NSSE Benchmark: Active and Collaborative Learning



Source: The National Survey of Student Engagement

## NSSE: Student-Faculty Interaction

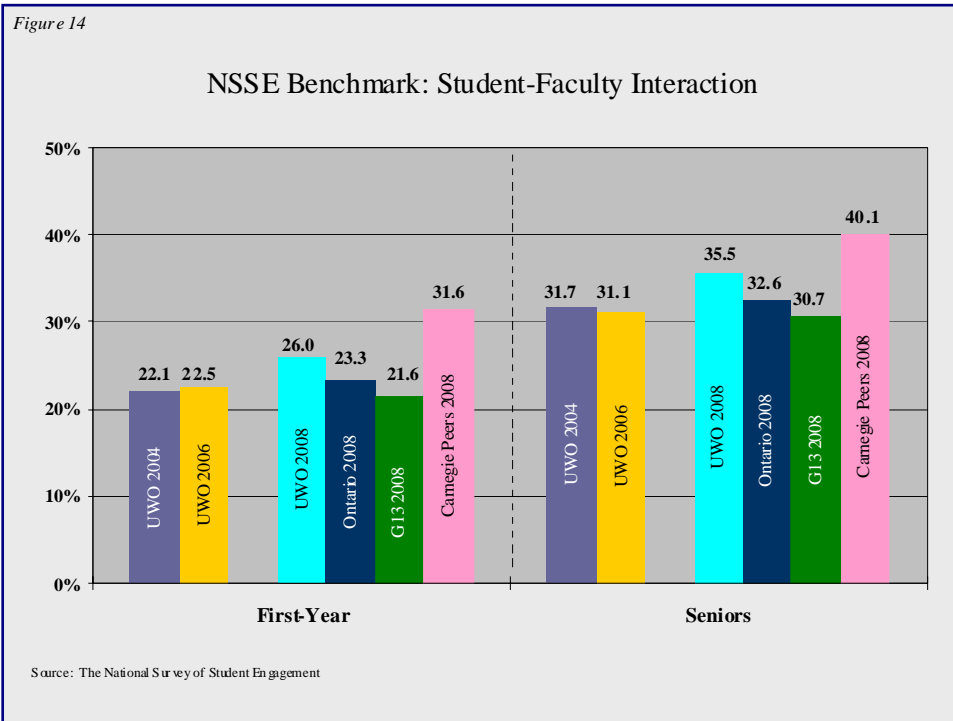
Figure 14

**Calculation of the Benchmark:** This benchmark combines student responses to the following group of questions:

- Discussed grades or assignments with an instructor
- Talked about career plans with a faculty member or advisor
- Discussed ideas from your readings or classes with faculty members outside of class
- Worked with faculty members on activities other than coursework (committees, orientation, student-life activities, etc.)
- Received prompt written or oral feedback from faculty on your academic performance
- Worked on a research project with a faculty member outside of course or program requirements

**Commentary:** Of the five benchmark scores, this is the one in which Western has achieved the greatest improvement since 2004, and one area in which we significantly outperform our Canadian peer institution. Intuitively one might attribute this improvement to two factors: Western's decision to limit undergraduate intake, and increased faculty hiring arising from recent Provincial Government investments in postsecondary education.

At the same time, this is the benchmark area in which we lag significantly behind our peer institutions in the U.S., in all likelihood due to better student-faculty ratios prevailing at those institutions.



## NSSE: Enriching Educational Experiences

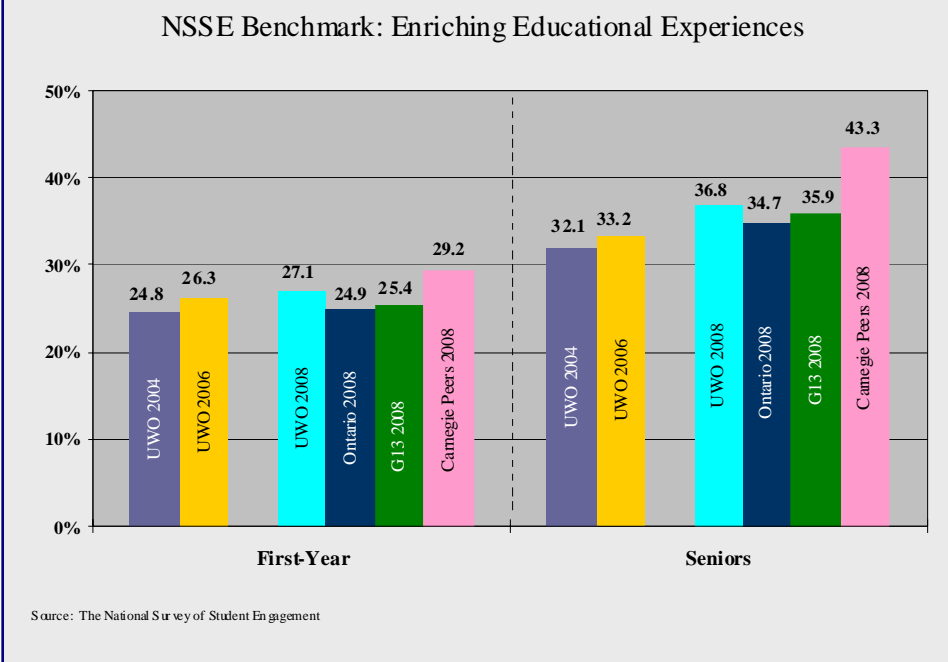
### Figure 15

**Calculation of the Benchmark:** This benchmark combines student responses to the following group of questions:

- Participating in co-curricular activities (organizations, campus publications, student government, social fraternity or sorority, etc.)
- Practicum, internship, field experience, co-op experience, or clinical assignment
- Community service or volunteer work
- Foreign language coursework / Study abroad
- Independent study or self-designed major
- Culminating senior experience (capstone course, senior project or thesis, comprehensive exam, etc.)
- Serious conversations with students of different religious beliefs, political opinions, or personal values
- Serious conversations with students of a different race or ethnicity than your own
- Using electronic medium (e.g., listserv, chat group, Internet, instant messaging, etc.) to discuss or complete an assignment
- Campus environment encouraging contact among students from different economic, social, and racial or ethnic backgrounds
- Participate in a learning community or some other formal program where groups of students take two or more classes together

**Commentary:** Western has achieved improvement in this benchmark since 2004, and we outperform our Canadian peer institutions. However, we lag significantly behind our peer institutions in the U.S.

Figure 15





## NSSE: Supportive Campus Environment

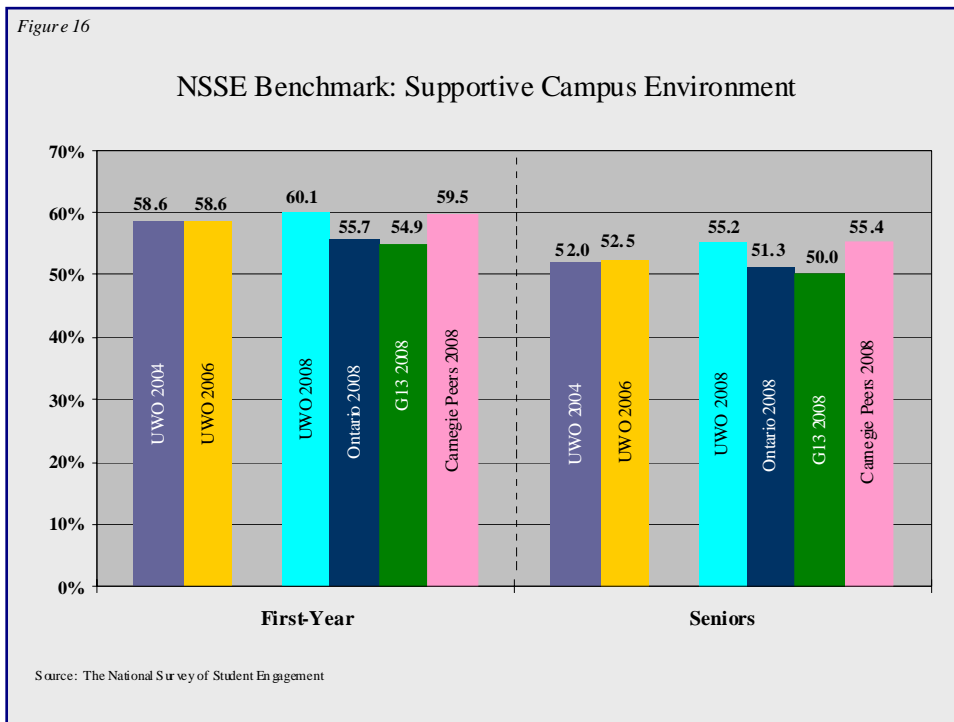
### Figure 16

**Calculation of the Benchmark:** This benchmark combines student responses to the following group of questions:

- Campus environment provides the support you need to help you succeed academically
- Campus environment helps you cope with your non-academic responsibilities (work, family, etc.)
- Campus environment provides the support you need to thrive socially
- Quality of relationships with other students
- Quality of relationships with faculty members
- Quality of relationships with administrative personnel and offices

**Commentary:** In this benchmark Western outperforms its Canadian peers and equals the performance of its U.S. peers.

Figure 16



## Student Aid Funding at Western

### Figure 17

**Data Source:** The University of Western Ontario

**Calculation of Indicator:** Total operating budget expenditures for student aid divided by total full-time equivalent (FTE) enrolment, 1999-2000 through 2009-10. Expenditures from the central budget are presented separately from expenditures from Faculty budgets and from student aid provided from gifts and endowments.

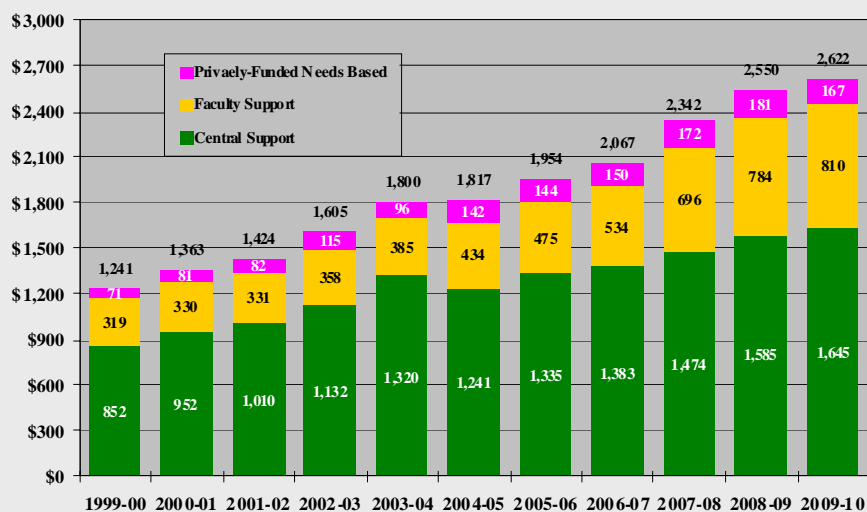
**Relation to Strategic Plan:** Commitment 2.3: Maintain the Western guarantees with regard to a first-year residence room, choices for first-year courses, and our financial commitment that no undergraduate student will be denied access or the ability to complete a degree because of financial need.

**Commentary:** Commencing in 1996-97 Ontario universities were required to set aside 30 percent of revenues arising from tuition rate increases for needs-based student aid. This requirement was removed in 2006-07, but this has not diminished the resources Western devotes to student aid. Historically, Western has exceeded this requirement. Ontario's universities continue to work with the Provincial Government on the implementation of a Province-wide 'Student Access Guarantee' which will better integrate student aid from institutional and Provincial sources.

In satisfaction of the student aid policy, Western's per-student expenditure for student aid has more than doubled from \$1,241 per FTE student in 1999-2000 to over \$2,600 per FTE student in 2009-10. Efforts to further increase student aid will continue through Western's current fundraising campaign, and the Province has re-instituted the requirement, effective with 2010-11, that 10 percent of incremental tuition revenue be earmarked for student aid.

Figure 17

### Student Aid Funding from the Operating Budget per FTE Student at Western



Source: The University of Western Ontario

## Student Debt

### Figure 18

**Data Source:** Western's exit survey of all undergraduate students at time of graduation

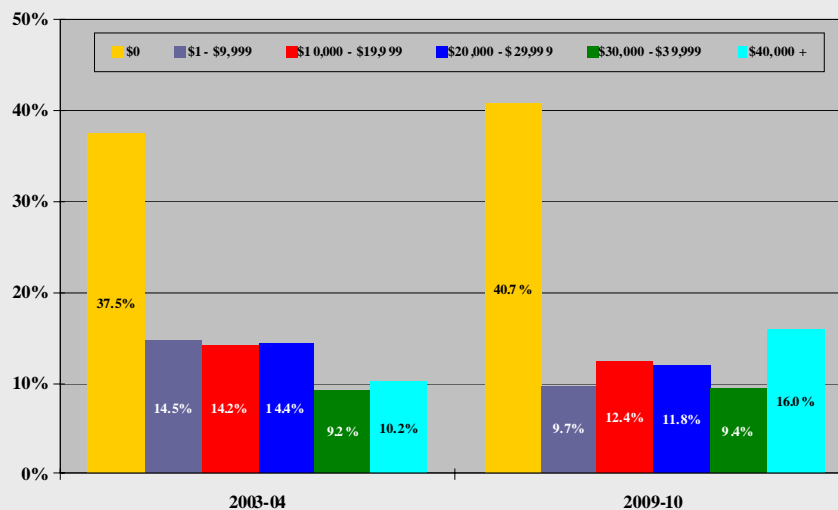
**Calculation of Indicator:** All undergraduate students, including students in second-entry undergraduate programs, are asked to report on the level of education-related debt they have accumulated at the time of graduation. Reported debt is presented for the 2003-04 and 2009-10 graduating classes.

**Relation to Strategic Plan:** Commitment 2.3: Maintain the Western guarantees with regard to a first-year residence room, choices for first-year courses, and our financial commitment that no undergraduate student will be denied access or the ability to complete a degree because of financial need.

**Commentary:** The analysis indicates that the majority of Western's undergraduates continue to graduate with debt less than \$10,000, and the proportion who graduate with no reported debt has increased to over 40 percent of the total. However, there has been an increase in the number of graduates with debt in excess of \$40,000. This latter group of students are primarily from second-entry professional programs.

Figure 18

### Education-Related Debt at Graduation Western Graduates from Undergraduate Programs



Source: The University of Western Ontario

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

**Figure 19**

**Data Source:** University of Western Ontario

**Calculation of Indicator:** First-time, full-time international Masters and PhD students as a percentage of all first-time, full-time Masters and PhD students.

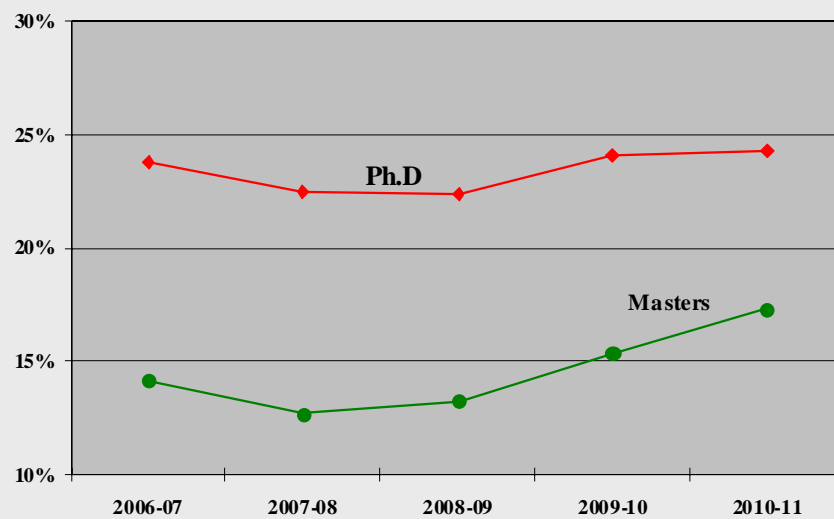
**Relation to Strategic Plan:** Commitment 1.2, Excellence: we aspire in our teaching and research to academic excellence that is recognized nationally and internationally. We set high standards for the recruitment and performance of our faculty, staff, and students.

Commitment 3.1: Double the number of PhD students and significantly increase Masters-level students at Western from the base-line of 2000-01 by 2010-11, and continue a strong rate of graduate expansion thereafter.

**Commentary:** Demand is very strong for access to our graduate programs from international students. The absolute number of international graduate students has increased steadily over the past five years, and in proportional terms approximately 17 percent of Masters and 24 percent of doctoral students are from other countries. This is occurring at the same time as a significant expansion of domestic graduate student enrolment funded by the Province.

Figure 19

Proportion of Full-Time Graduate Students from Other Countries



Source: The University of Western Ontario



## Graduate Student Enrolment as a Proportion of Total Enrolment

Figure 20

**Data Source:** G13 Data Exchange

**Calculation of Indicator:** For each of the G13 universities, fall full-time headcount enrolments for Masters and Doctoral students are expressed as a percentage of total fall full-time headcount enrolment.

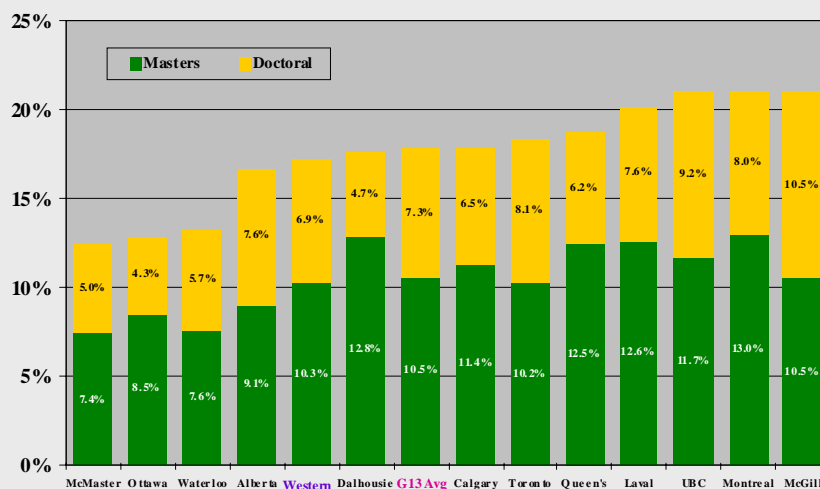
**Relation to Strategic Plan:** Commitment 3.1: Double the number of PhD students and significantly increase Masters-level students at Western from the base-line of 2000-01 by 2010-11, and continue a strong rate of graduate expansion thereafter.

**Commentary:** Western has established the priority to double its doctoral enrolment over the ten-year period commencing in 2001. Western's doctoral enrolment currently stands at 6.9 percent of total enrolment, whereas UBC and McGill are in the 9 to 10 percent range. This comparison puts the doubling objective into context: if Western attains this objective, we will enjoy an enrolment balance comparable to other leading research universities.

The Ontario Ministry of Training, Colleges, and Universities has allocated additional graduate capacity among Ontario's universities on a competitive basis. The allocations were highly differential among institutions, and just over 15 percent of the additional places were awarded to Western, second only to the University of Toronto. If we achieve the assigned capacity targets by 2011-12, Western's graduate enrolment will increase to 17.6 percent of total enrolment (7.3 percent at the PhD level), moving us closer to the front ranks within the G13.

Figure 20

### Full-Time Masters and Doctoral Students as a Proportion of Total Full-Time Student Enrolment 2009-10



Source: G13 Data Exchange

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

### Figures 21 and 22

**Data Source:** G13 Data Exchange

**Calculation of Indicator:** In order to accurately measure the completion rates and time-to-completion for students in doctoral programs, the G13 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 1996 through 2000 entering cohorts.

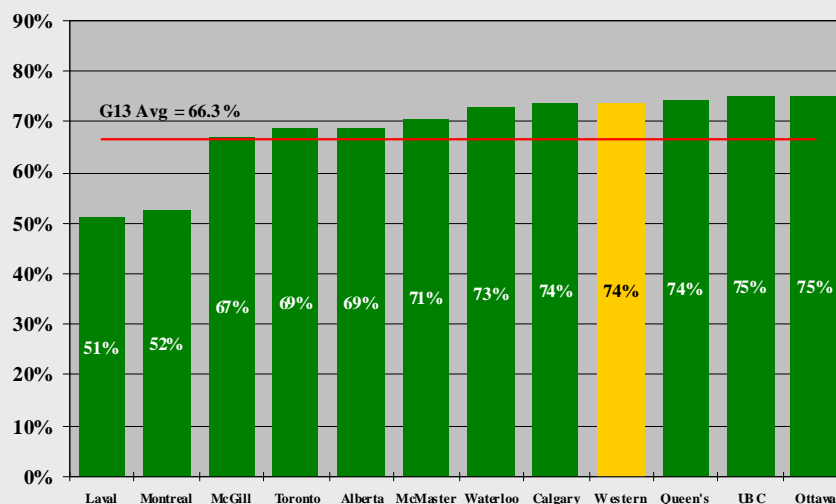
**Relation to Strategic Plan:** Commitment 3.11: Monitor our progress through the continued benchmarking of graduate student aid, completion rates and time-to-completion, and graduate student satisfaction.

**Commentary:** Over 70 percent of Western's doctoral students successfully complete the PhD, taking an average of under five years to do so. Both indicators for Western are better than the G13 average, and both are improving over time. As Western proceeds with expansion of doctoral enrolment, 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 21

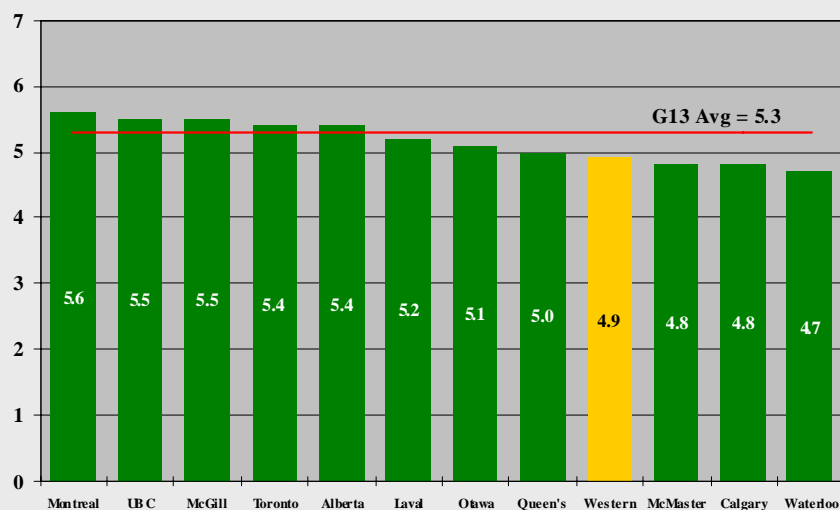
### Doctoral Degree Completion Rates 1996-2000 Entering Cohorts – All Disciplines at Nine Years After Entry



Source: G13 Data Exchange. UBC and Laval data are for 1996, 1997, 1998 and 1999 only. Ottawa data are for 1999 and 2000 only

Figure 22

### Average Number of Years to Doctoral Degree Completion 1996-2000 Entering Cohorts – All Disciplines



Source: G13 Data Exchange. UBC and Laval data are for 1996, 1997, 1998 and 1999 only. Ottawa data are for 1999 and 2000 only

## Graduate Student Satisfaction

### Figures 23 to 26

**Data Source:** Graduate and Professional Student Survey

**Calculation of Indicator:** In January through April 2010 Western, along with thirty-seven other Canadian universities, administered the Graduate and Professional Student Survey to all graduate students, excluding those enrolled in the MBA program. This survey was originally designed and administered by the Massachusetts Institute of Technology, and has been adapted for Canadian use. It assesses student satisfaction in all areas of the graduate student experience. The survey has been administered in 2005, 2007, and 2010.

**Relation to Strategic Plan:** Commitment 3.11: Monitor our progress through the continued benchmarking of graduate student aid, completion rates and time-to-completion, and graduate student satisfaction.

**Commentary:** The survey results indicate a very high level of satisfaction on the part of graduate students with most aspects of the Western experience. For PhD students there has been a sustained improvement in the overall quality of the student experience, and in the quality of the student life experience. Students reported an increase in the quality of the academic experience and in the quality of their program from 2005 through 2007, but indicated a slight decline in these two measures from 2007 through 2010.

Masters students reported an increase in all aspects of their experience from 2005 through 2010.

When asked a series of questions concerning their willingness to recommend graduate studies at Western to others, or to enrol in their program if they were to start over again, the response trends were mixed for both Masters and PhD students. The strongest positive responses were to the question ‘If you were to start again, would you select this same program’.

Figure 23

### Graduate Student Survey Results at Western: Ph.D % Responses Very Good or Excellent

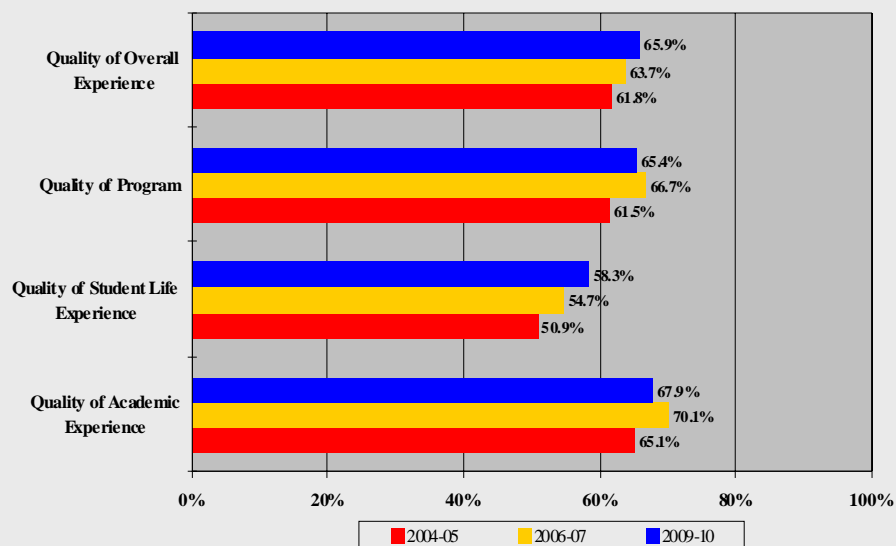
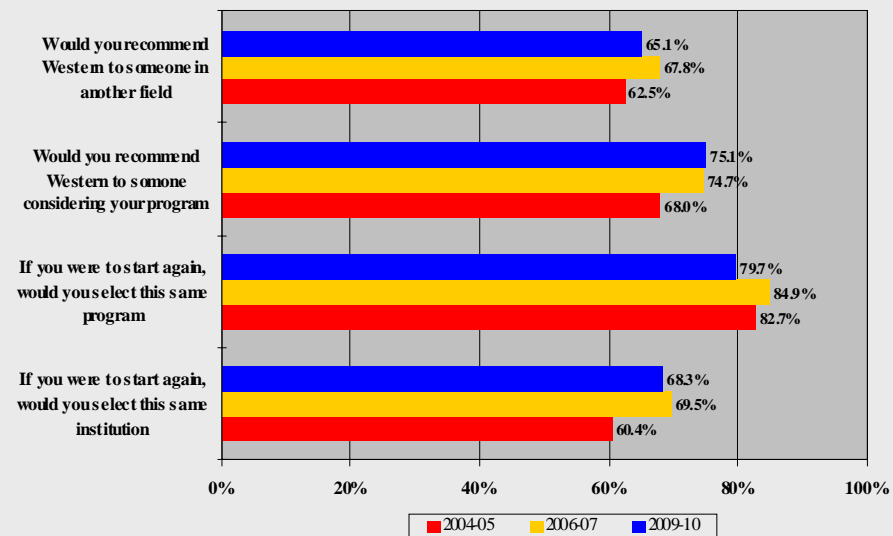


Figure 24

### Graduate Student Survey Results at Western: Ph.D % Responses Probably or Definitely



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Figure 25

### Graduate Student Survey Results at Western: Masters % Responses Very Good or Excellent

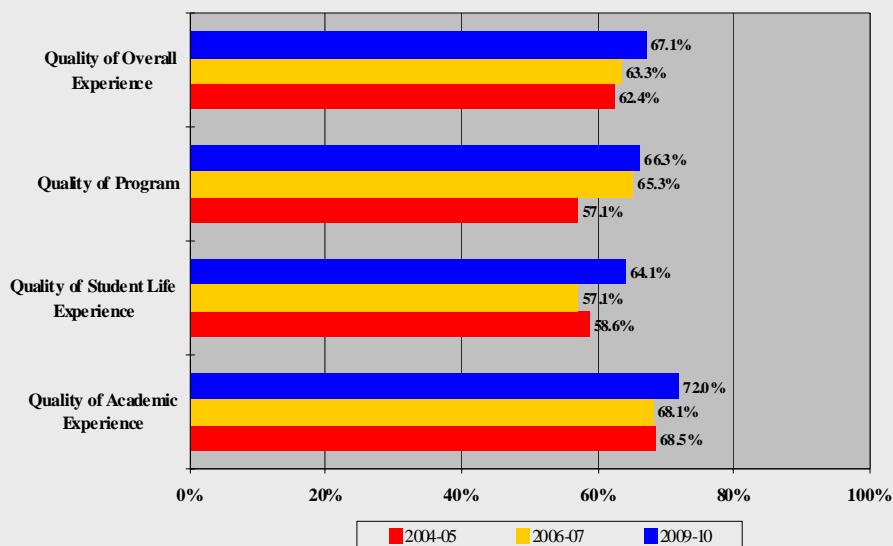
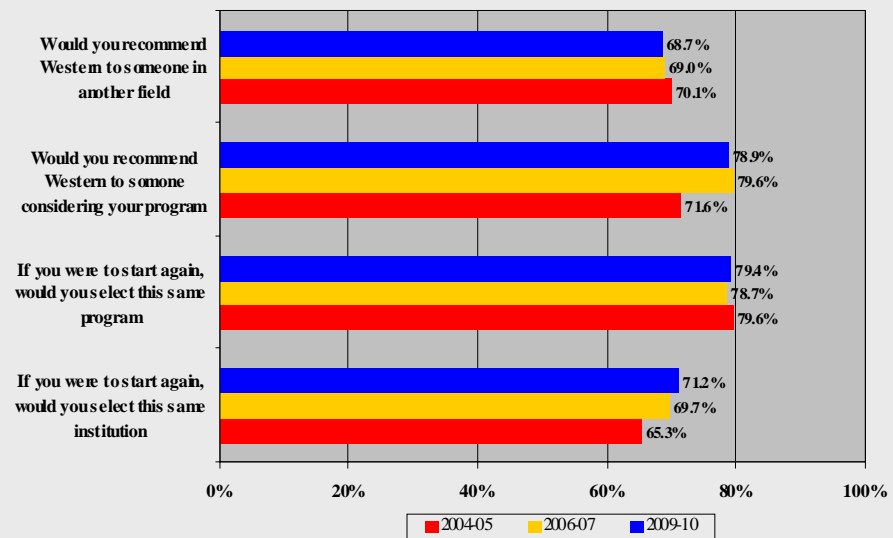


Figure 26

### Graduate Student Survey Results at Western: Masters % Responses Probably or Definitely





## Average Financial Support per Masters and Doctoral Student

### Figures 27 and 28

**Data Source:** G13 Data Exchange

**Calculation of Indicator:** The G13 institutions have submitted a record-level file of all student support provided to its masters and doctoral students for the 2008-09 academic year. The data exchange has noted certain problems of data comparability in the medical sciences, and has thus excluded them from the analysis.

**Relation to Strategic Plan:** Commitment 3.3: Ensure competitive levels of graduate student financial support from internal and external sources.

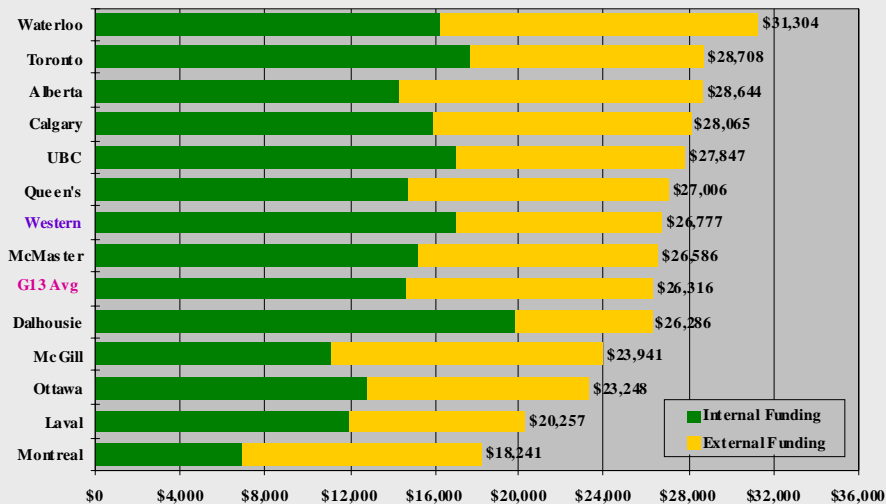
**Commentary:** In order to realize its plans to significantly increase doctoral enrolment, Western must offer a competitive package of financial support to prospective students. The data indicate that Western's total support, both from internal and external sources, is competitive among the leading research universities, but that Western provides a lower proportion of its support from external sources.

Ontario's universities have been engaged in ongoing discussions with the Provincial Government concerning the need to substantially expand the Ontario Graduate Scholarship program to assist the universities in meeting graduate expansion targets. These efforts have succeeded, with the announcement in the 2010 Provincial Budget of an additional 1,000 Ontario Graduate Scholarships commencing in 2011.

Similarly, the Association of Universities and Colleges of Canada (AUCC) has established enhanced fellowship and research assistantship support as a high priority in Federal Government advocacy.

Figure 27

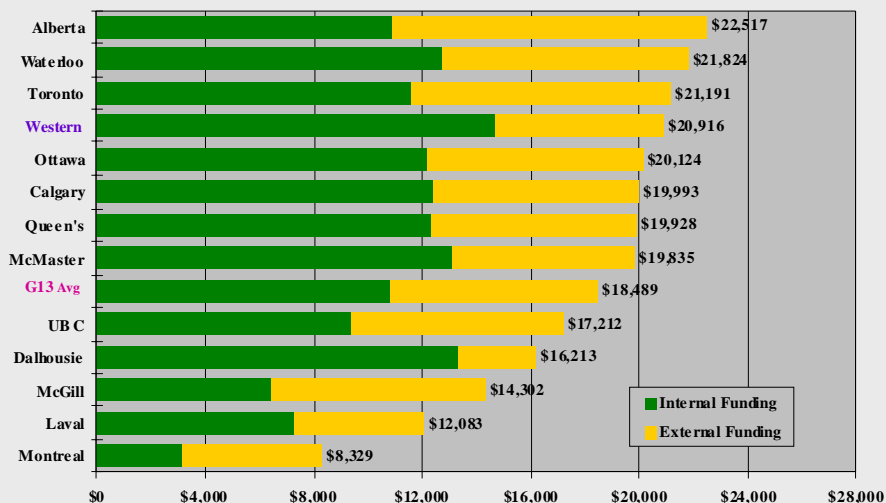
Average Financial Support per Doctoral Recipient  
in All Programs (Excluding Medical Science Programs)  
2009-10



Source: G13 Data Exchange

Figure 28

Average Financial Support per Masters Recipient  
in All Programs (Excluding Medical Science Programs)  
2009-10



Source: G13 Data Exchange

## Graduate Student Support from Federal Granting Councils

### Figures 29 through 31

**Data Source:** Awards data from the three federal granting councils for the years 2007-08 through 2009-10 have been compiled for the G13 by the Observatoire des Sciences et des Technologies. Graduate enrolment data has been provided from the G13 data exchange for the academic year 2009-10.

**Calculation of Indicator:** The average number of fellowships from the three federal granting councils are expressed as a percentage of the total graduate student population (masters and doctoral) at each of the G13 institutions. The graduate enrolments for each institution have been subdivided into the three granting council categories for the analysis: engineering and physical sciences (NSERC); humanities and social sciences (SSHRC); and health sciences (CIHR).

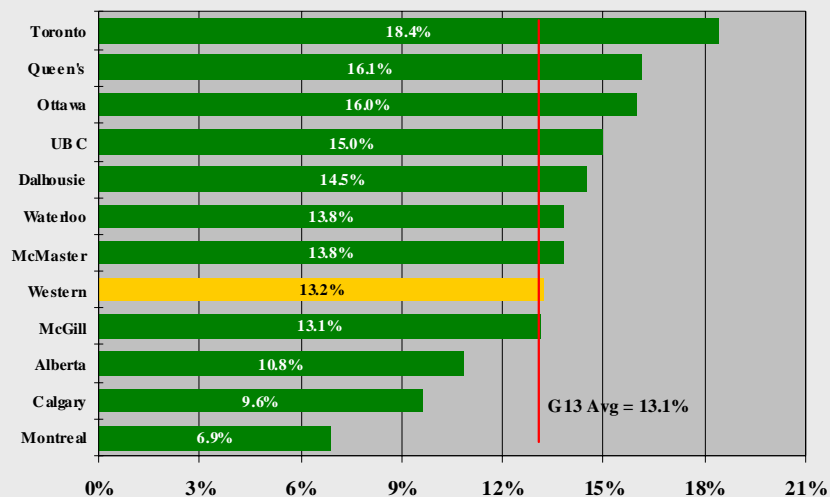
**Relation to Strategic Plan:** Commitment 3.2: Stimulate recruitment through ensuring and promoting the quality and value of Western's graduate programs. We will make special efforts to attract award-winning students, engaging and supporting faculty members to be the leaders of this process.

**Commentary:** The data suggest that Western is near the average of the other G13 institutions in competition for graduate student awards from NSERC and SSHRC, but well below average in the CIHR disciplines. In consequence, Western must commit more of its own internal resources to maintain competitive funding packages.

This is an important indicator to monitor as Western realizes its aspirations for growth in doctoral stream programs.

Figure 29

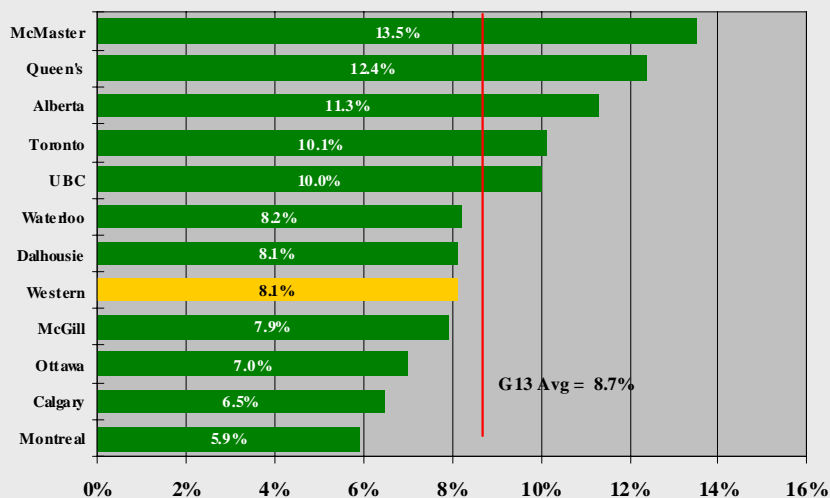
Graduate Student Fellowships  
Natural Sciences and Engineering Research Council of Canada  
3-Year Average Awards as a % of Full-Time Eligible Graduate Students



Source: Awards data from NSERC, as compiled by the OST (2007-10); Enrolments from G13DE (2009-10)

Figure 30

Graduate Student Fellowships  
Social Sciences and Humanities Research Council of Canada  
3-Year Average Awards as a % of Full-Time Eligible Graduate Students

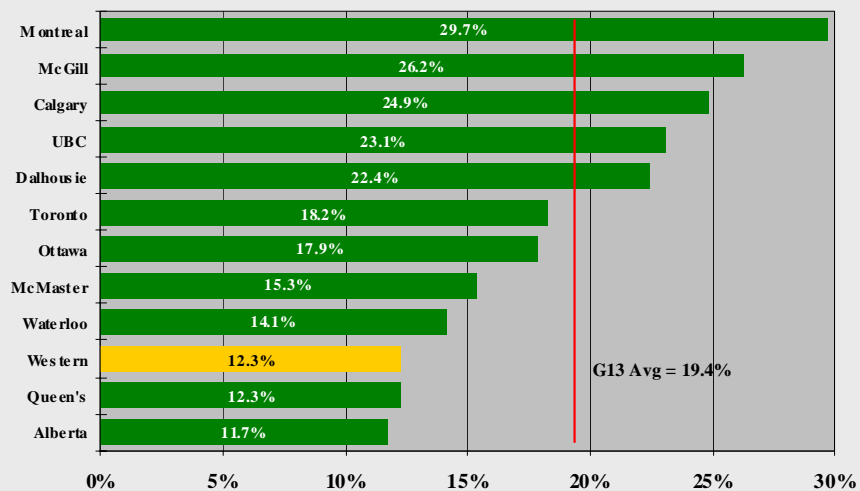


Source: Awards data from SSHRC, as compiled by the OST (2007-10); Enrolments from G13DE (2009-10)

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Figure 31

Graduate Student Fellowships  
Canadian Institutes of Health Research  
3-Year Average Awards as a % of Full-Time Eligible Graduate Students



Source: Awards data from CIHR, as compiled by the OST (2007-10); Enrolments from G13DE (2009-10)

## **Gender Balance of Tenure-Track Faculty Appointments**

### **Figures 32 and 33**

**Data Source:** G13 Data Exchange

**Calculation of Indicator:** All new tenure-track faculty appointments for 2009-10, as well as the total tenure-track complement, are shown by gender and by institution.

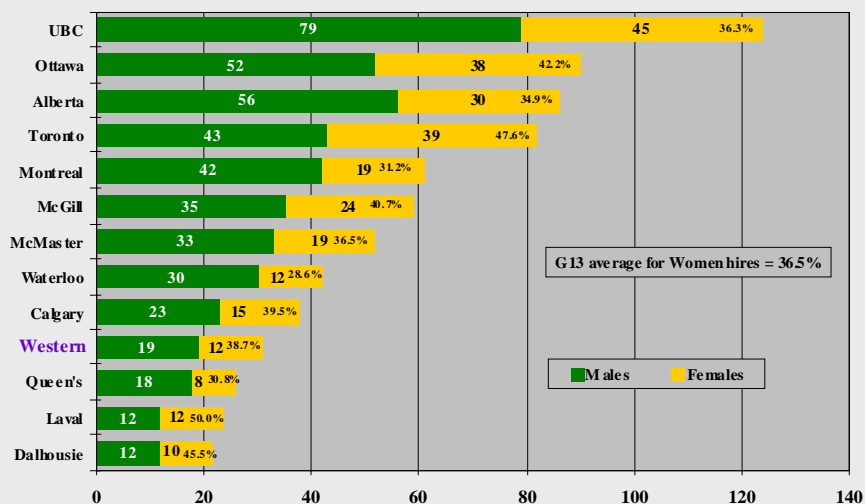
**Relation to Strategic Plan:** Commitment 6.2: Increase the number of women among newly-recruited Probationary/Tenured faculty; increase the retention of the women faculty we do recruit; and promote a career balance that ensures that service responsibilities carried by women to maintain gender equity are not greater than for men.

**Commentary:** For the 2009-10 academic year, over 36 percent of new tenure-track faculty at the G13 institutions were women. For Western, nearly 39 percent of all new hires were women, in the mid-range among the G13 universities.

In terms of total tenure-track complement, Western is slightly below the G13 average of 32 percent women.

Figure 32

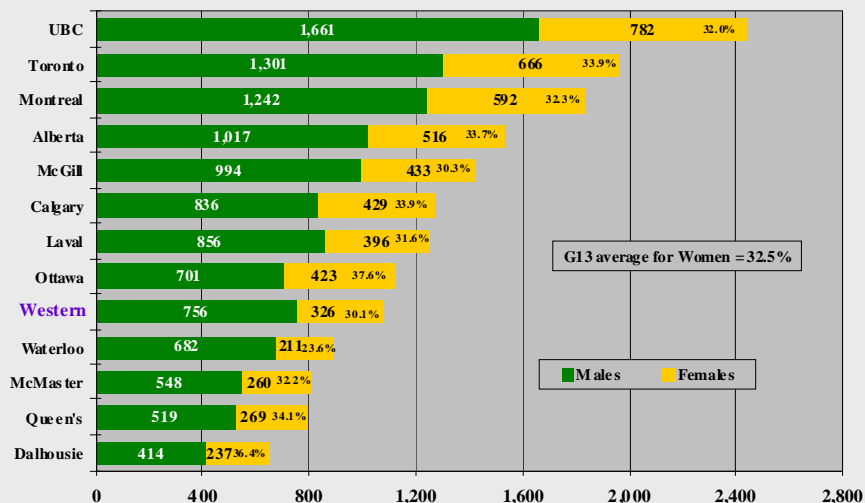
### New Tenured and Probationary Appointments by Gender 2009-10



Source: G13 Data Exchange

Figure 33

### Total Tenured and Probationary Faculty by Gender 2009-10



Source: G13 Data Exchange



## Student-Faculty and Student-Staff Ratios

### Figures 34 and 35

**Data Source:** G13 Data Exchange and Western's Student and Human Resources databases

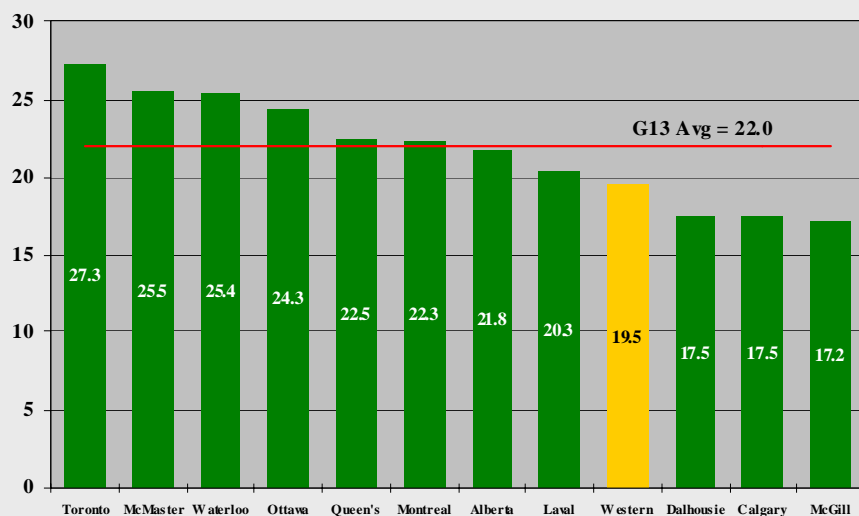
**Calculation of Indicator:** Two indicators are presented: the full-time student to full-time faculty ratio for the G13 universities for 2009-10; and a summary of the full-time student to full-time faculty and full-time student to full-time staff ratios at Western from 2005-06 through 2009-10. Comparative data are not available for UBC.

**Relation to Strategic Plan:** Commitment 11.2: Plans have been guided by the concept of Making Choices, that is, investments in faculty, staff, and support resources are strategic and selective.

**Commentary:** The comparative analysis indicates that Western experiences a lower student-faculty ratio than the G13 average. The five-year trends for Western show fairly stable student-faculty and student-staff ratios.

Figure 34

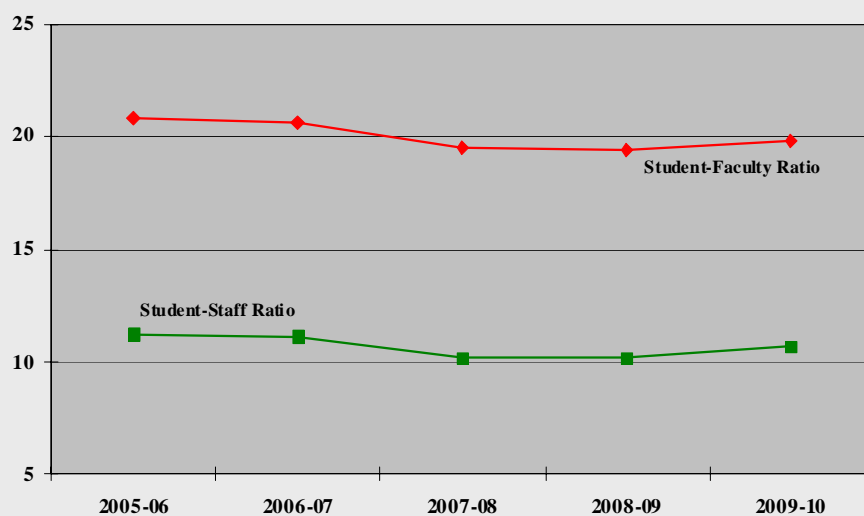
### Full-Time Student to Full-Time Faculty Ratio 2009-10



Source: G13 Data Exchange

Figure 35

### Full-Time Student to Full-Time Faculty and Staff Ratios at Western



Source: The University of Western Ontario

## **Research Funding: SSHRC Awards per Eligible Faculty Member**

### **Figure 36**

**Data Source:** Social Sciences and Humanities Research Council (SSHRC) grants as compiled by the Observatoire des Sciences et des Technologies; and G13 data exchange for faculty counts.

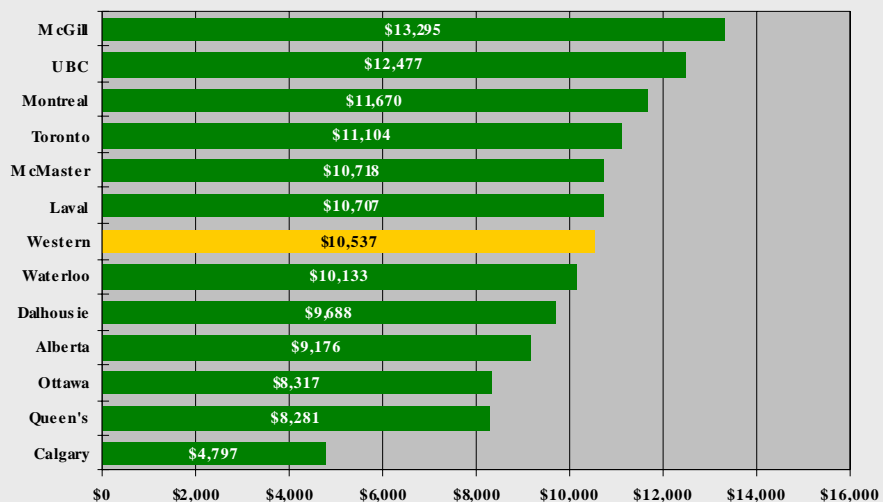
**Calculation of Indicator:** The total value of peer-adjudicated research grants awarded by the SSHRC in 2009-10 divided by the number of tenure-track faculty members at each institution in SSHRC disciplines.

**Relation to Strategic Plan:** Commitment 4.6: Track research funding per faculty member from the Social Science and Humanities Research Council (SSHRC) and the Natural Sciences and Engineering Research Council (NSERC), and total research funding from the Canadian Institutes for Health Research (CIHR), and seek to be in the first rank among Canadian universities by these measures.

**Commentary:** On a per-faculty-member basis, Western's success in competition for SSHRC grants has improved and is now in the mid-range of the G13 universities.

Figure 36

### SSHRC Awards Funding per SSHRC-Eligible Tenure-Track Faculty Member 2009-10



Source: SSHRC, as compiled by the OST, Faculty counts from GI3DE. All data are from 2009-10

## **Research Funding: NSERC Awards per Eligible Faculty Member**

### **Figure 37**

**Data Source:** Natural Science and Engineering Research Council (NSERC) grants as compiled by the Observatoire des Sciences et des Technologies; and G13 data exchange for faculty counts.

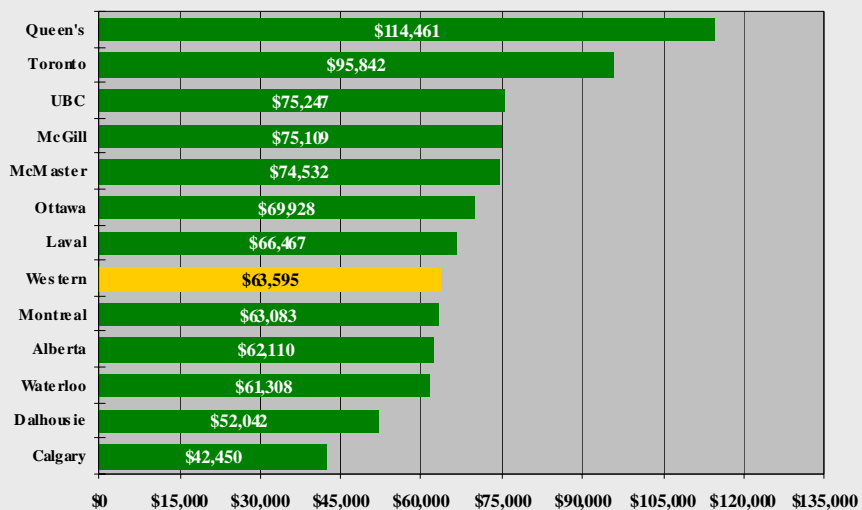
**Calculation of Indicator:** The total value of peer-adjudicated research grants awarded by the NSERC in 2009-10 divided by the number of tenure-track faculty members at each institution in NSERC disciplines.

**Relation to Strategic Plan:** Commitment 4.6: Track research funding per faculty member from the Social Science and Humanities Research Council (SSHRC) and the Natural Sciences and Engineering Research Council (NSERC), and total research funding from the Canadian Institutes for Health Research (CIHR), and seek to be in the first rank among Canadian universities by these measures.

**Commentary:** On a per-faculty-member basis, Western's success in competition for NSERC grants declined slightly in 2009-10, and remains at the lower end of the range of the G13 universities – clustered with Montreal, Alberta, and Waterloo.

Figure 37

NSERC Awards  
Funding per NSERC-Eligible Tenure-Track Faculty Member  
2009-10



Source: NSERC, as compiled by the OST. Faculty counts from G13DE. All data are from 2009-10.

## Research Funding: CIHR Awards by Institution

### Figure 38

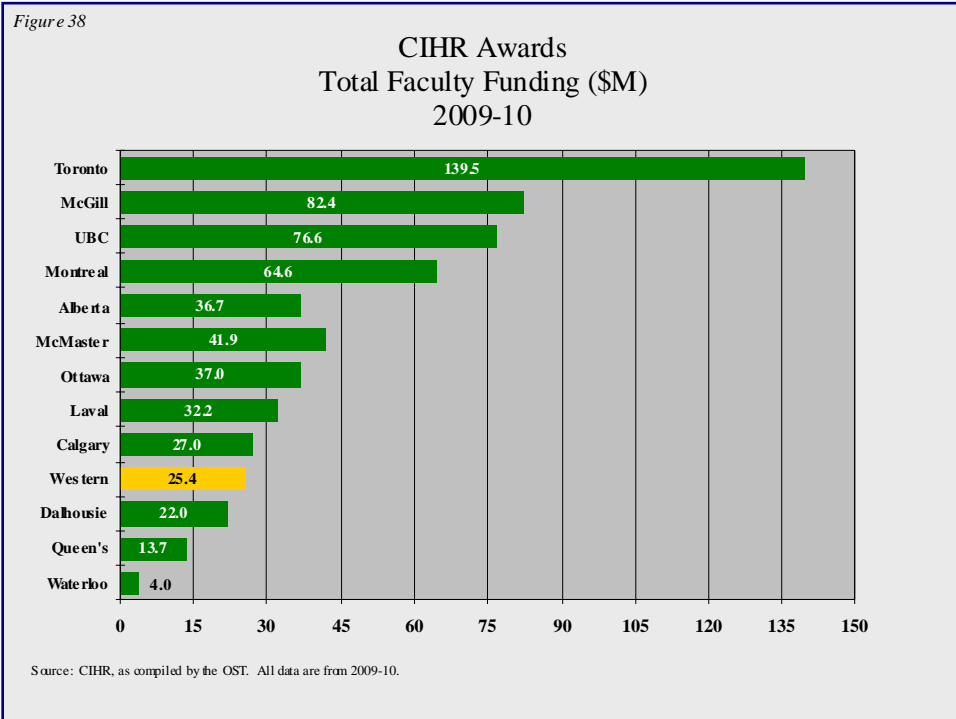
**Data Source:** Canadian Institutes for Health Research (CIHR) as compiled by the Observatoire des Sciences et des Technologies.

**Calculation of Indicator:** The total value of peer-adjudicated research grants awarded by the CIHR in 2009-10 as compiled by the Observatoire des Sciences et des Technologies, by institution.

**Relation to Strategic Plan:** Commitment 4.6: Track research funding per faculty member from the Social Science and Humanities Research Council (SSHRC) and the Natural Sciences and Engineering Research Council (NSERC), and total research funding from the Canadian Institutes for Health Research (CIHR), and seek to be in the first rank among Canadian universities by these measures.

**Commentary:** This particular indicator, unlike the comparable indicators for SSHRC and NSERC, presents the dollar value of CIHR awards by institution in order to give an overall sense of scale of the health research enterprise at each of the G13 institutions. It is not possible to compute the grants on a per-faculty-member basis due to different practices from one institution to the next in counting clinical faculty members.

Western's relative position continues to remain at the low end of the range among the G13 institutions.





## **Bibliometric Measures: Publications per NSERC-Eligible Faculty Member**

### **Figure 39**

**Data Source:** Observatoire des Sciences et des Technologies (OST) for publication counts; and the G13 data exchange for NSERC-eligible faculty counts.

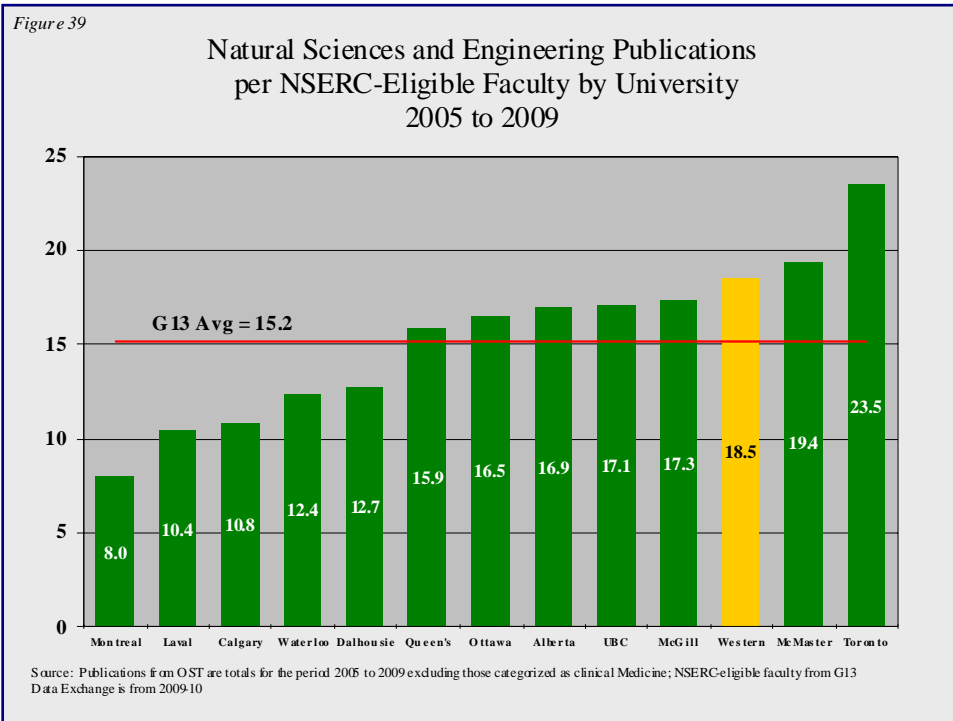
**Calculation of Indicator:** The OST collects data on the publications of Canadian faculty members in refereed journals via the International Science Indicators (ISI). The number of publications by faculty members at the G13 institutions in NSERC disciplines are expressed on a per-faculty-member basis.

**Relation to Strategic Plan:** Commitment 4.3: Emphasize the importance of knowledge transfer, technology transfer, contract research, and commercialization of research discoveries, and track progress in all of these areas.

**Commentary:** Western's faculty members in the NSERC disciplines publish in refereed journals at above the average rate of the G13 group. Bibliometric output is commonly used as a proxy for research productivity.

Western's output increased from last year's report, as has the overall G13 average.

Comparable analyses for the SSHRC and CIHR disciplines are not presented here. While the analysis is reliable for the NSERC disciplines, in the case of SSHRC the ISI does not capture the full spectrum of published faculty output. With respect to CIHR disciplines, the G13 has been unsuccessful in attempts to accurately and consistently report the clinical research population to which the clinical discipline publications could be normalized.



## Contract Research Revenue

### Figure 40

**Data Source:** The University of Western Ontario

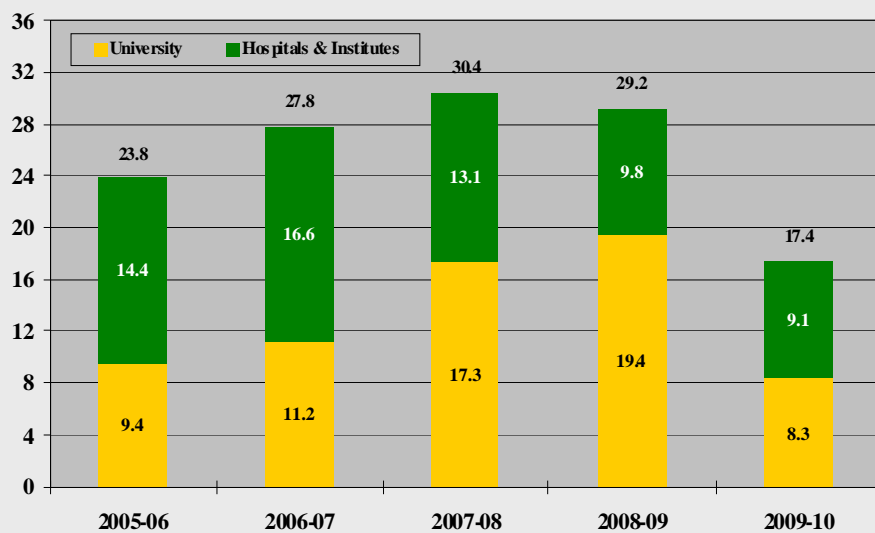
**Relation to Strategic Plan:** Commitment 4.3: Emphasize the importance of knowledge transfer, technology transfer, contract research, and commercialization of research discoveries, and track progress in all of these areas.

**Calculation of Indicator:** This indicator is a five-year summary of Western's revenue from research contracts, excluding government research contracts. Research contracts administered through the hospitals and affiliated research institutes are included but displayed separately.

**Commentary:** The volume of contract research is a limited measure of the University's research collaboration with industry. Between 2005 and 2008, the volume of contract research at Western showed steady increase. However, there was a substantial decrease in 2009 – which, in all likelihood, is attributable to the economic downturn in 2008-09.

Figure 40

Western's Non-Government Contract Research Revenue (\$M)



Source: The University of Western Ontario

## Total Endowment Value

### Figure 41

**Data Source:** The University of Western Ontario

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

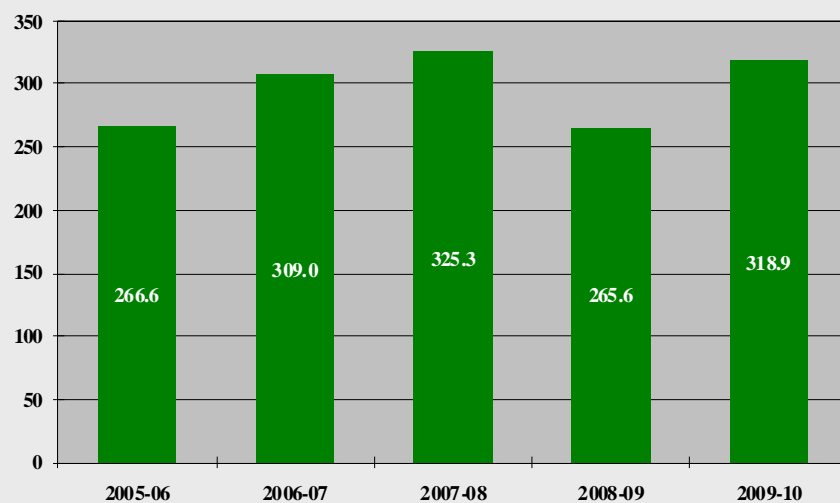
**Relation to Strategic Plan:** Commitment 9.2: Increase the level of endowed funds, in partnership with Foundation Western, to provide for long-term financial stability and independence for Western.

**Commentary:** Western's endowment increased steadily from 2005 through 2009, in large measure due to the Ontario Student Opportunity Trust Fund (now the Ontario Trust for Student Support), a provincial government matching program to encourage endowed gifts for student aid.

The market downturn of 2008-09 had a significant downward impact on Western's endowments. The partial recovery in 2009-10 has brought our endowment closer to the 2007-08 level.

Figure 41

Western's Total Endowment Value (\$M)



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

## Total Gifts to Western

### Figure 42

**Data Source:** The University of Western Ontario

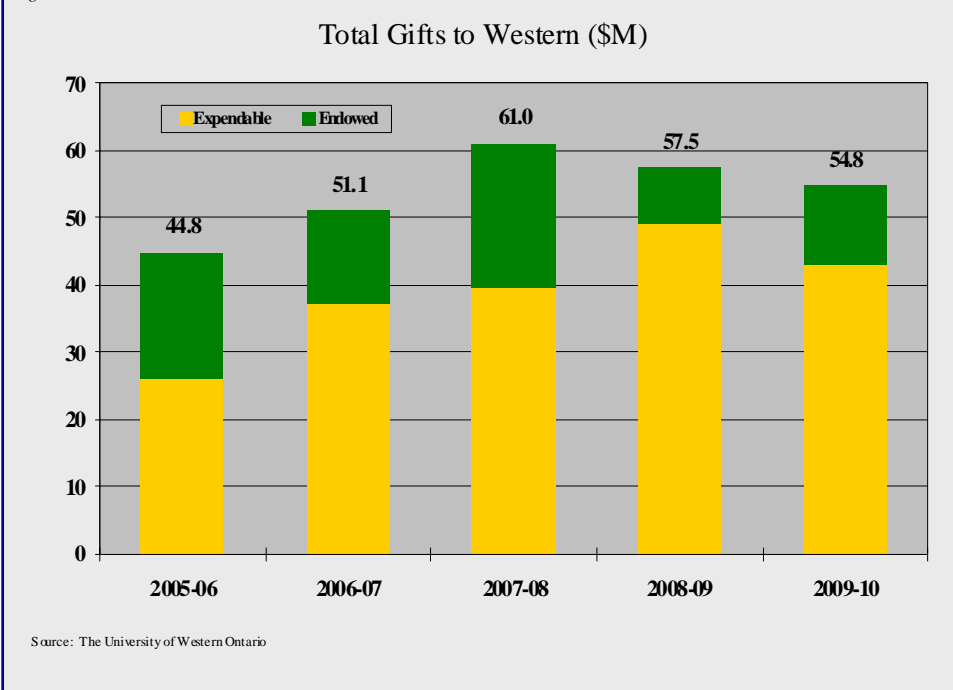
**Calculation of Indicator:** This indicator is a five-year history of gifts to Western, segregated between endowed and expendable purposes.

**Relation to Strategic Plan:** Commitment 9.1: Implement the next major institutional fundraising campaign from 2007-2013 based on approved academic and research priorities.

**Commentary:** The current annual target of \$60 million was met in 2007-08. This was especially challenging in the subsequent years because of the economic downturn in 2008-09. There was a pronounced trend toward expendable rather than endowed gifts in 2008-09 and 2009-10, which is understandable given the volatility of equity markets.

Our fundraising campaign plan is currently being updated – and the campaign will be re-launched in the coming months. As part of this re-launching, our annual target will likely be revised.

Figure 42





## Comparative Endowment Levels

### Figures 43 and 44

**Data Source:** Canadian Association of University Business Officers (CAUBO)

**Calculation of Indicator:** Data on the total market value of endowments as at December 31, 2009 for the G13 universities are displayed both in terms of the absolute value, and as a value per FTE student.

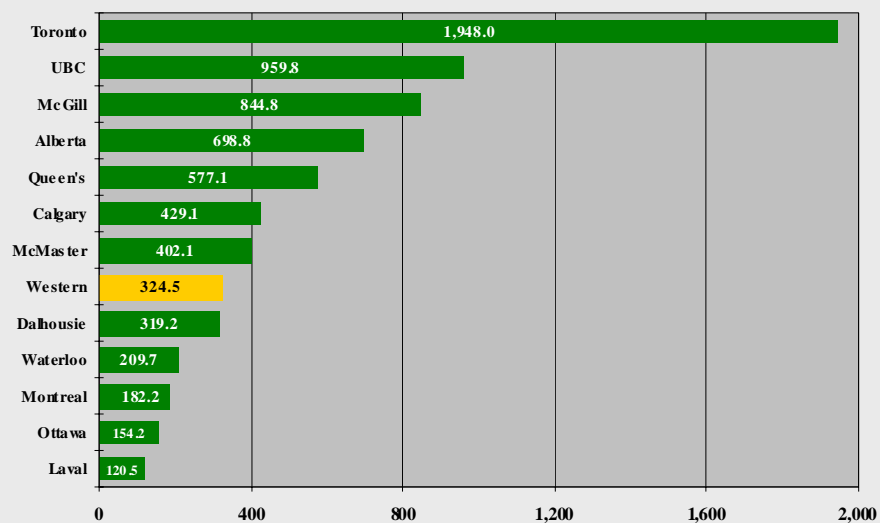
**Relation to Strategic Plan:** Commitment 9.2: Increase the level of endowed funds, in partnership with Foundation Western, to provide for long-term financial stability and independence for Western.

**Commentary:** The analysis indicates that Western's endowment fund, as compared to other G13 institutions, is quite modest both in absolute terms and on a per-FTE-student basis. Western's relative position within the G13 is unchanged from last year's report.

Endowment levels at all of the G13 institutions rebounded in 2009 as a result of the partial recovery of the equity markets.

Figure 43

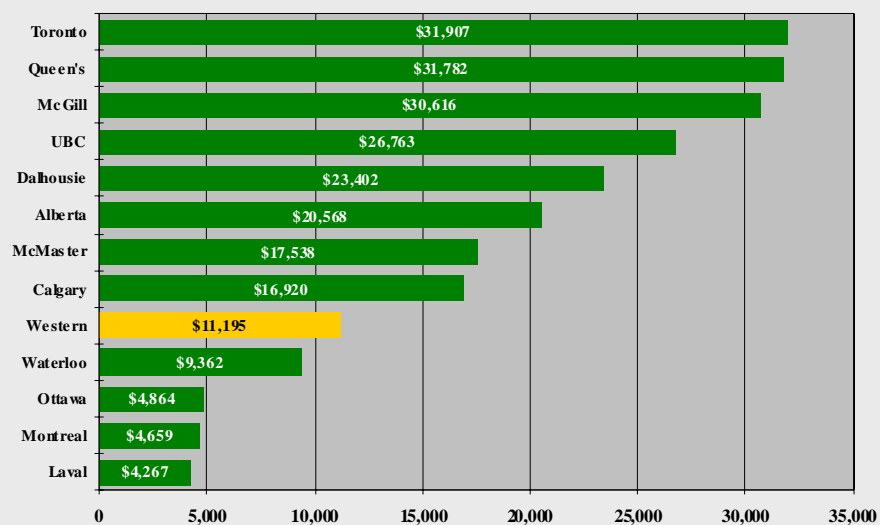
### Total Market Value of Endowments in 2009 (\$M)



Source: CAUBO University Investment Survey (December 31, 2009)

Figure 44

### Endowment Assets per FTE Student in 2009



Source: CAUBO University Investment Survey (December 31, 2009)

## Physical Infrastructure: Actual Space vs. Required Space

Figure 45

**Data Source:** Council of Ontario Universities (COU)

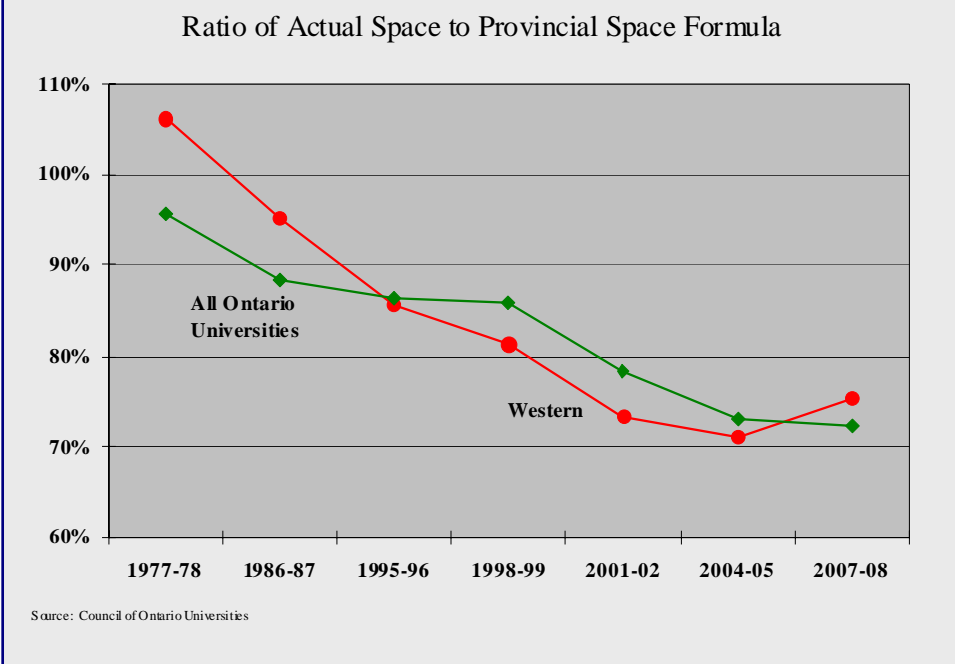
**Calculation of Indicator:** On a triennial cycle, each Ontario university reports to COU, quantifying space inventory in a number of categories such as research space, classrooms, faculty offices, student services. The COU then calculates the amount of space required by each university through the use of space standards formulae. The analysis then computes each university's actual space inventory as a percentage of the space requirement generated by the formula.

**Relation to Strategic Plan:** Chapter 11: As we plan our academic directions in terms of faculty, staff and students, and the teaching and research programs that they will populate, our aspirations must be carefully kept in balance and closely coupled with the space needed for success. Western's ambitious building and modernization plan for the period 2006-2013 offers an unparalleled opportunity for significant reflection and change.

**Commentary:** The analysis indicates that Western, and all Ontario universities, have fallen considerably below the provincial space standard. Ontario's universities have for a number of years absorbed significant enrolment and research growth without adequate expansion of capital facilities. The Provincial Government has very recently demonstrated a renewed commitment to capital construction and campus renewal, which may lead to future improvement in this measure.

Western has experienced an improvement in the results of the most recent triennial survey, largely due to the recent addition of several substantial buildings to our inventory, most notably: the Biotron; the Robarts Research Institute Building; Westminister Hall; and the Clinical Skills Building. The results of the 2010-11 survey are expected to be released in the summer of 2012.

Figure 45



## Maintenance, Modernization, and Infrastructure Expenditures

### Figure 46

**Data Source:** The University of Western Ontario

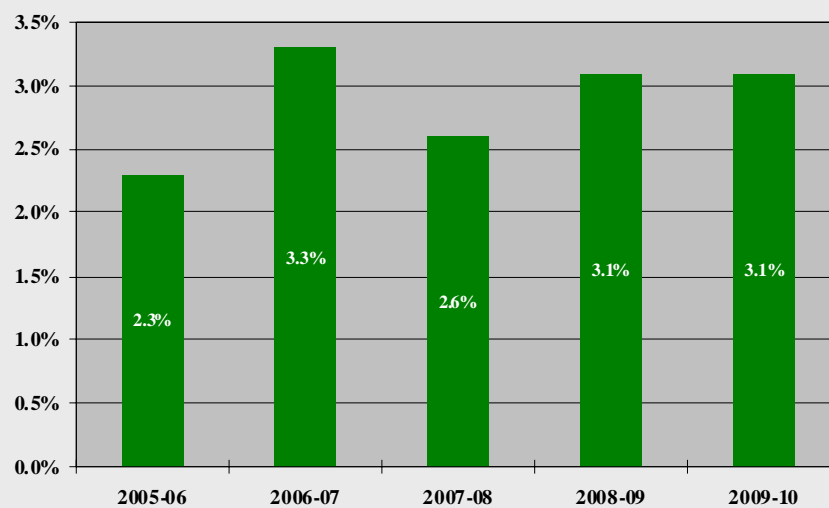
**Calculation of Indicator:** Annual expenditures for facilities maintenance, modernization, and infrastructure are expressed as a percentage of the estimated building replacement value, excluding the value of student residences.

**Relation to Strategic Plan:** Chapter 11: As we plan our academic directions in terms of faculty, staff and students, and the teaching and research programs that they will populate, our aspirations must be carefully kept in balance and closely coupled with the space needed for success. Western's ambitious building and modernization plan for the period 2006-2013 offers an unparalleled opportunity for significant reflection and change.

**Commentary:** Annual expenditures are now at just over three percent of the replacement value of campus buildings, which compares favourably to industrial standards. The Provincial Government has demonstrated a renewed commitment to capital construction and campus renewal, and this is reflected in the expenditure levels in 2008-09 and 2009-10.

Figure 46

Western's Maintenance, Modernization, and Infrastructure  
Expenditures as a Percentage of Building Replacement Value



Source: The University of Western Ontario; Replacement Value includes Non Residential Buildings, Utilities and Infrastructure

**Council of Ontario Universities  
Report to Senate of the Academic Colleague  
Kathleen Okruhlik, November 2011**

The COU Academic Colleagues met in Toronto October 13<sup>th</sup> and 14<sup>th</sup>. There was also a meeting of the full Council (Executive Heads + Academic Colleagues) on October 14<sup>th</sup>.

*The McGuinty Government:* The Premier remains a strong advocate for postsecondary education, but money is very tight. He will be looking for better results and administrative efficiencies. We can expect tough action on administrative transparency. The Liberals will try to govern as if they were still a majority, but it is likely we will see far fewer pieces of legislation. It will be necessary for COU and its member institutions to remain in close contact with the leadership of all three political parties.

*New Tuition Grants:* The Liberal government's commitment to provide a 30% tuition grant for students from families with a total income less than \$160,000 will require new bureaucratic structures with associated costs. COU is watching with interest (and some trepidation) to see how these structures and costs will be handled.

*Ontario Education Number:* The plan is to assign an identification number to each child entering the Ontario education system. The number will be permanent and will facilitate collection of reliable data, which COU hopes the Ministry will share with universities. These data will help in planning, budgeting, tracking retention, dealing with credit transfers, and meeting other challenges. COU supports introduction of the OEN but has some concerns about extra costs that may accrue to universities in the administration of this program.

*ONCAT:* The Ontario Council on Articulation and Transfer is the successor organization to the College University Consortium Council (CUCC). Its job is to develop and enhance transfer credit policies in Ontario's postsecondary sector. Deciding what mechanisms may be appropriate for transfer of credits between colleges and universities remains a particularly difficult challenge.

*Value of a University Education:* COU and others in the university sector have been worried for some time that colleges may be doing a better job than universities in promoting the value of their educational offerings. This is reflected in recent newspaper articles questioning whether the money spent on a university education is worth it (in terms of future economic pay-off). So COU has stepped up its data collection and publicity efforts. The most recent result is the November 9<sup>th</sup> Media Release called "Ontario university graduates get jobs, earn more money, despite recession." It reports that over 91% of 2008 university grads surveyed were employed within six months of graduation and almost 94% two years after graduation. These rates are only 2% lower than rates for the previous year, despite the fact that the recession was at its worst in 2008. From 2004 to 2010, growth in employment for university grads outpaced all other levels of education: jobs grew by 28% for those with a university degree, 17% for those with a college diploma, and only 4% for those with a high school education. Ontario university grads also earn more than others.