



The UNIVERSITY of WESTERN ONTARIO

BOARD OF GOVERNORS MEETING

**1:30 p.m., Tuesday, September 27, 2011
Room 100 London Hall**

1. Adoption of Agenda - Open Session
2. **Report of the President** (Amit Chakma)
3. Unanimous Consent Agenda - **Appendix I**
– Includes Open Session Minutes of the Meeting of June 23, 2011
4. Business Arising from the Minutes
5. Reports of Committees:
 - Property & Finance Committee - **Appendix II** (Keith Zerebecki)
 - By-Laws Committee - **Appendix III** (Chirag Shah)
 - Fund Raising and Donor Relations Committee - **Appendix IV** (Jacqueline Moss)
 - Audit Committee - **Appendix V** (Jim Knowles)
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

SEPTEMBER 27, 2011

The meeting was held at 1:30 p.m. in Room 100, London Hall.

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

Mr. J. Adams
Mr. J. Bitove
Dr. A. Chakma
Mr. S. Coxford
Dr. R. Darnell
Dr. J. Deakin
Mr. M. Dietrich
Mr. J. Fontana
Mr. K. Goldthorp
Ms. L. Gribbon
Ms. S. Grindrod
Mr. H. Hassan
Dr. T. Hewitt

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

By Invitation: M. Belanger, R. Langille, L. Logan

BG.11-74 **REPORT OF THE PRESIDENT**

The President's report consisted of the following: collective bargaining update, student enrolment, international rankings, new deans, Medicine celebrates 130 years, Vanier Scholarship news, partnership promoting student entrepreneurs, and activities of the President from June to September 2011. Details are found in his report distributed with the agenda.

BG.11-74a **QS Rankings**

Dr. Chakma gave a presentation on QS Rankings. QS World University Rankings are based on academic and employer reputation surveys as well as research citations. Overhead slides used to highlight his presentation are attached as Appendix 1.

BG.11-75 **UNANIMOUS CONSENT AGENDA** [Appendix I]

It was moved by F. Angeletti, seconded by M. Wilson,

That the 14 items listed in Appendix I be approved and/or received for information by the Board of Governors by unanimous consent.

CARRIED

BG.11-76 **Minutes from the Previous Meeting**

The minutes of the meeting of June 23, 2011 were approved as circulated.

REPORT OF THE PROPERTY & FINANCE COMMITTEE [Appendix II]

BG.11-77 **Report of the Investment Committee – Revisions to the Statement of Investment Objectives, Policies and Governance**

It was moved by K. Zerebecki, seconded by C. Shah,

That the revised Statement of Investment Objectives, Policies and Governance for the Operating and Endowment Fund, detailed in Appendix II, Annex 1, be approved.

CARRIED

BG.11-78 **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:

- NSERC/FP Innovations Industrial Research Chair in Forest Biorefinery
- Raymond and Margaret Elliott Chair in Surgical Innovation – Name Change
- Update on Access Copyright
- Report of the Investment Committee
- Quarterly Ratio Report on Non-Endowed Funds
- Report on Environmental and/or Safety Incidents
- New and Revised Scholarships and Awards

REPORT OF THE BY-LAWS COMMITTEE [Appendix III]

BG.11-79 **Special Resolution No.9 – Board Election Procedures - Revised**

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

That the Board of Governors approve the revised Special Resolution No. 9 – Board Election Procedures detailed in Appendix III, Annex 1.

CARRIED

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

BG.11-80 **Amendment to Western Fund Terms of Reference**

It was moved by S. Coxford, seconded by J. White,

That the terms of reference of the Western Fund be amended to delegate authority to the Fund Raising and Donor Relations Committee for approval of allocations to specific University priorities of funds available for spending from Western Fund endowments and expendable Western Funds on an annual basis.

CARRIED

BG.11-81 **Fundraising Results to July 31, 2011**

Fundraising results to July 31, 2011, detailed in Appendix IV, Annex 2, were received for information by unanimous consent.

REPORT OF THE AUDIT COMMITTEE [Appendix V]

BG.11-82 **Audited Financial Statements for the Year Ended April 30, 2011**

It was moved by J. Knowles, seconded by H. Hassan,

That the Board of Governors approve the draft audited combined financial statements for the University for the fiscal year ended April 30, 2011 (Appendix V, Annex 1, Tab 1).

CARRIED

BG.11-83 **Information Items Reported by the Audit Committee**

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

- Financial statements for related companies and other organizations of The University of Western Ontario for the fiscal year ended April 30, 2011
- Equity and Human Rights Services Annual Report 2010-2011

ITEMS REFERRED BY SENATE [Appendix VI]

BG.11-84 **Revision to Appointment Procedures for Senior Academic and Administrative Officers of the University: P. Associate Vice-President (Research)**

It was moved by F. Angeletti, seconded by M. Wilson,

That, subject to approval by the Senate on September 23, 2011, the change to the term of the Associate Vice-President (Research) as shown in Appendix VI, Annex 1, be approved.

CARRIED (By Unanimous Consent)

BG.11-85 **Information Items Referred by Senate**

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

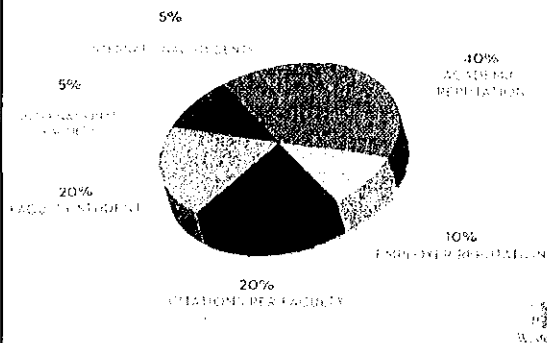
- Report of the Honorary Degrees Committee
- Report of the Academic Colleague
- Academic Administrative Appointments

The meeting adjourned to the confidential session.

F. Angeletti
Chair

I. Birrell
Secretary

WHAT'S IN THE QS RANKING?



Overall Ranking

University	Rank	Score
McGill	17	89.6
Toronto	23	86.2
UBC	51	74.8
Alberta	100	64.5
Montreal	137	56.4
Queen's	144	54.9
Western	157	52.6
McMaster	159	52.2
Waterloo	160	52.0

Citation Per Faculty Ranking

University	Rank	Score
McMaster	48	90.3
Western	52	88.4
UCL	51	89.5
Illinois UC	53	87.3
Calgary	55	86.7
UBC	57	85.6
Oxford	65	82.0
Toronto	85	77.3
McGill	139	62.6

Academic Ranking

University	Rank	Score
Toronto	12	99.9
UBC	22	99.6
McGill	29	98.8
Alberta	101	75.2
Montreal	136	64.6
Waterloo	145	62.0
McMaster	165	57.8
Calgary	190	53.1
Queen's	197	52.5
Western	208	50.0



September 27, 2011

TO: Board of Governors

FROM: Amit Chakma

DATE: September 26, 2011

SUBJECT: President's Report to the Board: June 2011

I'm pleased to provide the following update on key developments and achievements since the last meeting of the Board on June 15, 2011:

1. **Collective bargaining update:** At the time of writing this report, the University and UWOFA-LA (Librarians and Archivists) had reached a tentative agreement for a new four-year contract, pending ratification by the Board and union membership. The 51 members of UWOFA-LA, whose last contract ended June 30, had been on strike since September 8. On behalf of the Board and senior administrative team, I wish to thank all members of our campus community for their patience and understanding during the work stoppage. Collective bargaining is also underway to renew contracts with CUPE Food Services (CUPE Local 2692), Operating Engineers (IUOE Local 772), and UWO Police Association. As well, negotiations are underway to reach a first contract with Postdoctoral Associates (PSAC Local 611).
2. **Student enrolment exceeds targets:** As we projected in June, Western has welcomed an entering class of 5,100 for the 2011-12 academic year. This compares to last year's entering class of 4,750, and exceeds our initial 4,800 target by 300 students. The increase was realized despite 600 fewer admission offers having been made to qualified students compared to the number of offers made last year. As a result of the higher-than-anticipated acceptance rate, Western's minimum entrance grade has risen from 81% to 82% compared to last year, and the overall average entering grade has risen from 87% to 88%. We are also welcoming more than 300 first-year international undergraduate students, exceeding our projected target of 250. These figures all reflect Western's growing reputation as a destination of choice for high-quality students from across Ontario, Canada and abroad.
3. **Rise in international rankings:** Western has risen from 164th position overall to 157th in the annual *QS World University Rankings*. The QS Rankings are based on six inputs: 1) Academic Reputation (weighted 40%); 2) Employer Reputation (weighted 10%); 3) Citations per Faculty Member (weighted 20%); 4) Faculty/Student Ratio (weighted 20%); 5) Proportion of International Faculty (5%); and Proportion of International Students (weighted 5%). Our analysis indicates Western improved this year over last in the "Employer Reputation" and "International Faculty" categories, while remaining relatively flat in the other categories. We continue to perform very well in the "Citations per Faculty" category, while we have the most room for improvement in the areas of Academic Reputation and International Students.

4. **Welcome to new Deans:** During the summer months, Western officially welcomed four new Deans to campus in preparation for the 2011-12 academic year. Dr. Vicki Schwean joins us from the University of Calgary as Dean of Education; Dr. Charmaine Dean joins us from Simon Fraser University as Dean of Science; Dr. Betty Anne Younker joins us from the University of Michigan as Dean of the Don Wright Faculty of Music; and, W. Iain Scott, the former CEO of McCarthy Tetrault LLP, joins us as Dean of Law. Decanal Selection Committees are now fully engaged for the Faculty of Information & Media Studies, where the first term of Dean Tom Carmichael concludes June 30, 2012, and the Faculty of Arts and Humanities, where the term of Acting Dean Michael Milde also concludes June 30, 2012.
5. **Medicine at Western celebrates 130 years:** As one of Western's founding Faculties, the Schulich School of Medicine & Dentistry is celebrating its 130th anniversary by welcoming its largest class of first-year medical students (171) and by marking a mile-stone year at its Windsor campus with a total of 130 students now being taught in all four years of the School's undergraduate medicine program. The School also recently announced the creation of a new research chair in surgical innovation thanks to a \$1.5M donation from Western/Huron alumnus Ray Elliott and his wife Margaret. The new chair, to be endowed with an additional \$1.5M in funding from Western's matched chair giving program, will focus on the development of new surgical devices and procedures while promoting interdisciplinary research between the Schulich School, the Ivey Business School, and the Faculties of Engineering and Health Sciences.
6. **Vanier scholarship news:** In August, Prime Minister Stephen Harper announced that six Western doctoral candidates were among the recipients of Canada's most prestigious graduate scholarship program—the Vanier Canada Graduate Scholarships. Ahmed Hamada (engineering/philosophy), Katie Kryski (clinical psychology), Donald Lafreniere (geography), Matthew Quinn (medical biophysics), Fabrice Szabo (French), and Jodie Whelan (business administration) will each receive \$50,000 annually for up to three years in recognition of their demonstrated leadership skills and high standard of scholarly achievement.

New partnership promotes student entrepreneurs: In September, Western launched its formal academic partnership with "The Next 36" Entrepreneurial Leadership Initiative by hosting 50 of the University's top undergraduate students at an information session held at Gibbons Lodge. Co-founded by Ivey alumnus Tim Hodgson, Claudia Hepburn, and University of Toronto business professors Ajay Agrawal and Reza Satchu, The Next 36 aims to develop the entrepreneurial aspirations and skills of Canada's most promising undergraduates from a wide range of academic disciplines. Last year, five Western students were named among the first class of The Next 36, winning spots from a pool of 300 applicants at 15 Canadian institutions. In partnership with the Universities of Toronto, Waterloo and McGill, Western is working to raise awareness of the program

ACTIVITIES OF THE PRESIDENT

(June 18, 2011 – September 16, 2011)

June	18	London	Bangladeshi UWO Community Picnic
	20	London	Columbia International College Agreement Signing and Photos
			Senior Administration BBQ (Gibbons)
	21	London	London Economic Development Council (LEDC) Strategic Review Meeting
			Coaches Appreciation Dinner
	23	London	Board of Governors
	24	Toronto	Global Business Forum Panelist
	28	London	LEDC AGM and Monthly Meeting
			Dr. Stephen McClatchie (Principal, Huron)
			Student Financial Assistance Working Group Teleconference
			Foundation Western Board & Committee Reception (Gibbons)
July	25	London	Center for Brain & Mind Grand Opening
	26	London	Mayor Joe Fontana, Jeff Fielding (City of London)
	27	Toronto	Mr. Pat Horgan (VP Manufacturing), Mr. Jay Carfagnini (Partner), Goodmans LLP
			Mitch Baran Reception
August	3	London	Phone Call with Dr. Patrick Deane (President, McMaster)
	5	London	Andrew Lockie, Paul Seed (United Way)
	6	London	Mr. Zhang Xiaodon and Ms. Tianmei Den
	8	London	Mike Strong
			Tanvir Hassan
			Phone Call with Paul Davidson (AUCC)
	10	London	Lunch with Joe Preston (MP Elgin Middlesex London)
	11	London	OCE (Ontario Centres of Excellence) Nominating Committee Teleconference
			Lunch with David and Marilyn Conklin (Gibbons)
			Ed Holder (MP London West)
			Phone Call with Bruce Ross (President IBM Canada)
	15	London	Campus Visit with Bob Hamilton (Western's Deputy Minister Champion)
	16	London	Roundtable on Immigration with Citizenship & Immigration Canada
			Christine Elliott (MPP Whitby Oshawa)
	17	London	Jeff Fielding (City of London)
	19	London	U-15 Teleconference
			Lunch with John Thompson (UK)
	29	London	Susan Truppe (MP London North Centre)
		Grand Bend	Deans' Retreat

	30	Grand Bend	Deans' Retreat
	31	London	BASICS Leadership Course
September	1	London	Fall Perspectives on Teaching Conference
			Teleconference with Research Ontario Expert Advisory Panel
	2	Toronto	KCI Consultants
	5	London	Western Mustang Football Game
	6	London	Opening Ceremonies for O Week
	7	London	Mr. Howard Thompson (Senior VP, TD Canada Trust)
			WUSC (World University Service of Canada) Teleconference
			Continuing Studies 10 th Anniversary Event
	8	London	Campus Visit with Premier Dalton McGuinty
			Rogers TV Interview
			John Dirks, Sheila Robinson (Gairdner Foundation)
			Philosophy Department Meeting
	9	Kitchener	Research Institute for Aging
			Telephone Call with Helen Kerr (Hahn Smith Designs)
	12	London	LEDC Board Meeting
			Lunch with Ed Holder
	13	London	Fred Longstaffe
			Senior Alumni Program
			UWOFA Executive
			Campus Council
			Senate Orientation
			The Next 36 Event (Gibbons)
	14	Toronto	Chancellor John Thompson
			Mr. Don Forgeron (President & CEO, Insurance Bureau of Canada)
	15	Toronto	Lunch with Bonnie Patterson (COU)
			OCE Nominating Committee and Board of Directors Meetings
	16	Ottawa	Mr. Derek Hudson Burney (Senior Strategic Advisor, Ogilvy Renault)
			Mr. Jeff Westeinde (CEO), Mr. John Westeinde (President), Westeinde Group
			Mr. Stephen Assaly (Richmond Hts. Properties Inc.)

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 June 23, 2011 – Open Session	ACTION
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Report of the Property & Finance Committee- [Appendix II](#)

2.	New and Revised Scholarship	INFORMATION
3.	Ray and Margaret Elliott Chair in Surgical Innovation – Name Change	INFORMATION
4.	NSERC/FPIInnovations Industrial Research Chair in Forest Biorefinery	INFORMATION
5.	Report of the Investment Committee	INFORMATION
6.	Quarterly Ratio Report on Non-Endowed Funds	INFORMATION
7.	Report on Environmental and/or Safety Incidents	INFORMATION
8.	Update on Access Copyright	INFORMATION

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

9.	Fundraising Results to July 31, 2011	INFORMATION
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Audit Committee – [Appendix V](#)

10.	Equity & Human Rights Services Annual Report	INFORMATION
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Items Referred by Senate - [Appendix VI](#)

11.	Revision to Appointment Procedures for Senior Administrative Officers of the University: Section P – Associate Vice-President (Research)	ACTION
12.	Report of the Honorary Degrees Committee	INFORMATION
13.	Academic Administrative Appointments	INFORMATION
14.	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 this agenda package, such items are marked with a "Consent Agenda" icon in the right margin.) 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

Contents	Consent Agenda
Report of the Investment Committee – Revisions to the Statement of Investment Objectives, Policies and Governance	No
NSERC/FPIInnovations Industrial Research Chair in Forest Biorefinery	Yes
Raymond and Margaret Elliott Chair in Surgical Innovation – Name Change	Yes
Update on Access Copyright	Yes
Report of the Investment Committee	Yes
Quarterly Ratio Report on Non-Endowed Funds	Yes
Report on Environmental and/or Safety Incidents	Yes
New and Revised Scholarships and Awards	Yes

FOR APPROVAL

- Report of the Investment Committee – Revisions to the Statement of Investment Objectives, Policies and Governance**

Recommended: That the revised Statement of Investment Objectives, Policies and Governance for the Operating and Endowment Fund be approved.

See [Annex 1](#).

FOR INFORMATION

- NSERC/FPIInnovations Industrial Research Chair in Forest Biorefinery**

At its meeting of September 20, 2011, the Property and Finance Committee approved on behalf of the Board of Governors that the NSERC/FPIInnovations Industrial Research Chair in Forest Biorefinery be established..

Donor and Funding: The creation of this Chair is made possible through a generous donation of \$1 million from FPIInnovations as well as a commitment of \$500,000 from NSERC to further support the Chair.

The \$1 million expendable gift from FPIInnovations will be paid in equal pledge payments of \$200,000 annually (\$100,000 cash and \$100,000 gift in kind) between May 2011 and May 2015. These funds may be utilized by the University in paying costs and expenses of the Chair program (including the purchase of equipment)

The \$500,000 expendable gift from NSERC will also be provided in five equal payments of \$100,000 each for a minimum cash commitment of \$200,000 annually to support the Chair. Additional funds and gifts-in-kind will be provided through donors including Arclin Canada, The Bioindustrial Innovation Center (BIC) and others.



Effective Date: May 1, 2011

Purpose: The gift from FPInnovations and commitment from NSERC will support the establishment of the NSERC/FPInnovations Industrial Research Chair in Forest Biorefinery in the Faculty of Engineering. The creation of this Chair will position Western at the forefront of Forestry Bio-refining research and will enable the University to further develop research expertise and train students in the area of forest biorefinery.

The administration of the spending of resources will be the responsibility of the Dean of the Faculty of Engineering.

The naming of this Chair is supported by the Dean of the Faculty of Engineering.

Criteria: Appointments to the NSERC/FPInnovations Industrial Research Chair in Forest Biorefinery will be conducted in accordance with University policies and procedures on Academic appointments. The appointment to the Chair will be for a period of five years.

The first Chair has been appointed and approved by NSERC. Dr. Chunbao (Charles) Xu, Associate Professor, Department of Chemical and Biochemical Engineering is the holder of the NSERC/FPInnovations Industrial Research Chair in Forest Biorefinery. Dr. Xu came to Western from Lakehead University where he worked since 2005 as an Associate Professor.

Reporting: The University, through the Faculty of Engineering will report to NSERC and FPInnovations as agreed upon in agreements set out by those organizations.

Background:

FPInnovations brings together Forest Operations, Wood Products, Pulp & Paper, and the Canadian Wood Fibre Centre of Natural Resources Canada, to create the world's largest private, not-for-profit forest research institute. With over 600 employees spread across Canada, FPInnovations unites the individual strengths of each of these internationally recognized forest research and development institutes into a single, greater force.

NSERC (Natural Sciences and Engineering Research Council of Canada) aims to make Canada a country of discoverers and innovators for the benefit of all Canadians. The agency supports university students in their advanced studies, promotes and supports discovery research, and fosters innovation by encouraging Canadian companies to participate and invest in postsecondary research projects. NSERC researchers are on the vanguard of science, building on Canada's long tradition of scientific excellence.

3. Raymond and Margaret Elliott Chair in Surgical Innovation – Name Change

At its meeting of June 7, 2011, the Property and Finance Committee approved the terms of reference for the Raymond and Margaret Elliott Chair in Surgical Innovation. The donor has since requested that the name be changed to the "Ray and Margaret Elliott Chair in Surgical Innovation".



4. **Update on Access Copyright**

See [Annex 2](#).

5. **Report of the Investment Committee**

See [Annex 3](#)

6. **Quarterly Ratio Report on Non-Endowed Funds**

See [Annex 4](#).

7. **Report on Environmental and/or Safety Incidents**

Contained Fire at Stiller Centre

On Monday, September 5th at approximately 2:30pm a UPS power-bar caught fire in one of the first floor tenant laboratory suites in the Stiller Centre at the Research Park.

The fire set off alarms and was quickly extinguished by a single sprinkler-head. Direct damages were limited mainly to the adjacent shelf and nearby bench-top equipment owned by the tenant. The London Fire Department, Campus Community Police and Fire Safety responded immediately to the alarm and were joined by Research Park maintenance staff and management.

Because of the nature of the building, extra precaution was taken by Fire Services before entering the suite. Water pooled into the main hallway and under the doorways of two adjacent suites prior to the sprinkler system being deactivated. Emergency cleaners were brought in immediately to remove the water. Fans were installed for the remainder of the week to ensure no lasting effects from moisture. Temporary space was provided for the affected tenant. All other tenants were back to business as usual by Tuesday morning. Damage to the premises was minimal with the majority of expected cost related to water removal and cleaning. The tenant is still assessing the impact to their business but expects to be back in operation quickly.

No root cause was identified, but on Wednesday, September 7th the London Fire Department completed a follow-up inspection of the building and tenant suites and issued recommendations for posting tenant chemical inventories to facilitate safe and fast entry in case of any future events. The Research Park is working with Western's Fire Safety and Emergency Management and tenants to implement this recommendation.

8. **New and Revised Scholarships and Awards**

See [Annex 5](#).



Report of the Investment Committee
Revisions to the Statement of Investment Objectives, Policies and Governance

FOR APPROVAL

Recommended: That the revised Statement of Investment Objectives, Policies and Governance for the Operating and Endowment Fund be approved.

Background

Western's Statement of Investment Objectives, Policies and Governance (SIOP&G) for the Operating and Endowment Fund provides a framework for the prudent investment of all funds which belong to the University and outlines the roles and responsibilities of those who make decisions regarding the portfolio. The Board last approved changes to this policy in November 2007.

The Investment Committee has completed its review of the SIOP&G. The review included discussions regarding:

- asset mix of the operating and endowment portfolio
- expected returns and risk for the portfolio
- liquidity needs of the portfolio
- funds to be included in the long term portfolio
- endowment payout policy

Extensive modeling was provided by Russell Investments and a review of liquidity needs was undertaken by the administration in order to optimize the fund's investment policy and maintain a risk management process that meets industry best practices.

The revised SIO&P (clean and blacklined versions) are attached.

Summary of Changes

A number of edits were made to the document to improve clarity and readability. These include the addition of a statement of investment beliefs and improved definitions for the major asset classes.

Two major changes are proposed:

1) New target real rate of return

The new target real rate of return (4% over a 5-year term), replaces the existing target real rate of return of 5% over a 4-year horizon. The new target real rate of return reflects the lower investment return environment that we're facing.

2) New Asset Mix

The proposed asset mix increases the target allocation to alternative investments from 15% to 25% by adding a potential allocation to infrastructure. Existing target allocations of 5% to private equity and real estate remain the same. The 5% allocation to hedge funds was broken down to 2.5% to hedge funds and 2.5% to other absolute return strategies. At this time the Investment Committee is not considering making a new commitment to hedge funds. Administration will seek prior approval from the Board of Governors to pursue any new allocation to hedge funds.

The target mix and allowable range for each asset class is outlined in the attached table.

Western Operating & Endowment Fund
Proposed Asset Mix
September 2011

Asset Class	Target Mix	Allowable Drift	Range
Canadian Equities			
<i>Highstreet</i>	7%	+/- 2%	5% to 9%
<i>Beutel, Goodman</i>	7%	+/- 2%	5% to 9%
<i>Greystone</i>	6%	+/- 2%	4% to 8%
Total Canadian Equities	20%	+/- 2%	18% to 22%
U.S. Equities			
<i>S&P 500 Hedged (SSgA)</i>	11%	+/- 2%	9% to 13%
<i>S&P Midcap 400 Hedged (SSgA)</i>	4%	+/- 2%	2% to 6%
<i>J.P. Morgan 130/30</i>	5%	+/- 5%	0% to 10%
Total U.S. Equities	20%	+/- 2%	18% to 22%
EAFE Equities			
<i>Templeton</i>	10%	+/- 2%	8% to 12%
<i>MFS</i>	10%	+/- 2%	8% to 12%
Total EAFE Equities	20%	+/- 2%	18% to 22%
Total Equities	60%	+/- 5%	55% to 65%
Fixed Income			
<i>Core or Core Plus (SSgA)</i>	10%	- 5%, +25%	5% to 35%
<i>Mortgage (TBD)</i>	5%	+/- 5%	0% to 10%
Total Fixed Income	15%	- 5%, +25%	10% to 40%
Alternatives			
<i>Hedge Funds</i>	2.5%		
<i>Other Absolute Return Strategies</i>	2.5%		
<i>Private Equity</i>	5%		
<i>Real Estate</i>	5%		
<i>Infrastructure</i>	10%		
Total Alternatives	25%	-25%, +5%	0% to 30%

Comparison with Other Endowments

Western considered the asset mix of comparable U.S. and Canadian university endowments when revising its asset mix. Compared to U.S. university endowments with US\$ 100 million to US\$ 500 million in assets, the changes would place Western below the average allocation to alternatives by about 10%. Compared to Canadian university endowments with more than \$100 million in assets, the changes would place Western above the average allocation to alternatives by about 14%.

Asset Mix Comparison

Asset Class	Western (Current)	Western (Proposed)	CAUBO ¹	NACUBO ²
Equities	60%	60%	59%	42%
Fixed Income	25%	15%	30%	17%
Alternatives	15%	25%	11%	35%
Other	0%	0%	0%	6%

Expected Returns and Risks from the New Policy

Based on current financial market expectations for the next 20 years, our investment consultant has indicated following expected returns and risks and for the operating and endowment portfolio:

Expected Risk and Returns

	Current Policy	Proposed Policy
Expected Annual Return	7.1%	7.3%
Expected Standard Deviation ³	13.0%	14.5%
Expected Real Return	4.2%	4.4%

The proposed policy mix is expected to provide sufficient returns to meet our payout objective for the endowments of 4.0% over time and also to provide additional returns to allow the endowment capital to grow over time to compensate for inflation.

Why Add Infrastructure?

Historically, infrastructure assets have provided a long-term hedge against inflation and returns with a low correlation with traditional asset classes. In addition, infrastructure assets provide regular cash income. There's an enormous need for private-sector investment in infrastructure globally, in both developed and developing economies. Given the essential role of infrastructure assets and the trend toward privatizing infrastructure assets, the asset class is well positioned to provide investors with attractive total returns. The Committee will consider various forms of infrastructure investments, including private direct closed-end fund, private direct open-ended funds and listed infrastructure. The Committee's preference is for a structure that would provide an immediate exposure to infrastructure assets.

¹ The CAUBO asset mix percentages represent the equally weighted average allocation for the 23 Canadian university endowments that are in excess of \$100 million as at December 31, 2010.

² The NACUBO asset mix percentages represent the equally weighted average allocation for 239 North American university endowments with assets between US\$100 million and US\$500 million as at June 30, 2010.

³ The expected standard represents the estimated risk of the Fund on an annual basis. We expect that annual returns will fall within a range of plus one standard deviation to minus 1 standard deviation about 2/3rds of the time. Simply stated we expect that, most of the time, annual returns should fall in the range of plus 21.8% to minus 7.2%.

Impact on Liquidity

The proposed policy increases by 10% the Fund allocation to illiquid alternative investments, such as private equity, real estate, infrastructure and hedge funds. The Committee has done extensive research and modeling to ensure that the increased illiquidity of the Fund can be managed. Several extreme scenarios were modeled and their impact on the liquidity of the portfolio was assessed. In addition, the administration closely monitors unfunded commitments to the various alternative programs. The university also maintains significant assets in a short-term fund (\$131 million as of July 31, 2011) and has access to a \$20 million overdraft facility to deal with short-term liquidity needs. The Operating and Endowment Fund is managed with a long-term horizon and it is not common for the administration to withdraw funds from the portfolio. It occurred the last time in fiscal 1996 when \$16.0 million in funds were withdrawn.

Board of Governors
September 27, 2011

APPENDIX II
Annex 1 (a)

The University of Western Ontario
Operating and Endowment Fund
Statement of Investment Objectives, Policies and Governance

Revised *September 2011*

The University of Western Ontario
Operating and Endowment Fund
Statement of Investment Objectives, Policies and Governance

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Part I

Purpose and Background

The purpose of this Statement of Investment Objectives, Policies and Governance is to document the investment beliefs, principles and policies of The University of Western Ontario for the Operating and Endowment Fund (the Fund). It is a management document that is not designed to satisfy any specific legislation, but is expected to demonstrate prudent management of the Fund and provide a framework for investments. The authority and responsibility of the decision-making entities are also documented.

The Operating and Endowment Fund includes all of the University's available funds including Endowments, and excess cash related to Non-endowed funds, which include Research, the Operating Budget, Capital funds, Ancillaries and Trust funds. The investments are managed by professional investment management firms, appointed and monitored by the Investment Committee.

Western's Endowment funds and Western's Non-endowed funds are available to invest for the long term. In fact the investment horizon for the endowments is in perpetuity. Accordingly, it is anticipated that this Fund will earn high rates of return over time and it will also be subject to volatility in returns from quarter to quarter and from year to year.

Part II

Investment Committee Beliefs

The Investment Committee operates on various premises, including:

- A governance framework is essential to achieve success in managing investments and consists of:
 - A diverse, independent and experienced Investment Committee to mentor, monitor and counsel University of Western Ontario Administration
 - Written investment objectives, policies and governance guidelines to facilitate efficient operations
 - Acknowledgment and delegation of responsibilities amongst three levels of fiduciaries:
 - Board of Governors – approves policies and is ultimately responsible for results attained
 - Investment Committee – designs policies and oversees implementation thereon
 - Administration - implements policy directly and through contracted agents.
 - Establishment of risk management policies, commensurate with the fund's circumstance, which attempt to address the greatest investment risks within the fund. However, it must be recognized that in order to attain the stated objectives, some risk is desirable within the fund

- A broadly diversified portfolio which includes bonds, equities and alternative investments is the best way to achieve acceptable nominal and real returns and is a prudent and cost effective method of reducing risk.
- Cash is generally the asset class with the lowest expected long term returns and should be minimized.
- Bonds provide a steady income stream and often experience lower portfolio value variations when equity performance is volatile.
- Equities provide dividend income and/or potential capital growth and are expected to outperform bonds by a risk and volatility premium.
- Equity premiums are dynamic and not predictable, hence diversification by market, manager and style is preferred.
- Alternative investments provide income and potential capital growth, but generally require more expertise than equities and have higher management costs.
- Portfolio rebalancing according to asset range guidelines is a procedure that maintains equity/bond exposures at risk policy levels.
- Active portfolio managers may add value, after taking into account related additional fees and charges, particularly in less efficient markets such as Canadian and Non North American equities and alternative investments.
- The Operating and Endowment portfolio has a long duration with low liquidity needs and as a result can hold some of its assets in illiquid investments (e.g. real estate, private equity and hedge funds) with an objective to achieve additional diversification and an additional equity return premium.
- It is very difficult to repeatedly time the market through ongoing changes to the equity/bond mix and in individual elements of the portfolio.
- Portfolio return objectives and pursuits thereon must be evaluated on a net of fees and charges basis.
- Most University of Western Ontario operating costs and obligations are denominated in Canadian dollars, hence some foreign currency hedging is desirable to reduce risk.
- Members of the Investment Committee will advise the Committee Chair of any conflicts of interest that arise.
- The above investment beliefs should be reviewed on an annual basis.

Part III

Investment Objectives and Policies

Fund Objectives

1. To earn a minimum real rate of return of 4% (see note 1 below) per annum over the long term which is intended to represent an appropriate balance between the need to generate investment revenue and an acceptable level of risk.
2. To earn the return produced by the asset mix policy, based on the return of the market indices, plus a premium to reflect active portfolio management. The premium should at least cover the cost of active management.
3. To meet the following obligations:
 - a) Pay the total return generated by the Endowment funds' share of the Fund to the capital of the Endowment funds.
 - b) Pay the 30-day Treasury bill rate less an administrative fee of .42% to a portion of the Non-endowed funds, as outlined in the Investment Payout Policy 2.11. Such Non-endowed funds include the Capital fund, Ancillaries, and Trust funds but do not include Research Funds.
 - c) Pay the amounts required for the Supplemental Pension Plan and for Term endowments as outlined in the Investment Payout Policy 2.11.
 - d) Pay an annual allocation to the Operating Budget, subject to availability and restricted to one-time allocations.
 - e) When investment returns exceed the above allocations for spending, and are in excess of the reserve requirements (as defined later in this document), the Board of Governors may make additional allocations in relation to University priorities and needs.

Risk Tolerance

A 4% real rate of return over time can only be achieved by accepting a level of risk or volatility in returns from quarter to quarter and from year to year. The current expected annual policy return on the portfolio is 7.3 % and the expected standard deviation of returns is 14.5%. As a result, we expect that annual policy returns will fall within a range of minus 7.2% to plus 21.8% about 67% of the time and that annual returns will fall outside of this range about 33% of the time. It is anticipated that active management will add value over the policy return over time.

Asset Mix Policy

The Investment Committee reviews the asset mix policy on an annual basis to maintain, over the long term, the best balance between investment returns within an acceptable level of risk. The current target asset mix policy is 60% publicly traded equities, 15% fixed income and 25% alternative investments. The asset mix policy is based on an optimization

1 The real return objective of 4% is before deducting fees for investment managers and excluding any value added coming from active management.

model generated by an investment consultant to the Committee and this model projects investment return and risk based on historic relationships among the asset classes. To achieve the return objective, the portfolio has a substantial weight in equities.

Rebalancing Policy

The Investment Committee is permitted to deviate from the approved asset mix policy as follows:

UWO Operating & Endowment Fund Rebalancing Policy September 2011

Asset Class	Target Mix	Allowable Drift	Range
Canadian Equities			
<i>Highstreet</i>	7%	+/- 2%	5% to 9%
<i>Beutel, Goodman</i>	7%	+/- 2%	5% to 9%
<i>Greystone</i>	6%	+/- 2%	4% to 8%
Total Canadian Equities	20%	+/- 2%	18% to 22%
U.S. Equities			
<i>S&P 500 Hedged (SSgA)</i>	11%	+/- 2%	9% to 13%
<i>S&P Midcap 400 Hedged (SSgA)</i>	4%	+/- 2%	2% to 6%
<i>J.P. Morgan 130/30</i>	5%	+/- 5%	0% to 10%
Total U.S. Equities	20%	+/- 2%	18% to 22%
EAFE Equities			
<i>Templeton</i>	10%	+/- 2%	8% to 12%
<i>MFS</i>	10%	+/- 2%	8% to 12%
Total EAFE Equities	20%	+/- 2%	18% to 22%
Total Equities	60%	+/- 5%	55% to 65%
Fixed Income			
<i>Core or Core Plus (SSgA)</i>	10%	- 5%, +25%	5% to 35%
<i>Mortgage (TBD)</i>	5%	+/- 5%	0% to 10%
Total Fixed Income	15%	- 5%, +25%	10% to 40%
Alternatives			
<i>Hedge Funds</i>	2.5%		
<i>Other absolute return strategies</i>	2.5%		
<i>Private Equity</i>	5%		
<i>Real Estate</i>	5%		
<i>Infrastructure</i>	10%		
Total Alternatives	25%	-25%, +5%	0% to 30%

Changes to the asset mix policy beyond these ranges would require the approval of the Property and Finance Committee on the recommendation of the Investment Committee.

Target Ratios for Non-Endowed Funds

The investment earnings objective of a 4% real rate of return is expected to exceed the payout obligations, over time for Non-endowed and Research funds. Indeed, a fundamental premise is that investment returns in excess of the direct payouts obligations, will be generated to meet other important University needs.

Reserves, being the cumulative difference between investment returns and payouts are maintained for non-endowed funds to accommodate the short-term variability of investment returns and thus reduce, to an acceptable level, the risk associated with meeting the payout obligations discussed in 3 (b) and (c) above.

The reserve level is equal to the total market value of the non-endowed portion of the portfolio less the obligations owing to operating and other non-endowed funds. It is recognized that there

is potential for the reserve level for non-endowed funds to be in deficit. Nevertheless, the Investment Committee is expected to take a long-term view of the management of the portfolio and to maintain an asset mix, which is expected to earn a real rate of return of 4% over the long run.

The Administration provides quarterly reports to the Property and Finance Committee which monitor the reserve levels for non-endowed funds by reporting the ratio of the market value of investments to the capital of Non-endowed funds (also referred to as the obligations of the Non-endowed portfolio), at the end of each fiscal quarter over time. The Board's policy requires the ratio of investments to obligations to maintain a target level of at least 1.08, based on a 12 quarter moving average. It is recognized that due to volatility in investment returns this ratio may fall below 1.00 at the end of a given quarter. Any such shortfall will be shown in the annual financial statements but will not be used in calculating the balanced operating budget required by the Board.

Endowment Spending Policy

The Board of Governors establishes policy for endowment spending (outlined in policy MAPP 2.11, as amended from time to time). Such policies are designed to ensure that current and future generations share equally in the benefits of the endowments.

Eligible Investments

Fixed Income

Fixed income investments may include Canadian Government and Guaranteed- Affiliates bonds, real return bonds, provincial and municipal bonds, corporates/credit sensitive securities (includes the debt of corporations, supranational agencies and municipal entities whether domiciled inside or outside Canada, in developed or developing countries), sovereign bonds from developed or developing countries, high-yield bonds, mortgages, preferred stock, commercial mortgage-backed securities, commercial mortgages, mortgage-backed securities, asset-backed securities, private placements, convertible securities, cash and equivalent and fixed income futures and options.

Equities

Equity investments include common stock and equivalent securities, including, but not limited to, equity warrants, rights, call options, installment receipts, subscription receipts, convertible debentures, limited partnerships, private placements, REITs, preferred shares, stapled units (see note 2 below), stock index futures, options on futures and other derivative securities to manage risk, such as currency futures. The common stock or equivalent securities may be traded on Canadian, U.S., international or emerging markets stock exchanges. Specific equity mandates may be classified as Canadian equity, U.S. equity, international equity, global equity or emerging markets equity.

Alternative Investments

Alternative investments include real estate, infrastructure, venture capital, private equity,

2 A stapled unit is a security that is contractually bound to one or more other securities to form a single salable unit.

distressed debt, commodities such as oil and gas and timber, hedge funds and other absolute return strategies. Alternatives investments are generally not as liquid as publicly traded investments, however it is our belief that the Fund does not need to be fully liquid and we expect to achieve additional returns over time from investments that are less liquid.

Alternative investments may include leverage, to be defined below for each category.

Hedge funds

Hedge Funds involve the active management of a variety of investment strategies for equity and fixed income portfolios. These strategies are not managed, nor is their performance measured, relative to passive indexes or benchmarks. Hedge funds may involve private partnerships, they may buy securities and sell securities short, they often use leverage and they typically charge higher fees than traditional investment managers. Hedge funds are expected to earn rates of return that are above the returns for bonds, with low volatility and have low correlation with returns from equity or bond portfolios. In order to ensure diversification for funds allocated to this strategy, a fund of funds approach may be followed. Under a fund of funds approach, an investment manager is hired to screen and select hedge fund managers, to allocate funds among various such managers and to oversee each such manager. This results in a diversification of hedge fund strategies and provides the required expertise to oversee each strategy and to reduce the risk of having a loss of capital if any individual managers are unsuccessful.

Gross leverage for hedge fund investments is limited to two times the net asset value.

Other Absolute Return Strategies

Most hedge funds are classified as absolute return strategies, i.e. they try to achieve positive returns irrespective of the market environment and exhibit low correlations with bonds and stock portfolios. Some absolute return strategies use an investment process and offer features that are different, and generally seen as less risky, than those typically exhibited by hedge funds. Some of these features include leverage, transparency, liquidity and performance fees. Absolute return strategies that have the following characteristics would not be classified as hedge funds:

- No use of leverage (either through borrowing, short selling or the use of derivatives)
- Adequate transparency: ability for investors to know the nature of underlying investments
- Liquidity available at least on a monthly basis
- No excessive performance based fees

Private Equity

Private equity investments are privately negotiated investments with equity or equity-like features made in companies that are generally not traded or otherwise do not provide investment liquidity. (See note 3 below)

Private equity investments may include leverage that is appropriate for that asset class.

Real Estate

Real estate investments are ownership investments in land and buildings that are used for office, industrial, retail or residential purposes. Returns from real estate are expected to provide an

3 Source “The 2005-2006 Russell Survey on Alternative Investing”

offset for inflation over time.

Real estate investments may include leverage that is appropriate for that asset class.

Infrastructure

Infrastructure investments are investments in assets that provide essential services with sustainable demand and predictable cash flows. (see note 4 below). Returns from infrastructure are expected to provide an offset for inflation over time.

Infrastructure investments may include leverage that is appropriate for that asset class.

Manager Structure

The Investment Committee manages the risk profile of the Fund by establishing the asset mix policy. The Committee hires investment managers with asset specific asset class investment mandates as opposed to balanced investment mandates and the Committee is thus able to manage the actual asset mix of the Fund.

The Investment Committee may hire either active or passive investment managers. Passive management is preferred in markets where active managers have not been able to generally outperform the market indices such as the current case in Canadian fixed income securities. Active managers are required to earn a prescribed amount over the appropriate index return to cover their fees and to compensate for the greater risk of active management.

Management of publicly traded equities may involve the use of leverage and short selling at a level of 5% of the total portfolio, which the Committee may manage within a range of 0% to 10% of the total portfolio and this is restricted to a limited long-short strategy where the investment manager is permitted to sell short (see note 5 below) up to 40% of the value of their portfolio and use the proceeds from the short sales to buy additional securities. The manager will sell short the stocks that the manager thinks will have negative returns and thus benefit from such transaction and invest in stocks that are expected to outperform the market and as a result add additional value.

There is a preference for multiple manager styles for the total fund. Within equities, styles can include value and growth. Within bonds, styles can include interest rate anticipation, sector selection, security selection, yield curve positioning and currency management or passive (index returns).

The University's tax-exempt status makes interest, dividends, capital gains and foreign exchange gains equally desirable.

Exposure to Non-Canadian Currencies

The Canadian equity market represents approximately 5% of total world equity market in terms

4 Infrastructure investments projects include water, utilities, toll roads, bridges, tunnels, communications and airports

5 When a security is sold short, the security is borrowed from a broker and sold with the intention of making a profit by buying the security back at a lower value.

of total capitalization. Non-Canadian investments are included in the Fund in order to add diversification and reduce volatility of returns. Non-Canadian investments need not necessarily incur gains or losses from increases or decreases in the value of the Canadian dollar relative to currencies in other countries. This can be accomplished through currency hedging techniques employed by an investment manager.

Although, an analysis of the University's spending shows that less than 5 % of all expenditures are in non-Canadian funds, the value of the Canadian dollar affects the price of imported materials that are resold in Canada. Accordingly, it is appropriate to have some exposure to investments within currencies that are Non-Canadian to provide a hedge against a major fall in the value of the Canadian dollar.

The policy range of exposure to Non-Canadian currencies has been established to be within the range of 10% to 30% of the total Fund.

Measurement of Investment Returns

Investment returns are measured quarterly and assessed in relation to the following criteria:

- (a) The overall objective is to achieve a real rate of return of 4% over the long-term on the total portfolio, with an acceptable level of risk. The real rate of return is monitored on a four (5) year annualized basis.
- (b) The Managers are expected to achieve the performance objectives included in their mandates over 4 year periods.

Cash Flow Management

The objectives of the University's cash flow management process are as follows:

- 1. To maximize the funds that are available for external, professional management in the Operating and Endowment Fund, while maintaining sufficient short-term investments outside of the Operating and Endowment portfolio to meet the University's working capital requirements.
- 2. To generally maintain a positive cash balance throughout each year in order to meet the University's liquidity needs, investing temporary excess cash in money market funds and short term fixed income funds to provide cash as required for working capital needs. The Investment Committee shall approve the investment managers for such funds.
- 3. To only borrow funds for short periods of time to support operating purposes. A line of credit is maintained for operating needs in the amount of up to \$20 million.
- 4. To ensure, as much as reasonably possible, that the funds allocated to external managers are not subject to short-term seasonal variations as a result of seasonal variations in the University's cash flow.

The above objectives require Financial Services to monitor funds on a daily basis and regularly monitor and project total cash balances across all university accounts.

Conflict of Interest

If a member of the Investment Committee, or any agent of or advisor to the Committee, has any material pecuniary interest, direct or indirect, in any matter in which the fund is concerned, and becomes aware of such a conflict, that person shall, without delay, disclose this interest in writing and shall not take part in any debate or vote on such a matter. It is noted that agents and advisors are permitted to present items to the Committee and it is understood that such agents and advisors may benefit in the event that the Committee adopts the items.

The Investment Committee shall include in the mandate of each investment manager the requirement to comply with the Code of Ethics and Standards of Professional Conduct adopted by the CFA Institute.

Every disclosure of interest under this section shall be recorded in the minutes of the Investment Committee meeting. The failure of a person to comply with the procedures described in this section shall not of itself invalidate any decision, contract or other matter.

If a conflict of interest is discovered or disclosed after the Investment Committee has made a decision, the Investment Committee will reconsider the decision, in light of this new information.

Voting Rights

The exercise of voting rights acquired through any investment is delegated to the investment managers with the instruction to vote in favour of any proposal which, in their opinion, will accrue and enhance the investment value of the relevant security, and against any proposals which will unduly increase the risk level or reduce the investment value of the relevant security to the detriment of the fund.

If the investment management firm, or any employee or associate of the investment management firm, has any direct or indirect pecuniary interest in any matter on which the Fund has a right to vote, it must be brought to the attention of the Committee which has discretion to:

1. instruct the investment manager to exercise the voting right in line with the principles described above, on the grounds that the relevant pecuniary interest is not material; or,
2. instruct the investment manager how to cast the fund's vote, having considered the principles described above; or,
3. authorize the fund's custodian/trustee to exercise the voting right in line with the principles described above.

Part IV

Governance

Responsibilities are divided among the Property and Finance Committee (P&F) of the Board of Governors, the Investment Committee, which is a sub-committee of P&F, and the Financial Services Division as noted below.

Property and Finance Committee

1. When appropriate recommends, to the Board, changes to the Statement of Investment Objectives, Policies and Governance.
2. Receives quarterly reports from the Investment Committee and may request assessment and evaluation of alternative investment policies and strategies.
3. Recommends for Board approval payout policies for the endowed and non-endowed funds of the University.
4. Monitors the target ratio of total non-endowed funds.
5. Appoints members of the Investment Committee.
6. Reports investment activities to the Board of Governors

Investment Committee

The overall objective of the Investment Committee is to bring expert advice and knowledge to bear on the effective management of the University's operating and endowment fund, consistent with the approved fund objectives. Within this general mandate, the Investment Committee:

1. Develops and regularly reviews the Statement of Investment Objectives, Policies and Governance and recommends to Property and Finance for approval. In particular, periodically reviews the asset mix policy and real rate of return objective included in the Statement and recommends changes to Property and Finance as appropriate.
2. Directs the investment according to the approved asset mix policy, in the markets it considers to be the most appropriate.
3. Manages exposure to non-Canadian currencies within a range of 10% to 30% of total assets. Each external manager is responsible to comply with a stated non-Canadian currency exposure and report any deviation to management. Any deviation to the overall policy will be the result of a deviation to the asset mix policy and will be reported by

administration to the Investment Committee.

4. Determines and monitors any deviation from policy within the approved asset mix ranges.
5. Structures the portfolio, giving consideration to:
active versus passive management
specialty versus balanced management manager styles
6. Makes decisions concerning the engagement and termination of investment managers, consultants providing performance measurement and investment advice, and custodians.
7. Approves mandates and investment objectives given to individual investment managers and establishes criteria for manager review.
8. Makes investment-related policy decisions such as securities lending, directed commissions, etc.
9. Meets quarterly to monitor investment performance of the total Fund and of individual managers and assesses each manager's compliance with the approved mandate. The Committee will maintain a process to undertake a special review of individual managers, should the circumstances warrant it.
10. Stays abreast of new instruments and investment products.
11. Establishes policy for rebalancing of funds among the Investment managers.

Financial Services Division

1. Ensures compliance with legal and University requirements.
2. Rebalances the portfolio by transferring funds among managers and asset classes as appropriate according to policies approved by the Committee and reports such activity to the Committee.
3. Manages University cash flows in accordance with the objectives and policies outlined in part III of this document. Reports to the Investment Committee about the University's cash flows, short term investing and borrowing activities on a periodic basis.
4. Executes investment decisions made by the Committee.
5. Reports to the Committee on the performance of individual managers and of the total Fund. Keeps the Committee informed of all other issues and developments relative to the management of the University investment portfolio.

6. Works closely with and directs the consultant, the custodian and the investment managers as appropriate.
7. Reports to the Committee on other University activities that have an impact on the investment portfolio.
8. Periodically meets with each member of the Investment Committee to discuss any concerns, additional information requirements and suggestions for improvement.
9. Maintains an awareness of progressive investment management policies and practices at other Canadian and US universities.
10. Reports to the Investment Committee and to the Property and Finance Committee on the ratio of investments to obligations for the non-endowed portion of the portfolio.
11. Makes recommendations to the Investment Committee concerning terminating investment managers and hiring new investment managers.

**Board of Governors
September 27, 2011**

**APPENDIX II
Annex 1(b)**

**The University of Western Ontario
Operating and Endowment Fund
Statement of Investment Objectives, Policies and Governance**

| Revised ~~November 2007~~ ~~May 2011~~ ~~July~~ September 2011

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The University of Western Ontario
Operating and Endowment Fund
Statement of Investment Objectives, Policies and Governance

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Part I

Purpose and Background

The purpose of this Statement of Investment Objectives, Policies and Governance is to document the investment [beliefs](#), principles and policies of The University of Western Ontario for the Operating and Endowment Fund (the Fund). It is a management document that is not designed to satisfy any specific legislation, but is expected to demonstrate prudent management of the Fund and provide a framework for investments. The authority and responsibility of the decision-making entities are also documented.

The Operating and Endowment Fund includes all of the University's available funds including Endowments, and excess cash related to Non-endowed funds, which include Research, the Operating Budget, Capital funds, Ancillaries and Trust funds. The investments are managed by professional investment management firms, appointed and monitored by the Investment Committee.

Western's Endowment funds and Western's Non-endowed funds are available to invest for the long term. In fact the investment horizon for the endowments is in perpetuity. Accordingly, it is anticipated that this Fund will earn high rates of return over time and it will also be subject to volatility in returns from quarter to quarter and from year to year.

Part II

Investment Committee Beliefs

The Investment Committee operates on various premises, including:

- A governance framework is essential to achieve success in managing investments and consists of:
 - - A diverse, independent and experienced Investment Committee to mentor, monitor and counsel University of Western Ontario Administration
 - Written investment objectives, policies and governance guidelines to facilitate efficient operations
 - Acknowledgment and delegation of responsibilities amongst three levels of fiduciaries:
 - Board of Governors – approves policies and is ultimately responsible for results attained
 - Investment Committee – designs policies and oversees implementation thereon
 - Administration - implements policy directly and through contracted agents.
 - Establishment of risk management policies, commensurate with the fund's circumstance, which attempt to address the greatest investment risks within

the fund. However, it must be recognized that in order to attain the stated objectives, some risk is desirable within the fund

- A broadly diversified portfolio which includes bonds, equities and alternative investments is the best way to achieve acceptable nominal and real returns and is a prudent and cost effective method of reducing risk.
- Cash is generally the asset class with the lowest expected long term returns and should be minimized.
- Bonds provide a steady income stream and often experience lower portfolio value variations when equity performance is volatile.
- Equities provide dividend income and/or potential capital growth and are expected to outperform bonds by a risk and volatility premium.
- Equity premiums are dynamic and not predictable, hence diversification by market, manager and style is preferred.
- Alternative investments provide income and potential capital growth, but generally require more expertise than equities and have higher management costs.
- Portfolio rebalancing according to asset range guidelines is a procedure that maintains equity/bond exposures at risk policy levels.
- Active portfolio managers may add value, after taking into account related additional fees and charges, particularly in less efficient markets such as Canadian and Non North American equities and alternative investments.
- The Operating and Endowment portfolio has a long duration with low liquidity needs and as a result can hold some of its assets in illiquid investments (e.g. real estate, private equity and hedge funds) with an objective to achieve additional diversification and an additional equity return premium.
- It is very difficult to repeatedly time the market through ongoing changes to the equity/bond mix and in individual elements of the portfolio.
- Portfolio return objectives and pursuits thereon must be evaluated on a net of fees and charges basis.
- Most University of Western Ontario operating costs and obligations are denominated in Canadian dollars, hence some foreign currency hedging is desirable to reduce risk.
- Members of the Investment Committee will advise the Committee Chair of any conflicts of interest that arise.
- The above investment beliefs should be reviewed on an annual basis.

Fund Objectives

1. To earn a minimum real rate of return of 5.4% (see note 1 below) per annum over the long term which is intended to represent an appropriate balance between the need to generate investment revenue and an acceptable level of risk.
2. To earn the return produced by the asset mix policy, based on the return of the market indices, plus a premium to reflect active portfolio management. The premium should at least cover the cost of active management.
3. To meet the following obligations:
 - a) Pay the total return generated by the Endowment funds' share of the Fund to the capital of the Endowment funds.
 - b) Pay the 30-day Treasury bill rate less an administrative fee of ~~1.15~~ .42% to a portion of the Non-endowed funds, as outlined in the Investment Payout Policy 2.11. Such Non-endowed funds include the Capital fund, Ancillaries, and Trust funds but do not include Research Funds.
 - c) Pay the amounts required for the Supplemental Pension Plan and for Term endowments as outlined in the Investment Payout Policy 2.11.
 - d) Pay an annual allocation to the Operating Budget, subject to availability and restricted to one-time allocations.
 - e) When investment returns exceed the above allocations for spending, and are in excess of the reserve requirements (as defined later in this document), the Board of Governors may make additional allocations in relation to University priorities and needs.

Risk Tolerance

A 5.4% real rate of return over time can only be achieved by accepting a level of risk or volatility in returns from quarter to quarter and from year to year. The current expected annual policy return on the portfolio is 7.77.3 % and the expected standard deviation of returns is ~~plus or minus 10.7~~ 14.5%. As a result, we expect that annual policy returns will fall within a range of minus ~~3.07.2~~% to plus ~~18.421.8~~% about 67% of the time and that annual returns will fall outside of this range about 33% of the time. It is anticipated that active management will add value over the policy return over time. ~~—UWOH~~

Asset Mix Policy

The Investment Committee reviews the asset mix policy on an annual basis to maintain, over the long term, the best balance between investment returns within an acceptable level of risk. The ~~current~~ current target asset mix policy is 60% publicly traded equities,

~~25~~ 15% fixed income ~~and~~ and ~~15~~ 25% alternative investments. The asset mix policy is based on an optimization model generated by an investment consultant to the Committee and this

1 The real return objective of 5.4% is before deducting fees for investment managers and excluding any value added coming from active management, which are approximately 0.5%. ~~The real rate of return objective after fees is 4.53.5%, which is equal to the long term real payout objective for the endowments.~~

model projects investment return and risk based on historic relationships among the asset classes. To achieve the return objective, the portfolio has a substantial weight in equities.

Rebalancing Policy

The Investment Committee is permitted to deviate from the approved asset mix policy as follows:

UWO Operating & Endowment Fund Rebalancing Policy May/September 2011

<u>Asset Class</u>	<u>Target Mix</u>	<u>Allowable Drift</u>	<u>Range</u>
<u>Canadian Equities</u>			
<u>Highstreet</u>	10. 7%	+/- 2%	5% to 9%
<u>Beutel, Goodman</u>	11. 7%	+/- 2%	5% to 9%
<u>Greystone</u>	12. 6%	+/- 2%	4% to 8%
<u>Total Canadian Equities</u>	20%	+/- 2%	18% to 22%
<u>U.S. Equities</u>			
<u>S&P 500 Hedged (SSgA)</u>	11%	+/- 2%	9% to 13%
<u>S&P Midcap 400 Hedged (SSgA)</u>	4%	+/- 2%	2% to 6%
<u>J.P. Morgan 130/30</u>	5%	13. +/- 5%	14. 0% to 10%
15. <u>Total U.S. Equities</u>	16. 20%	17. +/- 2%	18. 18% to 22%
<u>EAFE Equities</u>			
19. <u>Templeton</u>	10%	+/- 2%	8% to 12%
20. <u>MFS</u>	10%	+/- 2%	8% to 12%
<u>Total EAFE Equities</u>	20%	+/- 2%	18% to 22%
<u>Total Equities</u>	60%	+/- 5%	55% to 65%
<u>Fixed Income</u>			
22. <u>Core or Core Plus (SSgA)</u>	10%	- 5%, +25%	5% to 35%
23. <u>Mortgage (TBD)</u>	5%	+/- 5%	0% to 10%
<u>Total Fixed Income</u>	15%	- 5%, +25%	10% to 40%
<u>Alternatives</u>			
<u>Hedge Funds</u>	2.5%		
<u>Other Absolute Return Strategies</u>	2.5%		
<u>Private Equity</u>	5%		
<u>Real Estate</u>	5%		
<u>Infrastructure</u>	25. 10%		
<u>Total Alternatives</u>	25%	-25%, +5%	0% to 30%

~~by up to plus or minus 5% for each category, i.e., equities may range from 55% to 65% of the total Fund, fixed income may range from 20% to 35% and alternative investments may range from 5% to 20%.~~ Changes to the asset mix policy beyond these ranges would require the approval of the Property and Finance Committee on the recommendation of the Investment Committee.

~~The Committee is required to establish a rebalancing policy to ensure that the actual asset mix of the Fund is adjusted to the asset mix policy when required as a result of differences in market performance among the various asset classes and investment managers.~~

Target Ratios for Non-Endowed Funds

~~As indicated in Appendix 1, t~~The investment earnings objective of a 54% real rate of return is expected to exceed the payout obligations, over time for Non-endowed and Research

funds. Indeed, a fundamental premise is that investment returns in excess of -the direct payouts obligations, will be generated to meet other important University needs.

Reserves, being the cumulative difference between investment returns and payouts are maintained for non-endowed funds to accommodate the short-term variability of investment returns and thus reduce, to an acceptable level, the risk associated with meeting the payout obligations discussed in 3 (b) and (c) above.

The reserve level is equal to the total market value of the non-endowed portion of the portfolio less the obligations owing to operating and other non-endowed funds. It is recognized that there is potential for the reserve level for non-endowed funds to be in deficit. Nevertheless, the Investment Committee is expected to take a long-term view of the management of the portfolio and to maintain an asset mix, which is expected to earn a real rate of return of 5.4% over the long run.

The Administration provides quarterly reports to the Property and Finance Committee which monitor the reserve levels for non-endowed funds by reporting the ratio of the market value of investments to the capital of Non-endowed funds (also referred to as the obligations of the Non-endowed portfolio), at the end of each fiscal quarter over time. The Board's policy requires the ratio of investments to obligations to maintain a target level of at least 1.08, based on a 12 quarter moving average. It is recognized that due to volatility in investment returns this ratio may fall below 1.00 at the end of a given quarter. Any such shortfall will be shown in the annual financial statements but will not be used in calculating the balanced operating budget required by the Board.

Endowment Spending Policy

The Board of Governors establishes policy for endowment spending policies (outlined in policy MAPP 2.11, as amended from time to time). Such policies are designed to ensure that current and future generations share equally in the benefits of the endowments.

Eligible Investments

Fixed Income

Fixed income investments may include Canadian Government and Guaranteed- Affiliates bonds, real return bonds, provincial and municipal bonds, corporates/credit sensitive securities (includes the debt of corporations, supranational agencies and municipal entities whether domiciled inside or outside Canada, in developed or developing countries), sovereign bonds from developed or developing countries, high-yield bonds, mortgages, preferred stock, commercial mortgage-backed securities, commercial mortgages, mortgage-backed securities, asset-backed securities, private placements, convertible securities, cash and equivalent and fixed income futures and options.

~~Fixed income investments may include Canadian Government, provincial, municipal and corporate bonds, non-Canadian bonds, mortgages, asset backed securities, mortgage backed securities and preferred shares.~~

Equities

Equity investments include common stock and equivalent securities, including, but not limited to, equity warrants, rights, call options, installment receipts, subscription receipts, convertible debentures, limited partnerships, private placements, REITs, preferred shares, stapled units (see

note 2 below), stock index futures, options on futures and other derivative securities to manage risk, such as currency futures. The common stock or equivalent securities may be traded on Canadian, U.S., international or emerging markets stock exchanges. Specific equity mandates may be classified as Canadian equity, U.S. equity, international equity, global equity or emerging markets equity. ~~Equity investments may include common stock and equivalent securities, including, but not limited to, equity warrants, rights, call options, installment receipts, convertible debentures, limited partnerships, private placements, REITs, income trusts, preferred shares, stock index futures, and options on futures. The common stock or equivalent securities may be traded on Canadian, U.S., international or emerging markets stock exchanges. Specific equity mandates may be classified as Canadian equity, U.S. equity, international equity, global equity or emerging markets equity.~~

Alternative Investments

Alternative investments include real estate, infrastructure, venture capital, private equity, distressed debt, commodities such as oil and gas and timber, hedge funds and others absolute return strategies. ~~The asset policy mix for alternative investments has been established at a level of 15% of the portfolio, which the Committee may manage within a range of 5% to 20 to 20%.~~ Alternatives investments are generally not as liquid as publicly traded investments, however it is our belief that the Fund does not need to be fully liquid and we expect to achieve additional returns over time from investments that are less liquid.

Alternative investments may include leverage, to be defined below for each category.

~~At this time the strategy for alternative investments is limited to hedge funds, private equity and real estate~~

Hedge funds

Hedge Funds involve the active management of a variety of investment strategies for equity and fixed income portfolios. These strategies are not managed, nor is their performance measured, relative to passive indexes or benchmarks. Hedge funds may involve private partnerships, they may buy securities and sell securities short, they often use leverage and they typically charge higher fees than traditional investment managers. Hedge funds are expected to earn rates of return that are above the returns for bonds, with low volatility and have low correlation with returns from equity or bond portfolios. In order to ensure diversification for funds allocated to this strategy, a fund of funds approach ~~is~~ may be followed. Under a fund of funds approach, an investment manager is hired to screen and select hedge fund managers, to allocate funds among various such managers and to oversee each such manager. This results in a diversification of hedge fund strategies and provides the required expertise to oversee each strategy and to reduce the risk of having a loss of capital if any individual managers are unsuccessful.

Gross leverage for hedge fund investments is limited to two times the net asset value.

~~The asset policy mix for hedge funds has been established at a level of 5% of the total portfolio,~~

2 A stapled unit is a security that is contractually bound to one or more other securities to form a single salable unit.

~~which the Committee may manage within a range of 0% to 10%~~

Other Absolute Return Strategies

Most hedge funds are classified as absolute return strategies, i.e. they try to achieve positive returns irrespective of the market environment and exhibit low correlations with bonds and stock portfolios. Some absolute return strategies use an investment process and offer features that are different, and generally seen as less risky, than those typically exhibited by hedge funds. Some of these features include leverage, transparency, liquidity and performance fees. Absolute return strategies that have the following characteristics would not be classified as hedge funds:

- No use of leverage (either through borrowing, short selling or the use of derivatives)
- Adequate transparency: ability for investors to know the nature of underlying investments
- Liquidity available at least on a monthly basis
- No excessive performance based fees

Private Equity

Private equity investments are privately negotiated investments with equity or equity-like features made in companies that are generally not traded or otherwise do not provide investment liquidity. (See note 3 below)

Private equity investments may include leverage that is appropriate for that asset class. The asset policy mix for private equity has been established at a level of 5% of the total portfolio, which the Committee may manage within a range of 0% to 10%.

Real Estate

Real estate investments are ownership investments in land and buildings that are used for commercial office, industrial, retail or residential purposes, and may include investments in infrastructure. Returns from real estate are expected to provide an offset for inflation over time.

Real estate investments may include leverage that is appropriate for that asset class.

Infrastructure

~~-~~Infrastructure investments are investments in assets that provide essential services with sustainable demand and predictable cash flows. (see note 4 below). ~~Real estate~~ infrastructure are expected to provide an offset for inflation over time.

Infrastructure investments may include leverage that is appropriate for that asset class.

~~The asset policy mix for real estate has been established at a level of 5% of the total portfolio, which the Committee may manage within a range of 0% to 10%~~

Manager Structure

3 Source "The 2005-2006 Russell Survey on Alternative Investing"

4 Infrastructure investments projects include water, utilities, toll roads, bridges, tunnels, communications and airports

The Investment Committee manages the risk profile of the Fund by establishing the asset mix policy. The Committee hires investment managers with asset specific asset class investment mandates as opposed to balanced investment mandates and the Committee is thus able to manage the actual asset mix of the Fund.

The Investment Committee may hire either active or passive investment managers. Passive management is preferred in markets where active managers have not been able to generally outperform the market indices such as the current case in Canadian fixed income securities. Active managers are required to earn a prescribed amount over the appropriate index return to cover their fees and to compensate for the greater risk of active management.

Management of publicly traded equities may involve the use of leverage and short selling at a level of 5% of the total portfolio, which the Committee may manage within a range of 0% to 10% of the total portfolio and this is restricted to a limited long-short strategy where the investment manager is permitted to sell short (see note 5 below) up to 40% of the value of their portfolio and use the proceeds from the short sales to buy additional securities. The manager will sell short the stocks that the manager thinks will have negative returns and thus benefit from such transaction and invest in stocks that are expected to outperform the market and as a result add additional value.

There is a preference for multiple manager styles for the total fund. Within equities, styles can include value and growth. Within bonds, styles can include ~~non-core~~ (interest rate anticipation, sector selection, security selection, yield curve positioning and currency management), ~~core~~ (minimal interest rate anticipation) or passive (index returns).

The University's tax-exempt status makes interest, dividends, capital gains and foreign exchange gains equally desirable.

Exposure to Non-Canadian Currencies

The Canadian equity market represents approximately 35% of total world equity market in terms of total capitalization. Non-Canadian investments are included in the Fund in order to add diversification and reduce volatility of returns. Non-Canadian investments need not

necessarily incur gains or losses from increases or decreases in the value of the Canadian dollar relative to currencies in other countries. This can be accomplished through currency hedging techniques employed by an investment manager.

Although, an analysis of the University's spending shows that less than 5 % of all expenditures are in non-Canadian funds, the value of the Canadian dollar affects the price of imported materials that are resold in Canada. Accordingly, it is appropriate to have some exposure to investments within currencies that are Non-Canadian to provide a hedge against a major fall in the value of the Canadian dollar.

5 When a security is sold short, the security is borrowed from a broker and sold with the intention of making a profit by buying the security back at a lower value.

The policy range of exposure to Non-Canadian currencies has been established to be within the range of 10% to 30% of the total Fund.

Measurement of Investment Returns

Investment returns are measured quarterly and assessed in relation to the following criteria:

- (a) The overall objective is to achieve a real rate of return of 5.4% over the long-term on the total portfolio, with an acceptable level of risk. The real rate of return is monitored on a four (5.4) year annualized basis.
- (b) The Managers are expected to achieve the performance objectives included in their mandates over 4 year periods.

Cash Flow Management

The objectives of the University's cash flow management process are as follows:

1. To maximize the funds that are available for external, professional management in the Operating and Endowment Fund, while maintaining sufficient short-term investments outside of the Operating and Endowment portfolio to meet the University's working capital requirements.
2. To generally maintain a positive cash balance throughout each year in order to meet the University's liquidity needs, investing temporary excess cash in money market funds and short term fixed income funds to provide cash as required for working capital needs. The Investment Committee shall approve the investment managers for such funds.
3. To only borrow funds for short periods of time to support operating purposes. A line of credit is maintained for operating needs in the amount of up to \$20 million.
4. To ensure, as much as reasonably possible, that the funds allocated to external managers are not subject to short-term seasonal variations as a result of seasonal variations in the University's cash flow.

~~It is noted that large non-recurring grants, such as the recent SuperBuild Capital grants are invested in separate short-term investments and the interest earned from these investments is allocated to the specific capital projects [UWO2].~~

The above objectives require Financial Services to monitor funds on a daily basis and regularly monitor and project total cash balances across all university accounts.

Conflict of Interest

If a member of the Investment Committee, or any agent of or advisor to the Committee, has any material pecuniary interest, direct or indirect, in any matter in which the fund is concerned, and becomes aware of such a conflict, that person shall, without delay, disclose this interest in writing and shall not take part in any debate or vote on such a matter. It is noted that agents and advisors are permitted to present items to the Committee and it is understood that such agents

and advisors may benefit in the event that the Committee adopts the items.

The Investment Committee shall include in the mandate of each investment manager the requirement to comply with the Code of Ethics and Standards of Professional Conduct adopted by the CFA Institute.

Every disclosure of interest under this section shall be recorded in the minutes of the Investment Committee meeting. The failure of a person to comply with the procedures described in this section shall not of itself invalidate any decision, contract or other matter.

If a conflict of interest is discovered or disclosed after the Investment Committee has made a decision, the Investment Committee will reconsider the decision, in light of this new information.

Voting Rights

The exercise of voting rights acquired through any investment is delegated to the investment managers with the instruction to vote in favour of any proposal which, in their opinion, will accrue and enhance the investment value of the relevant security, and against any proposals which will unduly increase the risk level or reduce the investment value of the relevant security to the detriment of the fund.

If the investment management firm, or any employee or associate of the investment management firm, has any direct or indirect pecuniary interest in any matter on which the Fund has a right to vote, it must be brought to the attention of the Committee which has discretion to:

1. instruct the investment manager to exercise the voting right in line with the principles described above, on the grounds that the relevant pecuniary interest is not material; or,
2. instruct the investment manager how to cast the fund's vote, having considered the principles described above; or,
3. authorize the fund's custodian/trustee to exercise the voting right in line with the principles described above.

Part III

Governance

Responsibilities are divided among the Property and Finance Committee (P&F) of the Board of

Governors, the Investment Committee, which is a sub-committee of P&F, and the Financial Services Division as noted below.

Property and Finance Committee

1. When appropriate recommends, to the Board, changes to the Statement of Investment Objectives, Policies and Governance.
2. Receives quarterly reports from the Investment Committee and may request assessment and evaluation of alternative investment policies and strategies.
3. Recommends for Board approval payout policies for the endowed and non-endowed funds of the University.
4. Monitors the target ratio of total non-endowed funds.
5. Appoints members of the Investment Committee.
6. Reports investment activities to the Board of Governors

Investment Committee

The overall objective of the Investment Committee is to bring expert advice and knowledge to bear on the effective management of the University's operating and endowment fund, consistent with the approved fund objectives. Within this general mandate, the Investment Committee:

1. Develops and regularly reviews the Statement of Investment Objectives, Policies and Governance and recommends to Property and Finance for approval. In particular, periodically reviews the asset mix policy and real rate of return objective included in the Statement and recommends changes to Property and Finance as appropriate.
2. Directs the investment according to the approved asset mix policy, in the markets it considers to be the most appropriate.
3. Manages exposure to non-Canadian currencies within a range of 10% to 30% of total assets. Each external manager is responsible to comply with a stated non-Canadian currency exposure and report any deviation to management. Any deviation to the overall policy will be the result of a deviation to the asset mix policy and will be reported by administration to the Investment Committee.
4. Determines and monitors any deviation from policy within the approved asset mix ranges.
5. Structures the portfolio, giving consideration to:

active versus passive management.
specialty versus balanced management manager styles

6. Makes decisions concerning the engagement and termination of investment managers, consultants providing performance measurement and investment advice, and custodians.
7. Approves mandates and investment objectives given to individual investment managers and establishes criteria for manager review.
8. Makes investment-related policy decisions such as securities lending, directed commissions, etc.
9. Meets quarterly to monitor investment performance of the total Fund and of individual managers and assesses each manager's compliance with the approved mandate. The Committee will maintain a process to undertake a special review of individual managers, should the circumstances warrant it.
10. Stays abreast of new instruments and investment products.
11. Establishes policy for rebalancing of funds among the Investment managers.

Financial Services Division

1. Ensures compliance with legal and University requirements.
2. Rebalances the portfolio by transferring funds among managers and asset classes as appropriate according to policies approved by the Committee and reports such activity to the Committee.
3. Manages University cash flows in accordance with the objectives and policies outlined in part H-III of this document. Reports to the Investment Committee about the University's cash flows, short term investing and borrowing activities on a periodic basis.
4. Executes investment decisions made by the Committee.
5. Reports to the Committee on the performance of individual managers and of the total Fund. Keeps the Committee informed of all other issues and developments relative to the management of the University investment portfolio.
6. Works closely with and directs the consultant, the custodian and the investment managers as appropriate.
7. Reports to the Committee on other University activities that have an impact on the investment portfolio.

8. Periodically meets with each member of the Investment Committee to discuss any concerns, additional information requirements and suggestions for improvement.
9. Maintains an awareness of progressive investment management policies and practices at other Canadian and US universities.
10. Reports to the Investment Committee and to the Property and Finance Committee on the ratio of investments to obligations for the non-endowed portion of the portfolio.
11. Makes recommendations to the Investment Committee concerning terminating investment managers and hiring new investment managers.



Janice M. Deakin
Provost & Vice President (Academic)

MEMORANDUM

To: Affiliated Principals, Deans, USC President, SOGS President

Cc: Amit Chakma, Gitta Kulczycki, Ted Hewitt, Kevin Goldthorp, Alan Weedon, John Doerksen, Linda Miller, Ruban Chelladurai, Julie McMullin, Steve Alb

From: Janice Deakin

Date: September 1, 2011

Re: Access Copyright

The University of Western Ontario is committed to ensuring that copyright issues are dealt with in a fair and balanced way that respects both users' and creators' rights, while recognizing the University's legal obligations and the need for faculty, staff and students to have full access to all the resources that support their work, research and study.

To this end, Western has relied on a licence agreement with Access Copyright. Unfortunately, Access Copyright's decision to seek a fundamental change in the way it deals with licensing works to universities, including a substantial (in the range of 300%) increase in the fees it charges and a more invasive monitoring of copying practices, has caused higher education institutions across Canada, including Western, to rethink their relationship with Access Copyright.

AUCC is currently involved in proceedings before the Copyright Board of Canada that we hope will result in the imposition of a tariff structure that is fair and properly reflects the realities of modern post secondary education. Unfortunately that process is lengthy and the ultimate result is uncertain. As a result universities have been left in a very difficult position.

Some universities have decided to completely sever their relationship with Access Copyright. Others have decided to continue on an interim basis. The situation at each university is different and reflects many different factors. Earlier this year I asked a working group to provide me with recommendations as to how Western could operate outside of the Access Copyright tariff. That working group has made some excellent draft recommendations and is continuing its work. In reviewing those recommendations, I have determined that there is simply not enough time to implement them for this academic year in a way that would not have an adverse effect on faculty and students, and potentially on the operations of the University. For that reason I have decided that Western will not opt out of the Access Copyright Interim Tariff for the 2011-12 academic year.

We expect that there will be further developments relating to these issues over the next few months, and we will continue to work to find solutions that provide Western with the maximum flexibility in responding to these developments and that are consistent with best serving the interests of our students, faculty and staff.

A handwritten signature in black ink, appearing to be "K. Smith", written in a cursive style.

Report of the Investment Committee

For Information

This report outlines the performance of the operating and endowment investment portfolio and the recent activities of the Investment Committee.

Performance

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

<u>Asset Class</u>	Annual June 30 <u>2011</u>	Annual June 30 <u>2010</u>	Annual June 30 <u>2009</u>	Annual June 30 <u>2008</u>	Annualized for Four years Ending June 30, 2011
Fixed Income	4.7%	7.1%	6.8%	7.9%	6.6%
Alternative Investments:					
Hedge funds	(5.3)	3.1	(27.3)	(1.8)	(8.6)
Private equity	21.2	-	-	-	-
Equities:					
Canadian	18.7	11.2	(24.8)	4.9	1.0
US	25.9	11.6	(28.5)	(13.8)	(3.5)
Non North American	<u>19.5</u>	<u>6.5</u>	<u>(21.7)</u>	<u>(16.1)</u>	<u>(4.4)</u>
Total Return	<u>15.0%</u>	<u>8.6%</u>	<u>(12.4)%</u>	<u>(2.8)%</u>	<u>1.6%</u>
Policy Return	<u>15.4%</u>	<u>8.6%</u>	<u>(12.8)%</u>	<u>(2.5)%</u>	<u>1.6%</u>

For additional information, please refer to the attached pages, which show the amounts held by each investment manager at June 30, 2011, the annual and annualized returns by manager over the five years ending June 30, 2011.

Returns in relation to the objective of a 5% real rate of return

One of the Investment Committee's objectives is to earn a 5% real rate of return over the long term (i.e., to earn 5% over the rate of inflation, as measured by the Consumer Price Index). Inflation has averaged 1.8% per year for the past five years and 2.0 for the past ten years.

For the four years ending June 30, 2011, the annualized real rate of return was -0.2%, consisting of a nominal return of 1.6% less inflation of 1.7%, the difference being rounding. For the five years ending June 30, 2011, the annualized real rate of return for the portfolio was 2.4%, which consisted of a nominal (actual) annualized return of 4.2% less 1.8% for inflation. The 5 year annualized return does not meet the Investment Committee's performance objective of a real rate of return of 5%.

Value added by Active Management

Another of the Investment Committee's objectives is to earn the return produced by the asset mix policy based on the returns of the market indices plus a premium to reflect the additional fees related to active management. In order to achieve this objective, investment managers with active investment mandates need to outperform their benchmark indices. For example, Canadian equity managers need to outperform the TSX Composite Index over time.

Over the five years ending June 30, 2011, the actual annualized return for the portfolio was 4.2% and the return generated by the market indices for the portfolio was 4.0% (the policy return). Over this period, our combination of managers achieved higher results than could have been achieved by a passive or index style of management. It should be noted that 55% of the total portfolio is actively managed and 45% is passively managed.

Book and Market Value of the Portfolio

As at June 30, 2011, the operating and endowment portfolio had a book value of \$383,572,000 and

market value of \$457,639,000 as follows:

	Book Value (\$000's)	Market Value (\$000's)	Actual Asset Mix	Policy Asset Mix
Bonds	\$113,138	\$154,945	33.9%	25.0%
Alternative Investments	8,661	8,741	1.9	15.0
Canadian equities	71,787	97,980	21.1	20.0
US equities	79,367	99,208	21.4	20.0
Non-North American equities	<u>110,619</u>	<u>96,765</u>	<u>21.7</u>	<u>20.0</u>
Total	<u>\$383,572</u>	<u>457,639</u>	<u>100.0%</u>	<u>100.0%</u>

At June 30, 2011 the portfolio consisted of the following components:

Portion related to Endowed funds	\$211,112,000	46.1%
Portion related to Operating and Non-endowed funds	<u>246,527,000</u>	<u>53.9%</u>
Total market value of portfolio	<u>\$457,639,000</u>	<u>100.0%</u>

Update on Investment Committee Activities

- The Committee has completed its review of the Statement of Investment Objectives, Policies and Governance. The review included discussions regarding:
 - asset mix of the operating and endowment portfolio
 - expected returns and risk for the portfolio
 - liquidity needs of the portfolio
 - funds to be included in the long term portfolio
 - endowment payout policy
- Revisions to the Statement of Investment Objectives, Policies & Governance have been completed and a revised document is being presented for approval.
- Administration completed its due diligence work regarding the investment opportunity with OMERS. As a result of the process, the Committee decided not to proceed with an investment with OMERS.
- The Committee requested that Administration continue to research Infrastructure funds and provide a progress report at the next meeting.
- At the meeting on August 25, 2011, subject to final due diligence, the Committee approved a 5% allocation to Greystone Mortgage Fund and a 2.5% allocation to Romspen Mortgage Investment Fund.
- Administration will proceed with on-site due diligence for a Canadian core plus fixed income mandate later this fall.
- The Committee agreed to hold off making any changes to the Canadian Equity manager structure at this time.

University of Western Ontario Endowment Plan

Asset Summary

As of June 30, 2011

	<u>Total Market Value</u>	<u>% of Total Fund</u>	<u>% of Asset Class</u>	<u>Equity & Convertible</u>		<u>Fixed Income</u>		<u>Cash & Equivalents</u>		<u>Alternative</u>	
Total Fund											
UWO Endowment - Total Fund	\$ 457.6	100.0%	100.0%	\$ 292.8	64.0%	\$ 154.9	33.9%	\$ 1.1	0.2%	\$ 8.7	1.9%
Canadian Stock Managers	96.8	21.1	100.0	95.7	98.9	--	--	1.1	1.1	--	--
Beutel, Goodman Capital Mgmt.	36.1	7.9	37.3	35.0	96.9	--	--	1.1	3.1	--	--
Greystone Canada	29.9	6.5	30.9	29.9	100.0	--	--	--	--	--	--
Highstreet Asset Management	30.7	6.7	31.8	30.7	100.0	--	--	--	--	--	--
U.S Stock Managers	98.0	21.4	100.0	98.0	100.0	--	--	--	--	--	--
SSgA Midcap Hedge Blend	17.7	3.9	18.1	17.7	100.0	--	--	--	--	--	--
J.P. Morgan 130/30	42.0	9.2	42.9	42.0	100.0	--	--	--	--	--	--
SSgA S&P 500 Hedge Blend	38.3	8.4	39.0	38.3	100.0	--	--	--	--	--	--
Hedge Funds	3.3	0.7	100.0	--	--	--	--	--	--	3.3	100.0
Northwater Capital Mgmt. Inc. NET III	3.3	0.7	100.0	--	--	--	--	--	--	3.3	100.0
Non-North American Mgrs	99.2	21.7	100.0	99.2	100.0	--	--	--	--	--	--
Templeton International	49.0	10.7	49.4	49.0	100.0	--	--	--	--	--	--
MFS/SSgA Hedge Blend	50.2	11.0	50.6	50.2	100.0	--	--	--	--	--	--
Fixed Income Managers	154.9	33.9	100.0	--	--	154.9	100.0	--	--	--	--
State Street Global Advisors	154.9	33.9	100.0	--	--	154.9	100.0	--	--	--	--
Private Equity											
Adams Street Partners	5.4	1.2	100.0	--	--	--	--	--	--	5.4	100.0

All dollars in millions, numbers may not add due to rounding



THE BANK OF NEW YORK MELLON

Performance Summary by Portfolio

Annual Value Added by Asset Class – June 30th, 2011

				Annualized			Rolling 12-Months			
	3 Mths	YTD	1 Yr	3 Yrs	4 Yrs	5 Yrs	2010	2009	2008	2007
Total Fund - UWO Endowment	0.0	2.1	15.0	3.1	1.6	4.2	8.6	(12.4)	(2.8)	15.3
Policy Portfolio	(0.3)	2.3	15.4	3.0	1.6	4.0	8.6	(12.8)	(2.5)	14.0
Canadian Stock Managers	(4.4)	(0.8)	18.7	(0.2)	1.0	5.3	11.2	(24.8)	4.9	24.4
Beutel Goodman	(2.7)	1.9	20.4	5.4	3.9	7.3	10.8	(12.2)	(0.6)	22.5
Greystone	(4.6)	(0.8)	20.7	(3.1)	(0.7)	4.5	12.5	(33.0)	6.8	28.5
Highstreet	(6.1)	(3.5)	15.4	(3.7)	(0.4)	3.9	10.8	(30.1)	10.0	23.0
S&P/TSX Composite Index	(5.1)	0.2	20.9	0.2	1.8	5.7	12.0	(25.7)	6.7	22.7
U.S. Stock Managers	(0.6)	4.4	25.9	0.2	(3.5)	0.3	11.6	(28.5)	(13.8)	17.2
SSgA Midcap Hedge Blend	(1.2)	8.1	37.9	4.9	0.9	3.9	22.8	(31.8)	(10.4)	17.2
JP Morgan 130/30	(1.1)	1.1	17.3	4.7	--	--	6.7	(8.4)	--	--
SSgA S&P 500 Hedge Blend	0.2	6.3	30.2	(1.5)	--	--	12.8	(35.0)	--	--
S&P 500 - Total Return Index	(0.7)	3.0	18.7	1.6	(3.4)	0.1	4.7	(15.5)	(17.1)	15.3
S&P MidCap 400 Index	(1.5)	5.4	26.6	6.0	1.3	3.6	14.3	(17.6)	(11.6)	13.4
S&P 400 Canada Dollar Hedged (BNYM Calc.)	(0.7)	8.7	38.6	5.1	1.6	4.5	23.1	(31.9)	(8.4)	17.0
S&P 500 Canada Dollar Hedged (BNYM Calc.)	0.2	6.2	30.1	1.2	(2.8)	1.2	12.9	(29.4)	(14.0)	19.0
Hedge Funds	2.2	2.3	(5.3)	(10.8)	(8.6)	(5.2)	3.1	(27.3)	(1.8)	9.7
Northwater Capital Mgmt. Inc. NET III	2.2	2.3	(5.3)	(10.8)	(8.6)	(5.2)	3.1	(27.3)	(1.8)	9.7
90 Day LIBOR (US\$)	0.1	0.1	0.3	0.9	1.7	2.4	0.3	2.0	4.2	5.4
Non-North American Mgrs.	1.5	2.6	19.5	(0.1)	(4.4)	1.0	6.5	(21.7)	(16.1)	26.0
Templeton International	1.1	3.3	18.2	(1.8)	(5.4)	0.4	(0.6)	(19.5)	(15.2)	26.9
MFS Investment Management	3.3	3.8	21.8	1.7	--	--	3.4	(16.6)	--	--
MFS/SSgA Hedge Blend	1.9	1.9	20.5	2.4	--	--	18.5	(24.9)	--	--
MSCI EAFE Hedged to C\$ w/Gross Dividends	(0.5)	0.7	14.2	(2.8)	(7.7)	(2.0)	9.1	(26.2)	(21.0)	24.7
MSCI EAFE Index	1.0	2.3	18.9	(2.9)	(5.9)	(0.9)	(2.7)	(21.0)	(14.3)	22.0
Private Equity	4.5	5.9	21.2	--	--	--	--	--	--	--
Adams Street	4.5	5.9	21.2	--	--	--	--	--	--	--
MSCI All Country World Index	(0.4)	2.0	18.8	(0.2)	(3.6)	0.8	2.8	(18.6)	(13.0)	20.4
Fixed Income Managers	2.4	2.1	4.7	6.2	6.6	6.2	7.1	6.8	7.9	4.5
State Street Global Advisors	2.4	2.1	4.7	6.2	6.6	6.2	7.1	6.8	7.9	4.5
DEX Bond Universe Index	2.5	2.2	4.7	6.2	6.3	6.0	6.9	7.0	6.8	4.8

Policy:

S&P/TSX Composite	20%
S&P 500 - 2/3 hedged	16%
S&P 400 Hedged	4%
MSCI EAFE half hedged	20%
DEX Universe	30%
MSCI ACWI	5%
90-Day LIBOR	5%

SSgA Midcap Hedge Blend includes the history of the Northwater hedges.
MFS/SSgA hedge Blend includes the history of the Northwater hedges.

UWO Operating - Combined

Total Fund Real Returns – June 30th, 2011

	1 Year	2 Years	3 Years	4 Years	5 Years	6 Years	7 Years	8 Years	9 Years	10 Years
UWO Annualized Returns	15.0	11.8	3.1	1.6	4.2	4.7	5.3	6.5	5.7	4.9
CPI (Inflation)	3.1	2.0	1.3	1.7	1.8	1.9	1.9	2.0	2.0	2.0
Real Return	11.9	9.7	1.8	-0.2	2.4	2.8	3.5	4.6	3.7	3.0
	Yr Ending 6/30/2011	Yr Ending 6/30/2010	Yr Ending 6/30/2009	Yr Ending 6/30/2008	Yr Ending 6/30/2007	Yr Ending 6/30/2006	Yr Ending 6/30/2005	Yr Ending 6/30/2004	Yr Ending 6/30/2003	Yr Ending 6/30/2002
UWO Annual Returns	15.0	8.6	-12.4	-2.8	15.3	7.5	9.1	15.4	-0.8	-2.0
CPI (Inflation)	3.1	1.0	-0.3	3.1	2.2	2.4	1.7	2.5	2.6	1.2
Real Return	11.9	7.7	-12.1	-5.9	13.1	5.1	7.4	12.8	-3.4	-3.2

UWO Operating - Combined

Total Fund Value Added – June 30th, 2011

	1 Year Annualized	2 Years Annualized	3 Years Annualized	4 Years Annualized	5 Years Annualized	6 Years Annualized	7 Years Annualized	8 Years Annualized	9 Years Annualized	10 Years Annualized
UWO Annualized Return (1)	15.0	11.8	3.1	1.6	4.2	4.7	5.3	6.5	5.7	4.9
Policy Return (2)	15.4	12.0	3.0	1.6	4.0	4.6	5.2	6.4	5.7	4.7
Value Added	-0.5	-0.2	0.0	0.0	0.2	0.2	0.1	0.1	0.0	0.2

	Yr Ending 6/30/2011	Yr Ending 6/30/2010	Yr Ending 6/30/2009	Yr Ending 6/30/2008	Yr Ending 6/30/2007	Yr Ending 6/30/2006	Yr Ending 6/30/2005	Yr Ending 6/30/2004	Yr Ending 6/30/2003	Yr Ending 6/30/2002
UWO Annual Return (1)	15.0	8.6	-12.4	-2.8	15.3	7.5	9.1	15.4	-0.8	-2.0
Policy Return (2)	15.4	8.6	-12.8	-2.5	14.0	7.5	9.3	15.3	-0.1	-3.4
Value Added	-0.5	0.0	0.4	-0.2	1.2	0.0	-0.2	0.1	-0.7	1.5

Policy Mix as of June 30

S&P/TSX Composite	20%	20%	20%	20%	20%	20%	20%	20%	20%	20%
S&P 500	5%	5%	5%	5%	15%	15%	10%	20%	20%	20%
S&P 500 Hedged Currency	11%	11%	11%	10%	5%	5%	10%	0%	0%	0%
S&P 400 Hedged Currency	4%	4%	4%	5%	5%	5%	5%	5%	5%	5%
MSCI EAFE	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%
MSCI EAFE Hedged Currency	10%	10%	10%	10%	5%	5%	5%	5%	5%	5%
Total Equity	60%	60%	60%	60%	60%	60%	60%	60%	60%	60%
DEX Universe (3)	30%	40%	40%	40%	40%	40%	40%	40%	40%	40%
MSCI All Country World (ACWI)	5%	0%	0%	0%	0%	0%	0%	0%	0%	0%
90-Day LIBOR	5%	0%	0%	0%	0%	0%	0%	0%	0%	0%

Notes:

(1) All returns except for the Northwater Hedge Fund are before deducting investment managers' fees.

(2) The UWO Policy Return is the return that would have been earned (before investment managers' fees) by investing the portfolio in index funds in proportion to the target or policy asset mix.

(3) Includes hedge fund and private equity prior to July 2010

QUARTERLY RATIO REPORT ON NON ENDOWED FUNDS

FOR INFORMATION

The attached report shows the non-endowed fund quarterly activity from 1996/97 to the end of the first quarter of 2011/12 (July 31, 2011). The balance in the Undistributed Investment Returns Account at July 31, 2011 was \$64.6 million. At July 31, 2011, the 12-quarter moving average of the total non-endowed investments to the obligations of the portfolio was 1.22 (column 10) compared to a target ratio of 1.08.

- ❑ Net returns (column 1) amounted to (\$6.2) million for the quarter.
- ❑ Allocations to accounts (column 2), represents the payouts to non-endowed funds. The non-endowed rate is based on the 30-day treasury bill rate less administrative and management fees of 1.15%, adjusted quarterly and is applicable to non-endowed fund balances with the exception of Robarts. The non-endowed rate for the period July 1 – September 30, 2011 will remain at zero. In the case of Robarts, in accordance with the operating agreement, the long term portion of their fund balance will earn the rate of return generated by the Operating & Endowment portfolio.
- ❑ The total allocation to the operating budget (column 3) for fiscal 2012 will remain at zero as approved by the Board.
- ❑ The non-endowed investments decreased by 0.1 million (column 6).
- ❑ The total market value of the non-endowed fund's portion of the externally managed portfolio at July 31, 2011 amounted to \$242.3 million (column 7).
- ❑ The obligations of the portfolio amounted to \$177.7 million at July 31, 2011 (column 8).
- ❑ The ratio of investments to obligations stood at 1.36 (column 9) at July 31, 2011.

**The University of Western Ontario
Non-Endowed Funds: Quarterly Values**

Quarter		Allocations				Change in amount Owed (5)	Value at the end of Quarter			Ratio of Investments to obligations Average for 12 Quarters (10)	
		Net Returns (1)	To Accounts (2)	To Operating Budget (3)	Other (4)		Total Investments (7)	Total Obligations (8)	Ratio of Investments to obligations (9)		
1996/1997		4.0	(0.4)	(1.7)	(2.8)	(4.6)	(5.4)	103.4	85.1	1.22	1.16
1997/1998		5.2	(0.4)	(2.1)	(2.5)	4.0	4.2	97.7	74.5	1.32	1.24
1998/1999		1.2	(0.5)	(1.5)	(0.1)	(4.3)	(5.2)	97.2	82.7	1.18	1.24
1999/2000		2.4	(0.6)	(1.5)	(0.3)	4.0	4.0	88.0	74.3	1.18	1.23
2000/2001		0.9	(0.8)	(2.1)	(0.2)	5.9	3.7	113.7	101.0	1.13	1.16
2001/2002		0.8	(0.7)	(1.5)	0.0	5.9	4.6	127.0	125.5	1.01	1.10
2002/2003		(2.6)	(0.3)	(0.3)	0.0	0.4	(2.7)	120.6	132.3	0.91	1.02
2003/2004		6.3	(0.5)	0.0	0.0	1.3	7.1	140.7	135.5	1.04	0.99
2004/2005		2.9	(0.4)	0.0	0.0	3.6	6.2	157.7	141.1	1.12	1.03
2005/2006		7.0	(0.7)	0.0	0.0	2.9	9.3	199.4	160.4	1.24	1.13
2006/2007		7.6	(1.2)	(1.3)	0.0	6.2	11.4	236.9	179.1	1.32	1.22
2007/2008											
	1	(1.1)	(0.9)	(1.6)	0.0	9.2	5.6	262.2	197.8	1.33	1.25
	2	7.0	(1.3)	(1.5)	0.0	(1.6)	2.6	264.8	196.2	1.35	1.27
	3	(12.9)	(1.0)	(1.6)	0.0	0.9	(14.6)	250.2	197.1	1.27	1.28
	4	8.5	(0.7)	(1.6)	(1.3)	2.5	7.4	257.6	199.6	1.29	1.29
2008/2009											
	1	(9.1)	(0.9)	(4.4)	0.0	5.5	(8.9)	248.7	205.1	1.21	1.29
	2	(37.9)	(0.4)	4.4	0.0	(7.0)	(40.9)	207.8	198.1	1.05	1.28
	3	(9.9)	(0.4)	0.0	0.0	0.0	(10.3)	197.5	198.1	1.00	1.26
	4	8.2	3.0	0.0	(0.9)	(8.5)	1.8	199.3	189.6	1.05	1.24
2009/2010											
	1	17.5	0.0	0.0	0.0	0.3	17.8	217.1	189.9	1.14	1.23
	2	8.9	0.0	0.0	0.0	(5.9)	3.0	220.1	184.0	1.20	1.22
	3	5.6	0.0	0.0	0.0	(8.7)	(3.1)	217.0	175.3	1.24	1.21
	4	10.1	(2.7)	0.0	(2.3)	0.1	5.2	222.2	175.4	1.27	1.20
2010/2011											
	1	(3.6)	0.0	0.0	0.0	5.2	1.6	223.8	180.6	1.24	1.19
	2	14.8	0.0	0.0	0.0	(4.5)	10.3	234.1	176.1	1.33	1.19
	3	10.0	0.0	0.0	0.0	(6.4)	3.6	237.7	169.7	1.40	1.20
	4	6.2	(1.9)	0.0	(1.5)	1.9	4.7	242.4	171.6	1.41	1.21
2011/2012											
July 2011	1	(6.1)	(0.1)	0.0	0.0	6.1	(0.1)	242.3	177.7	1.36	1.22

General notes:

[A] For 1995/96 through to 2002/03 the figures are the average for the four quarters.

Columns (1) to (6) refer to changes during the quarter, column (7) to (10) refer to the end of each quarter.

All figures are millions of dollars, except columns (9) and (10). Column (9) is the ratio of column (7) to column (8).

Column (10) is the average of the ratios in column (9) over 12 quarters (i.e. over 3 year period).

Notes:

- (1) Net investment returns, including changes in unrealized capital gains, net of consulting and investment management fees. This total includes returns on internally managed funds and other sundry investment earnings less overdraft interest and interest paid to employee benefit accounts.
- (2) Allocations from the fund to all accounts and associated companies, except the Operating budget and Other allocations (column 4)
In fiscal 2009 the amount allocated to accounts is positive or a "recovery" primarily due to the year end allocation of investment losses to the supplemental pension funds in the amount of \$0.7 and Robarts long term fund balances in the amount of \$1.6.
- (3) Allocations to the Operating budget.
Original budget for fiscal 2009 was \$17.7 million. In October '08 The Board reduced the budget to zero and the allocations made to September 30, 2008 were reversed.
- (4) In April 2009 an allocation of \$927,538 was made to cover the costs related to the debenture.
- (5) The change in the amount owed to other funds for the quarter is the net cash flows into the accounts less any transfers to UWO's bank account.
- (6) Quarterly net change, is the sum of columns (1) to (5) and is the change in the value of the fund in column (7), which is the change in the market value of investments during the quarter.
- (7) Total non-endowed externally managed funds. Endowed funds are not included.
- (8) Total of the non-endowed externally managed funds that are owed to University accounts and other creditors.
- (9) The ratio of column (7) to column (8).
- (10) The average of this ratio over the previous 12 quarters. The Board target for this ratio is an average of 1.08.

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.

Michael S. Yuhasz Award (Any Undergraduate, Graduate or Affiliated University College Student - Athletic Award [Wrestling])

Awarded annually to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a significant contribution as a member of the Men's or Women's Wrestling Team. As per OUA and CIS regulations, an entering student athlete must have a minimum admission average of 80% and a non-entering student must have an in-course average of 70%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipient based on its evaluation of academic performance/ potential (20%) and the written recommendations from the Head Coach assessing athletic performance/ potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Mrs. Nancy Yuhasz (BA '72) through Foundation Western.

Value: 1 at \$1,000

Effective: 2011-2012 academic year

Meds 1969 Dr. Fred & Anne Pattison Humanitarian Award (Schulich School of Medicine & Dentistry, Medicine)

Awarded annually to a full-time undergraduate Doctor of Medicine (MD) 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. Students must submit a one-page statement outlining their volunteer work and humanitarian contributions by March 30 to the Undergraduate Medical Office. The recipient will be selected by the Scholarship & Awards Committee of the Schulich School of Medicine & Dentistry and awarded at the annual May convocation. This award was established through Foundation Western by Mrs. Anne Pattison and fellow classmates of Meds '69 to honour Dr. Fred Pattison (Meds'69) for his humanitarian acts as a medical physician.

Fred Pattison was born in Glasgow, Scotland and graduated from Cambridge University with a PhD in Chemistry. In 1947 he accepted a position as lecturer in Halifax, Nova Scotia, and in 1948 joined the Chemistry Department, UWO, rising to become Chair of the Department. In 1965, Fred Pattison enrolled as a medical student at Western, graduating as valedictorian in 1969. During medical school and following graduation he worked as a doctor in Newfoundland for the International Grenfell Mission. Dr. Pattison and his wife Anne returned to London in 1973 where he assumed the role of director of Student Health Services until his retirement in 1988. He also ran London's Sexually Transmitted Diseases Clinic until the age of 70. In retirement, Pattison was active as a volunteer counsellor for the Ontario Correctional Services working with young offenders. He had a passion for Western and its students and established the Fred Pattison Chemistry Lecture Series and the Fred Pattison Piano Award.

Value: 1 at \$1,000

Effective: 2011-2012 academic year

Virginia Harris International Admission Scholarships (Any Undergraduate Program)

Awarded annually to the full-time international undergraduate students entering their first year in any program who have attained the highest admission averages and who are not already receiving an admission scholarship. The Office of the Registrar will select the recipients. These scholarships were established by the late Virginia Harris, a retired teacher, and long-time friend and supporter of Western.

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

Virginia Harris Exchange Scholarship (Faculties of Arts and Humanities, Science, Social Science, Health Sciences, FIMS, Music, Engineering)

Awarded annually to a full-time undergraduate student in the Faculty of Arts, Science, Social Science, Health Sciences, Information and Media Studies, Music or Engineering, who is participating in an outbound exchange program, based on academic achievement (minimum 80% average) and demonstrated financial need. Online Financial Assistance Applications can be accessed through the Office of the Registrar's Web site and must be submitted by September 30. The Office of the Registrar will work with the International Exchange Coordinator, International and Exchange Student Centre, to select the recipient. This scholarship was established by the late Virginia Harris, a retired teacher, and long-time friend and supporter of Western.

Value: 1 at \$1,440
Effective: 2011-2012 academic year

Keith R. Halpenny Men's Basketball Award (Any Undergraduate, Graduate or Affiliated University College Student - Athletic Award [Basketball])

Awarded to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a significant contribution as a member of the Men's Basketball Team. As per OUA and CIS regulations, an entering student athlete must have a minimum admission average of 80% and a non-entering student must have an in-course average of 70%. Candidates must be in compliance with current OUA and CIS regulations. The Western Athletic Financial Awards Committee will select the recipient based on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by Keith R. Halpenny (HBA '55) through Foundation Western.

Value: 2 at \$1,000
Effective: 2011-2012 academic year

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.

W. Donald R. Eldon Scholarship (Faculty of Social Science)

Change in criteria, value and effective date from:

Awarded to an undergraduate student in any year beyond year one of a program in Social Science based on academic achievement (minimum 80% average). Primary preference will be given to students in History and secondary preference will be given to students in Economics. The Faculty of Social Science will select the recipient. This scholarship was established by a generous gift from Dr. W. Donald R. Eldon (BA '48).

Value: 1 @ \$1,000

To: Awarded to an undergraduate student in any year beyond Year 1 of a program in Social Science based on academic achievement (minimum 80% average). Primary preference will be given to students in History and secondary preference will be given to students in Economics. The Faculty of Social Science will select the recipient. This scholarship was established by a generous gift from Dr. W. Donald R. Eldon (BA '48) and Mrs. Jean Eldon.

Value: 1 at \$1,500
Effective: 2011-2012 to 2015-2016 academic years (with value to be reviewed after this)

UWO Staff Association Bursary (Any Undergraduate Faculty)

Change in criteria and value from:

Available to a dependent of a UWOSA member. Should no dependent demonstrate a need for this bursary, the Student Awards Office shall award it to a student attending the University. Established through the generosity of the UWO Staff Association.
Value: 1 @ \$500

To: Available to a student who is a dependent of a UWOSA member and demonstrates financial need. If there are no available candidates who meet this criteria, the Office of the Registrar shall award it to a student who demonstrates financial need. Applicants should identify themselves as the dependent of a UWOSA member by completing a Financial Assistance Application, which is available online through the Office of the Registrar's Web site, by October 31. This bursary was established through the generosity of the UWO Staff Association.

Value: 1 at \$1,000
Effective: 2011-2012 to 2020-2021 academic years inclusive

Mary Campbell Memorial Bursary (Any Undergraduate Faculty)

Change in criteria and value from:

Available to a single parent or dependent children of a single parent, with primary consideration given to the single parent. Should no single parent or dependent child demonstrate a need for this bursary, the Student Awards Office shall award it to a student attending the University. Established through the generosity of the UWO Staff Association in memory of Mary Campbell.

Value: 1 @ Up to \$500

To: Available to a single parent or a dependent child of a single parent, with primary consideration given to the single parent, who demonstrates financial need. If there are no available candidates who meet this criteria, the Office of the Registrar shall award it to a student who demonstrates financial need. Applicants should identify themselves as a single parent or dependent child of a single parent by completing a Financial Assistance Application, which is available online through the Office of the Registrar's Web site, by October 31. This bursary was established through the generosity of the UWO Staff Association in memory of Mary Campbell.

Value: 1 at \$1,000
Effective: 2011-2012 to 2020-2021 academic years inclusive

Stephen Kaganov Award (Faculty of Social Science, Jewish Studies)

Change in criteria from:

Awarded annually to a full-time undergraduate student in any year of the Jewish Studies program (constituent University only) who has excelled in 'The Holocaust' History 3427E course and has demonstrated financial need. The Online Financial Assistance Application can be accessed through the Office of the Registrar's Web site and must be submitted by October 31. The recipient will be selected by the Scholarship and Awards Committee in the Department of History after the Registrar's Office assesses financial need. This award was established through the generosity of Mr. Stephen B. Kaganov, BSc'75, through Foundation Western.

Mr. Kaganov's gift is eligible for inclusion in the Ontario Trust for Student Support (OTSS) program. Under the OTSS program, the Province of Ontario may provide a dollar-for-dollar match over time for endowed gifts directed to student bursaries or financial need-based awards and scholarships. Fulfilment and timing of the provincial match are not guaranteed by the University and/or Foundation Western. Recipients must meet Ontario residency requirements. If the OTSS match is realized, the number and/or value of the award will be increased accordingly.

To: Awarded annually to a full-time undergraduate student in any year of the Jewish Studies program (constituent University only) who has demonstrated financial need. Preference will be given to a student with a Jewish Studies' Major or Minor, or who is taking any course within the program. The Online Financial Assistance Application can be accessed through the Office of the Registrar's Web site and must be submitted by September 30. The recipient will be selected by the Scholarship and Awards Committee

in the Department of History after the Registrar's Office assesses financial need. This award was established through the generosity of Mr. Stephen B. Kaganov, BSc '75, through Foundation Western.

Mr. Kaganov's gift is eligible for inclusion in the Ontario Trust for Student Support (OTSS) program. Under the OTSS program, the Province of Ontario may provide a dollar for dollar match over time for endowed gifts directed to student bursaries or financial need-based awards and scholarships. Fulfillment and timing of the provincial match are not guaranteed by the University and/or Foundation Western. Recipients must meet Ontario residency requirements. If the OTSS match is realized, the number and/or value of the award will be increased accordingly.

Effective: 2011-2012 academic year

ESRI Canada Limited Graduate Student Award (School of Graduate and Postdoctoral Studies, Geography)

Change in criteria and effective date from:

Awarded to a full-time student pursuing a graduate degree in the Faculty of Social Science and conducting research in the area of, or applying, Geographic Information System (GIS) solutions, based on academic achievement (minimum 78% average). Candidates must outline in a one-page submission how their research can benefit from the use of ArcGIS software. Candidates should submit their written statement to the Associate Dean, Graduate Education, Policy and Planning, Faculty of Social Science, by October 30. A committee in the Faculty of Social Science, with at least one representative who is a current member of the School of Graduate and Postdoctoral Studies, will select the recipient. The recipient will be asked to develop for ESRI a short report or presentation on his or her GIS project highlighting how the scholarship has helped develop his or her GIS skills. This award was established by ESRI Canada Limited, a leader in GIS software.

To: Awarded to a full-time student who is pursuing a graduate degree in the Faculty of Social Science and conducting research in the area of, or applying, Geographic Information System (GIS) solutions, based on academic achievement (minimum 78% average). Candidates must outline in a one-page submission how their research can benefit from the use of ArcGIS software. Candidates should submit their written statement to the Associate Dean, Graduate Education, Policy and Planning, Faculty of Social Science, by May 30. A committee in the Faculty of Social Science, with at least one representative who is a current member of the School of Graduate and Postdoctoral Studies, will select the recipient. The recipient will be asked to develop for ESRI a short report or presentation on his or her GIS project highlighting how the scholarship has helped develop his or her GIS skills. This award was established by ESRI Canada Limited, a leader in GIS software.

Value: 1 at \$1,500 + ESRI Products

Effective: May 2011 with funding to be reviewed each year thereafter

John and Maria Simpson HBA Scholarships (Richard Ivey School of Business)

Change in number of awards from: 2 @ \$5000 for HBA 1 and 2 @ \$5,000 for HBA2

To: 1 at \$5,000 for HBA 1 and 1 at \$5,000 for HBA 2

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

Rogers Family Award in Business (Richard Ivey School of Business)

Change in criteria and value from:

Available to a full-time undergraduate student entering the first year of study at the Richard Ivey School of Business following two years or more of study in any faculty at The University of Western Ontario based on academic achievement. Preference will be given to the student who has demonstrated the greatest increase in his or her annual academic average between the first year of university study and completion of the second year of university. Candidates must also demonstrate an aptitude for creative and

innovative thought, exceptional achievement in extracurricular activities and commitment to active citizenship. The award may continue in Year 2 provided that the student maintains a full-time course load and a minimum 70% academic average. If the recipient does not qualify to continue to receive the award, a new student will be selected. Award application forms are mailed to accepted HBA students and must be returned by the assigned due date. The Richard Ivey School of Business Scholarship committee will select the recipient. Established through the generosity of Ted and Loretta Rogers and Family.
Value: 1 at \$2,500 continuing

To: Available to a full-time undergraduate student entering the first year of study at the Richard Ivey School of Business following two years or more of study in any faculty at The University of Western Ontario, based on academic achievement. Preference will be given to the student who has demonstrated the greatest increase in his or her annual academic average between the first year of university study and completion of the second year of university. Candidates must also demonstrate an aptitude for creative and innovative thought, exceptional achievement in extracurricular activities and commitment to active citizenship. ~~The award may continue in Year 2 provided that the student maintains a full-time course load and a minimum 70% academic average. If the recipient does not qualify to continue to receive the award, a new student will be selected. Award application forms are mailed to accepted HBA students and must be returned by the assigned due date.~~ The Richard Ivey School of Business Scholarship committee will select the recipient. Established through the generosity of Ted and Loretta Rogers and Family.

Value: 1 at \$4,000
Effective: 2011-2012 academic year

Raymond L McFeetors Scholarship in Honors Business Administration (Richard Ivey School of Business)
Change in value from: 1 @ \$1,000
To: 1 at \$500
Effective: 2011-2012 academic year

Connor, Clark & Lunn Ontario Graduate Scholarship (School of Graduate and Postdoctoral Studies, Business)
Change in value from: 2 @ \$5,000
To: 1 at \$8,000
Effective: May 2011 to April 2012 inclusive
**Each OGS of \$5,000 ensures a 2:1 match through the Provincial Government, increasing the value of the scholarship to \$15,000.*

Osler, Hoskin & Harcourt - Rand Entrance Scholarship (Faculty of Law)
Change in value from: 1 @ \$10,500
To: 1 at \$11,000
Effective: 2011-2012 academic year

Elizabeth Wooster Gold Medal (School of Graduate and Postdoctoral Studies, Nursing)
Change in value from: 1 @ \$400
To: Gold Medal and \$300
Effective: May 2011

Department of Microbiology & Immunology Graduate Fellowships (School of Graduate and Postdoctoral Studies, Microbiology & Immunology)
Change in value from: 9 @ \$5,000
To: Number and value will vary; up to \$12,000 available
Effective: May 2011

OTDBASE Distance Fieldwork Bursaries in Occupational Therapy (School of Graduate and Postdoctoral Studies, Occupational Therapy)
Change in value from: 2 @ \$750

To: 2 at \$500
Effective: May 2011

Ronald & Gladys Richardson Bursary in Occupational Therapy (School of Graduate and Postdoctoral Studies, Occupational Therapy)
Change in value from: 1 @ \$500
To: 1 at \$350
Effective: May 2011

Leslie A. Bisbee Clinical Experience Bursary (School of Graduate and Postdoctoral Studies, Physical Therapy)
Change in value from: 1 @ \$850
To: 1 at \$1,200
Effective: May 2011

James and Maria Knowles 125th Anniversary Alumni Bursary (Any Undergraduate Program)
Change in value from: 1 @ \$450
To: 1 at \$700
Effective: 2011-2012 academic year

Ivey Alumni Association Toronto Chapter HBA Scholarship (Richard Ivey School of Business)
Change in value from: 1 @ \$15,000, continuing
To: 1 at \$7,500, continuing
Effective: 2011-2012 academic year

Rocco V. Gerace Award in Emergency Medicine (Schulich School of Medicine & Dentistry)
Change in effective date from: May 2001-May 2011
To: 2011-2012 academic year

Hughes McKellar Rural Southwestern Ontario Medical Residency Award (Schulich School of Medicine & Dentistry)
Change in value from: 1 @ \$3,500
To: 1 at \$3,150
Effective: 2011-2012 academic year

Sidney May Memorial Bursary (School of Graduate and Postdoctoral Studies, Business)
Change in value from: 1 @ \$3,000
Change to: 1 at \$6,800
Effective: May 2011

Audrey and Delmar Cobban 125th Anniversary Alumni Rural Southwestern Ontario Medical Residency Award (Schulich School of Medicine & Dentistry)
Change in value from: 1 @ \$1,350
To: 1 at \$1,000
Effective: 2011-2012 academic year

Meds Class of 1958 Award (Schulich School of Medicine & Dentistry)
Change in value from: 1 @ \$1,900
To: 1 at \$1,650
Effective: 2011-2012 academic year

Helen M. Hetherington Bursaries (Any Undergraduate Program)
Change in number from: 6 @ \$1,000
To: 4 at \$1,000
Effective: 2011-2012 academic year

Hymn Society Music Award (Don Wright Faculty of Music)

Change in value from: 3 @ \$1,500

To: 3 at \$1,100

Effective: 2011-2012 academic year

Stephen D. Poland Award (School of Graduate and Postdoctoral Studies, Microbiology & Immunology)

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

To: 1 at \$1,100

Effective: May 2011

Douglas and Linda Beaton Awards (School of Graduate and Postdoctoral Studies, Orthodontics)

Change in value and criteria from:

Awarded annually to each member of the graduating class in the Graduate Program in Orthodontics.

These awards were established through Foundation Western by Alumni of the Orthodontics program in recognition of Dr. Douglas Beaton on the occasion of his retirement.

Value: \$600, divided equally among members of the graduating class

To: Awarded annually to a student in the Master of Clinical Dentistry (MCID) program. The Chair of the Graduate Orthodontics program, in consultation with a faculty and staff committee, will select the recipient. The recipient may not hold any other donor-funded Orthodontic award. This award was established through Foundation Western by Alumni of the Orthodontics program in recognition of Dr. Douglas Beaton on the occasion of his retirement.

Value: 1 at \$600

Effective: May 2011

Carol Buck Graduate Scholarship (School of Graduate and Postdoctoral Studies, Epidemiology)

Change in name, criteria, and value from:

Awarded to a full-time graduate student in Epidemiology & Biostatistics at the end of their first year, based on academic achievement (minimum 78%) and development of his or her thesis project. A faculty committee in the Department of Epidemiology & Biostatistics will select the recipient. The committee will include representation from at least one faculty member who is also a member of the School of Graduate and Postdoctoral Studies. This award was established through Foundation Western to honour Dr. Carol Buck, MD, PhD, DipPH, FRS (Can), a former professor in the Department of Epidemiology & Biostatistics.

Value: 1 at \$1,000

To: Carol Buck Graduate Scholarship in Epidemiology

Awarded annually to a full-time graduate student who is registered in Epidemiology & Biostatistics and is a current holder of an Ontario Graduate Scholarship (OGS) or a Queen Elizabeth II Graduate Scholarship in Science and Technology (QE II GSST). This scholarship is awarded through a competitive process based on academic achievement and research potential. The School of Graduate and Postdoctoral Studies will select the recipient in consultation with the Epidemiology & Biostatistics program. This scholarship was established through Foundation Western to honour Dr. Carol Buck, MD, PhD, DipPH, FRS (Can), a former professor in the Department of Epidemiology & Biostatistics.

If there is no OGS or QE II GSST eligible recipient, the School of Graduate and Postdoctoral Studies in consultation with the Schulich School of Medicine & Dentistry may select a non-OGS / QE II GSST recipient based on academic achievement and thesis development, or hold funds for an additional OGS / QE II GSST scholarship in a subsequent year.

Value: 1 at \$5,000*

Effective: May 2011

**Each OGS/ QE II GSST funding ensures a 2:1 match through the Provincial Government, increasing the value of the scholarship to \$15,000.*

Leonora Sheppard Award in Family Medicine (Schulich School of Medicine & Dentistry)

Change in value from: 1 @ \$15,000

To: 1 at \$25,000

Effective: 2011-2012 academic year

D. Jane Riddell Student Athlete Award (Any undergraduate program, Athletics)

Change in value from: 1 @ \$1,100

To: 1 at \$1,300

Effective: 2011-2012 academic year

Richard Dillon Ontario Graduate Scholarships (School of Graduate and Postdoctoral Studies, Engineering)

Change in number from: 3 @ \$5,000*

To: 2 at \$5,000*

Effective: May 2011

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

Douglas and Cynthia Kneale 125th Anniversary Alumni Award in English (Faculty of Arts and Humanities)

Change in value from: 1 @ \$425

To: 1 at \$500

Effective: 2011-2012 academic year

Hastings & Aziz Consulting Structural Engineers Award in Civil Engineering (Faculty of Engineering)

Change in value from: 1 @ \$725

To: 1 at \$1,000

Effective: 2010-2011 academic year

Suzanne Leigh Killinger-Johnson Award (Schulich School of Medicine & Dentistry)

Change in value from: 1 @ \$2,000

To: 1 at \$1,250

Effective: 2011-2012 academic year

Mervin Wass Scholarship (Faculty of Science)

Change in value from: 1 @ \$2,000

To: 1 at \$1,000

Effective: 2011-2012 academic year

Mervin Wass Awards (Faculty of Science)

Change in number and value from: 2 @ \$2,000

To: 1 at \$2,500

Effective: 2011-2012 academic year

Corus Radio London Scholarship (School of Graduate and Postdoctoral Studies, Journalism)

Change in value from 1 @ \$700

To: 1 at \$1,500

Effective: May 2011 to April 2017

Waterloo Law Association Entrance Scholarship (Faculty of Law)

Change in effective date from: 2008-2009 to 2010-2011 academic years inclusive

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

Morrison Scholarship in American Studies for Academic Achievement (Faculty of Social Science, American Studies)

Change in criteria and effective date from:

Awarded annually to the full-time second-year student entering an Honors degree with an Honors Specialization or Major in American Studies, or a Double Major that includes American Studies, who has earned the highest academic average in his/her first year (minimum 80% average). The recipient will be chosen by a committee established by the Centre for American Studies.

Value: \$1,000

Effective: 2008-2009 to 2009-2010 (to be reviewed after this date)

To: Awarded annually to the full-time third-year student entering an Honors degree with an Honors Specialization or Major in American Studies, or a double Major that includes American Studies, who has earned the highest academic average in his/her first year (minimum 80% average). The recipient will be chosen by a committee established by the Centre for American Studies.

Value: 1 at \$1,000

Effective: 2011-2012 to 2014-2015

Reinhard Konrad Memorial Awards in Science (Faculty of Science)

Change in value from: 2 @ \$1,000

To: 2 at \$1,500

Effective: 2011-2012 academic year

The following award was discontinued November 2007 and will now be reinstated as:

3M Canada Inc. Clinical Award in Restorative Dentistry (Schulich School of Medicine & Dentistry, Dentistry)

Awarded on the recommendation of the Division of Operative Dentistry and Endodontics to a fourth-year student who has demonstrated, in the clinical undergraduate program, excellence in the use of conservative restorative materials.

Value: \$1000 and a Plaque

Effective: 2010-2011 to 2014-2015 academic years (funding to be reviewed after this)

Doug and Lauretta Hayes Mustang Basketball Award (Any Undergraduate, Graduate or Affiliated University College Student – Athletic Award [Basketball])

Change in criteria, value and effective date:

Awarded to full-time undergraduate and graduate students in any year of any degree program at Western, including the Affiliated University Colleges, who are making a contribution as members of the Men's Basketball team. Candidates who are intercollegiate student athletes must be in compliance with current OUA and CIS regulations. As per OUA and CIS regulations, an entering student athlete must have a minimum admission average of 80% and a non-entering student must have an in-course average of 70%. The Western Athletic Financial Awards Committee will select the recipient based on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20% respectively). This award was established by alumni in recognition of Doug Hayes, Head Coach of the Men's Basketball team from 1974 to 1990, and his wife, Lauretta.

Value: 1 at \$3,500 and 2 at \$2,000

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

To: Awarded to a full-time undergraduate or graduate student in any year of any degree program at Western, including the Affiliated University Colleges, who is making a contribution as a member of the Men's Basketball team. Candidates who are intercollegiate student athletes must be in compliance with current OUA and CIS regulations. As per OUA and CIS regulations, an entering student athlete must have a minimum admission average of 80% and a non-entering student must have an in-course average of 70%. The Western Athletic Financial Awards Committee will select the recipient based on its evaluation of academic performance/potential (20%) and the written recommendations from the Head Coach assessing athletic performance/potential and team/campus leadership (weighted as 60% and 20%

respectively). This award was established by alumni through Foundation Western in recognition of Doug Hayes, Head Coach of the Men's Basketball team from 1974 to 1990, and his wife, Laurretta.

Doug Hayes, who started as a lecturer in the Department of Physical Education at UWO in 1969, coached men's basketball and football as well as women's basketball. During his career he coached six Ontario championship teams, eight league championship squads and was named coach of the year by the Ontario University Athletic Association in 1976. Hayes retired from UWO in 1997. He died in 2010 at age 68, and is fondly remembered as a great teacher and coach.

Value: 1 at \$1,200
Effective: 2011-2012 academic year

Regna Darnell Graduate Award for Fieldwork in Socio-Cultural Anthropology (School of Graduate and Postdoctoral Studies, Anthropology)
Change in name and value from: Up to \$4,500 in total available for one or more awards as determined by the Awards Committee.
To: Regna Darnell Graduate Scholarship for Fieldwork in Socio-Cultural Anthropology
Value: Up to \$6,000 in total available for one or more awards as determined by the Awards Committee.
Effective: May 2011

Elaine V. Crosby Nursing Award (Faculty of Health Sciences, Nursing)
Change in name to: Elaine Crosby-Dempsey Nursing Award
Effective: 2011-2012 academic year

Henry Lewis Caulkins Scholarship (School of Graduate and Postdoctoral Studies)
Change in number from: 1 @ \$7,000
To: 2 at \$7,000
Effective: May 2011 to April 2012 (will revert back to 1 at \$7,000 effective May 2012)

The Ivan Malek Scholarship in Biochemical Engineering (School of Graduate and Postdoctoral Studies, Engineering)
Change in number from: 2 @ \$2,000
To: 1 at \$2,000
Effective: May 2010

The E.G.D. Murray Scholarship in Biochemical Engineering (School of Graduate and Postdoctoral Studies, Engineering)
Change in number from: 2 @ \$2,000
To: 1 at \$2,000
Effective: May 2010

Graduate Scholarship in Structural Engineering (School of Graduate and Postdoctoral Studies, Engineering)
Change in number from: Up to 3 awards of up to \$650 each
To: 1 at \$650
Effective: May 2011

The London Air Show and Balloon Festival Prize (Faculty of Social Science, MOS, Aviation Program)
Change in effective date from: 2010-2011 academic year only
To: 2011-2012 academic year only

Verna J. Pierce Bursary (Any Undergraduate Faculty)
Change in value from: 1 @ \$375
To: 1 at \$562
Effective: 2011-2012 academic year only (to be reviewed again for 2012-2013)

Sun Light Foundation Graduate Choral Conducting Award (School of Graduate and Postdoctoral Studies, Music)

Change in Number from 2 @ \$1,000

To: 1 at \$1,000

Effective: 2011-2012 academic year only

Sandra E. Brent Awards (Faculty of Health Sciences, Nursing)

Change in name to: Sandra E. Brent Awards in Nursing

Effective: 2011-2012

Mark Aboud Swimming Award (Any Undergraduate, Graduate, or Affiliated University College Student - Athletic Award [Swimming])

Change in effective date from: 2007-2008 to 2010-2011 academic years inclusive

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

Lang Michener Prize (Faculty of Law)

Change in name and criteria from:

Awarded to the student(s) with the highest standing in Property Law. Established through the generosity of Lang Michener.

To: McMillan LLP Award – Property Law

Awarded to the student(s) with the highest standing in Property Law. Established through the generosity of McMillan LLP.

Effective: 2011-2012 academic year

Strik Couprie Inch Cancer Research Course Prize (Schulich School of Medicine & Dentistry, Medical Biophysics)

Change in criteria from:

Awarded annually to the student receiving the highest mark in Medical Biophysics 467 A/B: Radiobiology and Radionuclides. Established through the generosity of the J.P. Bickell Foundation.

To: Awarded annually to the student receiving the highest mark in Medical Biophysics 4467 A/B: Radiobiology and Radionuclides. Established through the generosity of the J.P. Bickell Foundation.

Effective: 2011-2012 academic year

Charles M. Carmichael Prize (Faculty of Science, Earth Sciences)

Change in criteria from:

Awarded to the student who achieves the highest standing in Earth Sciences 490 (Geophysics Thesis). This prize was established by a generous donation from the family of Charles Carmichael in recognition of his eminent career as Professor of Geophysics at The University of Western Ontario

To: Awarded to the student who achieves the highest standing in Earth Sciences 4490E (Senior Thesis). This prize was established by a generous donation from the family of Charles Carmichael in recognition of his eminent career as Professor of Geophysics at The University of Western Ontario

Effective: 2011-2012 academic year

Donald R. Hay Prize (Faculty of Science, Physics)

Awarded to the student with the highest standing in Physics 491: Honors Research, with a minimum mark of 80%. This prize was made possible by a gift from Mrs. Jean Hay.

To: Awarded to the student with the highest standing in Physics 4999E: Honors Research, with a minimum mark of 80%. This prize was made possible by a gift from Mrs. Jean Hay.

Effective: 2011-2012 academic year

Caradocian Prize in Geochemistry (Faculty of Science, Earth Sciences)

Change in criteria from:

Awarded to a graduating fourth-year student who has achieved the highest aggregate standing in any two of:

- a) Earth Science 431 A/B (Isotope Geochemistry in Earth and Environmental Science)
- b) Earth Science 432 a/b (Geochemical Processes at the Earth's Surface)
- c) Earth Science 440A/B (Physical and Chemical Hydrogeology)
- d) Earth Science 444 A/B (Hazardous Mine Wastes)

or equivalent courses that replace these with the progress of time.

The Prize winner will have obtained a minimum aggregate standing of 80% or higher in the two courses used to determine his or her eligibility. The recipient will be selected by the Faculty of Science in consultation with the Department of Earth Sciences.

To: Awarded to a graduating fourth-year student who has achieved the highest aggregate standing in any two of:

- a) Earth Science 4431 A/B (Isotope Geochemistry in Earth and Environmental Science)
- b) Earth Science 4440 A/B Ground Water and Transport)
- c) Earth Science 4444 A/B (Hazardous Mine Wastes)

or equivalent courses that replace these with the progress of time.

The Prize winner will have obtained a minimum aggregate standing of 80% or higher in the two courses used to determine his or her eligibility. The recipient will be selected by the Faculty of Science in consultation with the Department of Earth Sciences.

Effective: 2011-2012 academic year

Linda Smith Holbert Award in Early Childhood Education (Faculty of Social Science, Psychology)

Change in criteria from:

Awarded annually to a third or fourth year undergraduate student who has demonstrated academic excellence in the study of early childhood education in the Department of Psychology. The student who achieves the highest mark (based on course work and practicum placement) in Psychology 362, Issues and Methods in Early Childhood Education, will be selected. This award was established in memory of the late Linda Smith-Holbert, who was a highly esteemed early childhood educator at University Preschool in the Department of Psychology from 1979 to 1989 by her family, friends and colleagues.

To: Awarded annually to a third or fourth-year undergraduate student who has demonstrated academic excellence in the study of early childhood education in the Department of Psychology. The student who achieves the highest mark (based on course work and practicum placement) in Psychology 3462E, Issues and Methods in Early Childhood Education, will be selected. This award was established in memory of the late Linda Smith-Holbert, who was a highly esteemed early childhood educator at University Preschool in the Department of Psychology from 1979 to 1989 by her family, friends and colleagues.

Effective: 2011-2012 academic year

Alan C. Burton Course Prize in Medical Biophysics (Schulich School of Medicine & Dentistry, Medical Biophysics)

Change in criteria from:

Awarded to a full-time student receiving the highest average (80% minimum) in Medical Biophysics 302 and 303 combined. If no student satisfies the above, the prize is to be awarded to the student with the highest mark ("A" minimum) in Medical Biophysics 302 or 303. (Preference Medical Biophysics 302).

To: Awarded to the full-time student who receives the highest average (80% minimum) in Medical Biophysics 3302E and 3303E combined. If no student satisfies the above, the prize is to be awarded to

the student with the highest mark ("A" minimum) in Medical Biophysics 3302E or 3303E (with preference given to Medical Biophysics 3302E).
Effective: 2011-2012 academic year

Class of '49 Prizes (Faculty of Science, Applied Mathematics)

Change in criteria from:

One award annually to the student, who has obtained the highest mark in Calculus 051 a/b and who, in the opinion of the Departments of Applied Mathematics and Mathematics, has achieved a high overall academic standing. One award annually to the student, who has obtained the highest mark in Linear Algebra 040 A/B and who, in the opinion of the Departments of Applied Mathematics and Mathematics, has achieved a high overall academic standing. One award annually to the student, who has obtained the highest mark in Computer Science 027 A/B and who, in the opinion of the Department of Computer Science, has achieved a high overall academic standing. One award annually to the student who has obtained the highest mark in Statistical Sciences 023 a/b and who, in the in the opinion of the Department of Statistical and Actuarial Science, has achieved a high overall academic standing.

To: One award annually to the student who has obtained the highest mark in Calculus 1051A/B and who, in the opinion of the Departments of Applied Mathematics and Mathematics, has achieved a high overall academic standing. One award annually to the student who has obtained the highest mark in Linear Algebra 1600A/B and who, in the opinion of the Departments of Applied Mathematics and Mathematics, has achieved a high overall academic standing. One award annually to the student who has obtained the highest mark in Computer Science 1027 A/B and who, in the opinion of the Department of Computer Science, has achieved a high overall academic standing. One award annually to the student who has obtained the highest mark in Statistical Sciences 1023A/B and who, in the opinion of the Department of Statistical and Actuarial Science, has achieved a high overall academic standing.
Effective: 2011-2012 academic year

Insolvency Institute of Canada Bruce Leonard Prize in Insolvency (Faculty of Law)

Change in criteria from:

Awarded to a full-time student in the Law program who demonstrates academic excellence in either Bankruptcy and Insolvency Law (Law 325) or Corporate Reorganizations (Law 326) as determined by the Dean of the Faculty of Law in each year. This scholarship is made possible by gifts from the Insolvency Institute of Canada in honor of E. Bruce Leonard.

To: Awarded to a full-time student in the Law program who demonstrates academic excellence in Bankruptcy and Insolvency Law (Law 5325A) as determined by the Dean of the Faculty of Law in each year. This scholarship is made possible by gifts from the Insolvency Institute of Canada in honor of E. Bruce Leonard.
Effective: 2011-2012 academic year

Alumni Essay Prizes in Economics (Faculty of Social Science, Economics)

Change in criteria from:

Awarded each term to undergraduate students in Economics who submit the best economics essay as part of their course work. Nominations are requested from each of the instructors teaching an economics essay course shortly after the end of each term. A departmental faculty committee will select the best essays based on content, spelling and grammar, originality and use of references. One award per term will be given to a student in an honors level economics essay course (except Economics 400E) and one award per term will be given to a student in a 100 level economics essay course. Students are eligible to receive this award only once. These prizes are made possible by gifts from Western alumni through Foundation Western.

To: Awarded each term to undergraduate students in Economics who submit the best economics essays as part of their course work. Nominations are requested from each of the instructors teaching an economics essay course shortly after the end of each term. A departmental faculty committee will select the best essays based on content, spelling and grammar, originality and use of references. One award per term will be given to a student in an honors-level economics essay course (except Economics 4400E)

and one award per term will be given to a student in a 1000-level economics essay course. Students are eligible to receive this award only once. These prizes are made possible by gifts from Western alumni through Foundation Western.

Effective: 2011-2012 academic year

The Parents Fund Award In The Faculty of Arts and Humanities (Faculty of Arts and Humanities)

Change in value from 1 @ \$500

To: 1 at \$600

Effective: 2011-2012 academic year

The Parents Fund Award in the Faculty of Engineering (Faculty of Engineering)

Change in value from 1 @ \$800

To: 1 at \$600

Effective: 2011-2012 academic year

The Parents Fund Award In The Faculty of Music (Don Wright Faculty of Music)

Change in value from 1 @ \$800

To: 1 at \$600

Effective: 2011-2012 academic year

The Parents Fund Award in the Faculty of Science (Faculty of Science)

Change in value from 1 @ \$800

To: 1 at \$600

Effective: 2011-2012 academic year

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

Change in value from 1 @ \$800

To: 1 at \$600

Effective: 2011-2012 academic year

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

Change in value from 3 @ \$500

To: 2 at \$600

Effective: 2011-2012 academic year

S. Chum Torno PhD Scholarship (School of Graduate and Postdoctoral Studies, Business)

Change in criteria and value from:

Awarded to a full-time graduate student pursuing a PhD in Business based on academic achievement (minimum 78%) and research excellence. The recipient may hold the award for up to four years. The recipient will be selected annually by a committee of graduate faculty members in the Richard Ivey School of Business, which will include the Director of the PhD Program and at least one representative who holds current membership in the School of Graduate and Postdoctoral Studies. This scholarship was established by a bequest from Mr. S.C. Torno.

Value: 1 at \$3,000 annually

To: Awarded to a full-time graduate student pursuing a PhD in Business, based on academic achievement (minimum 78%) and research excellence. The recipient may hold the award for up to four years. The recipient will be selected annually by a committee of graduate faculty members in the Richard Ivey School of Business, which will include the Director of the PhD Program and at least one representative who holds current membership in the School of Graduate and Postdoctoral Studies. This scholarship was established by a bequest from Mr. S.C. Torno.

Value: 1 at \$8,000 (to be reviewed annually)

Effective May 2011

MBA Student Support Fee OSOTF Bursaries (School of Graduate and Postdoctoral Studies, Richard Ivey School of Business)

Change in criteria and value from:

Awarded annually to full-time students in the Masters Business Administration program who demonstrate financial need. These bursaries were created by the MBA association to assist MBA students.

Applications are available at the Richard Ivey School of Business MBA Programs Office and must be completed by April 1. Recipients will be selected by the MBA Scholarships Committee.

Value: Up to 7 at \$1,000 (number and value of the awards will vary up to a maximum of \$7,000 available per year)

To: Awarded annually to full-time students entering the Masters in Business Administration program at the Richard Ivey School of Business, based on financial need. The MBA Scholarship Committee of the Richard Ivey School of Business will review and select each award recipient. This award is offered through the Ontario Student Opportunity Trust Fund (OSOTF) program and recipients must meet Ontario residency requirements.

Value: 2 at \$10,000

Effective: May 2012 to April 2013 (with value to be reviewed May 2013 and thereafter on an annual basis)

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

Walter A. Thompson Alumni Fellowships (Richard Ivey School of Business)

Change in criteria and number from:

Awarded annually to outstanding students entering the School's BA or MBA program, these fellowships were provided by alumni of the school as a tribute to Walter A. Thompson who, for over forty years, was a member of its faculty and contributed in so many ways to its growth and standing as an internationally recognized institution.

Value: 3 @ \$1,000 each

To: Awarded annually to outstanding students entering the HBA program at the Richard Ivey School of Business. These awards were established by alumni of the school as a tribute to Walter A. Thompson who, for over forty years, was a member of its faculty and contributed in so many ways to its growth and standing as an internationally recognized institution.

Value: 2 at \$1,000

Effective: 2011-2012 academic year

Masonville Place 125th Anniversary Alumni Awards (Any Undergraduate Faculty)

Change in value from: 2 @ \$1,100

To: 2 at \$2,000

Effective: 2011-2012 academic year

McArdle-MacKinnon 125th Anniversary Alumni Award (Faculty of Law)

Change in value from: 1 @ \$700

To: 1 at \$900

Effective: 2011-2012 academic year

Gordon and Myrtle Stevenson OSOTF/OTSS Scholarship in English (Faculty of Arts and Humanities)

Change in value from: 1 @ \$1,000

To: 1 at \$1,200

Effective: 2011-2012 academic year

National Scholarship Program: President's National Scholarships (Any Undergraduate Faculty)

Change in value and number from: 6 at \$6000 per year plus up to \$10,000 towards residence

To: 10 at \$10,000 per year plus \$10,000 towards residence
Effective: 2012-2013

Faculty Entrance Scholarships:

Change in value and number from: 8 at \$4000 per year plus cost of room cost

To: 10 at \$6,000 per year plus \$6,000 towards residence
Effective: 2012-2013

Lloyd Sipherd Continuing HBA Award (Richard Ivey School of Business)

Change in criteria from:

Awarded to a student entering the first year of the HBA program who demonstrates financial need and a minimum B average. The award will be renewed in year two if the student maintains the defined criteria in HBA year one. If the student does not meet these requirements, year two 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 this award are available from the Admissions Office of the Richard Ivey School of Business and must be completed and returned to the Admissions Office by September 15. This award was established through Foundation Western.

To: Awarded to a student entering the first year of the HBA program who demonstrates financial need and a minimum B average. Candidates must complete a financial assistance application, which is available online through the Office of the Registrar's Web site. The Office of the Registrar will determine financial need and the HBA Scholarship Committee will make the final selection of the recipient. The award will be renewed in Year two if the student maintains the defined criteria in HBA Year one. If the student does not meet these requirements, Year two 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 this award are available from the Admissions Office of the Richard Ivey School of Business and must be completed and returned to the Admissions Office by September 15.~~ This award was established through Foundation Western.

Effective: 2011-2012 academic year

Baldwin Family Scholarships in English Language and Literature (Faculty of Arts and Humanities)

Change in number and value from: 1 @ \$1,400

To: 2 at \$700

Effective: 2011-2012 academic year

3. DISCONTINUED AWARDS (effective May 2010)

ListenUp! Canada Awards
T.W.W. Stewart Bursary

4. NEW AWARD - FOR INFORMATION ONLY (funded through the Operating Budget)

Columbia International College Admission Scholarships (Any Undergraduate Faculty)

Awarded annually to the top three graduates of Columbia International College who are entering first-year full-time studies in any undergraduate program at Western's main campus. No application is required. The Office of the Registrar will offer the scholarship to qualified students based on their final admission average. Recipients of this scholarship will retain eligibility for other Admission Scholarships offered by Western.

Value: 3 at \$1,000

Effective: 2011-2012 academic year only (funding to be reviewed for 2012-2013)

REPORT OF THE BY-LAWS COMMITTEE

Contents	Consent Agenda
Special Resolution No. 9 – Board Election Procedures	No

For Approval

Special Resolution No. 9 – Board Election Procedures

Recommended: That the By-Laws Committee recommend to the Board of Governors approval of the revised Special Resolution No. 9 – Board Election Procedures, as contained in [Annex 1](#).

Background:

[Annex 1](#) is the proposed revised version of the special resolution; [Annex 2](#) is the current document with all of the edits and amendments shown.

An issue that arose in the Senate elections last year prompted a review of both the Senate's and Board's election procedures. The revised Special Resolution No. 9 is largely an editorial revision and reorganization to make the procedures clearer and more consistent and to eliminate much of the repetition in the document. There are, however, three substantive changes:

1. In section A.1 a new paragraph has been added (paragraph (11)) to indicate that in the case of there being more than one seat available, voters may vote for candidates up to the number of seats to be filled. (The absence of such a clause in the Senate regulations was the cause of the problem that arose in last year's student Senator election.)
2. Notes in the current special resolution which speak to the prohibition against staff and faculty Board members being involved in labour negotiations have been removed. This matter has nothing to do with the election; rather it speaks to the role of Governors once elected. This information is included on the nomination form so that prospective nominees are fully informed as to limitations that may be imposed upon them if they become members of the Board and members are reminded of this prohibition as part of their orientation to the Board.
3. The current document is not in keeping with the Act with respect to eligibility requirements for voting in the Faculty-At-Large constituency. The language has been amended to align with the Act.

**The UNIVERSITY of WESTERN ONTARIO
BOARD OF GOVERNORS**

ELECTION PROCEDURES

Ref: Special Resolution No. 9

Enacted: 26SEP11

Pursuant to the provisions for membership on the Board of Governors as set out in the University of Western Ontario Act (1982) and By-Law No. 1, the following shall be the procedures for election or appointment to the Board.

- A. CONSTITUENCES; FACULTY-AT-LARGE, ADMINISTRATIVE STAFF, UNDERGRADUATE STUDENTS, GRADUATE STUDENTS

A.1 General

1. The Secretary of the Board of Governors shall be the Chief Returning Officer.
2. The schedule for calling of nominations, publication of candidates' names, and time lines for balloting shall be as published from time to time by the Secretary of the Board.
3. Candidates for election must be nominated by means of an official nomination form available from the Secretary of the Board and accessible on an election website.
<http://www.uwo.ca/univsec/election>
4. Nomination forms must be signed by ten (10) persons eligible to vote in the constituency concerned. A nominator may not nominate more candidates than there are seats to be filled in the constituency.
5. The nomination forms shall convey information on eligibility for and restrictions upon election to the Board, as provided in the University Act.
6. Nominees must declare on the nomination form:
 - (a) that they are willing to stand as candidates for election and to serve if elected;
 - (b) that they meet the eligibility requirements for the constituency;
 - (c) that they are Canadian citizens at the time of nomination and that they will submit proof of such to the Secretary of the Board should they be elected.
7. Nominees may submit with the nomination form a biographical statement or other comments up to a limit of 75 words and a digital photograph for publication. The Secretary has discretion to restrict the published statement to 75 words should that submitted be in excess of this limit. The statement and digital photograph will be posted on the election website and linked to the ballot, and by submitting the statement and/or photograph, a candidate agrees to such posting..
8. Errors or irregularities on a nomination form constitute grounds for rejection of the nomination by the Secretary of the Board.
9. When only sufficient nominations to fill the vacancies for any constituency are received, the Secretary of the Board shall declare the person(s) elected by acclamation, except when more than one seat is to be filled and a vote is required to determine the candidate who shall serve the longer term. Where no candidates are nominated, the seat shall remain vacant until the next election.

10. Except where election is by acclamation, election shall be by secret ballot by those eligible to vote in the constituency concerned.
11. Voters may vote for one or more candidates up to the number of seats to be filled.
12. The candidate receiving the largest number of votes shall be elected. Should there be more than one seat to be filled in a constituency in any given election, the candidate with the plurality of votes shall be elected to the longer membership term and the candidate with the next highest number of votes shall be elected for the shorter membership term.
13. In cases where two or more candidates receive the same number of votes, the tie shall be broken by a lottery conducted by the Secretary of the Board in the presence of the tied candidates or their agents.
14. An election shall not be invalidated by any irregularity which does not affect the outcome of such an election. Notification of any irregularity must be received by the Secretary of the Board within five days of the closing of the polls.
15. The results of the election shall be announced as soon as possible after the closing of balloting. The number of votes received by each candidate will be made public.
16. A list of voting results, validated by the Secretary of the Board, shall be retained for a period of at least two years.

A.2 Eligibility

A. 2.1 Faculty-at-Large Constituency (2 members)

1. To be **eligible for election**, a candidate must be a full-time member of the Faculty of the University, or a Clinical Academic appointed under *Conditions of Appointment: Physicians Appointed in Clinical Departments and Clinical Divisions of Basic Science Departments*, at the rank of Assistant Professor or higher who has held academic appointments at the University for at least four academic years.
2. The following members of Faculty are **eligible to vote**:
 - (a) all full-time members of the academic staff of the University as defined in the UWO Act; and
 - (b) all Clinical Academics appointed under *Conditions of Appointment: Physicians Appointed in Clinical Departments and Clinical Divisions of Basic Science Departments*, at the rank of Assistant Professor, Associate Professor, or Professor, and
 - (c) all part-time members of the academic staff of the University at the rank of Assistant Professor or higher

who are listed as such in the Records section of the Division of Human Resources.

A.2.2 Administrative Staff Constituency (2 members)

1. To be eligible for election, a candidate must be a member of the full-time administrative staff of the University and be listed as such in the Records section of the Division of Human Resources. A member of the full-time administrative staff of the University who is a member of Faculty is not eligible for election or to vote in the administrative staff constituency.
2. All members of the full-time administrative staff of the University, except those who are members of Faculty, are eligible to vote in the administrative staff constituency.

A.2.3 Undergraduate Student Constituency (2 members)

1. To be **eligible for election**, a candidate must be an undergraduate student in the Constituent University who has completed one academic year as a full-time student or the equivalent as a part-time student, as may be verified by the official student records of the University. Full-time and part-time undergraduate students of the Constituent University who are full-time members of the administrative staff or members of Faculty are not eligible for candidacy in the undergraduate student constituency.
2. All full-time and part-time undergraduate students in the Constituent University are **eligible to vote** in the undergraduate student constituency except those who are full-time members of faculty or of administrative staff.

A.2.4 Graduate Student Constituency (1 member)

1. To be **eligible for election**, a candidate must be a graduate student in the Constituent University as may be verified by the official student records of the University. Full-time and part-time graduate students of the University who are full-time members of the administrative staff or members of Faculty are not eligible for candidacy in the graduate student constituency.
2. All full-time and part-time undergraduate students in the Constituent University are **eligible to vote** in the undergraduate student constituency except those who are full-time members of faculty or of administrative staff.

A.3. ProceduresA.3.1 Faculty-at-Large/Administrative Staff Constituencies

The Secretary of the Board shall, within the first three weeks of January in those years when a vacancy will occur in the Faculty-at-Large constituency, call for nominations of candidates to represent the Faculty.

1. In a year in which vacancies occur in the Faculty-at-Large or Administrative Staff Constituencies, the Secretary of the Board shall call for nominations, normally within the first three weeks of January.
2. Completed nomination forms must be submitted to the Secretary of the Board not less than seven but not more than fourteen consecutive days from the official date of call for nominations. The Secretary of the Board shall publish the list of valid nominations on the Secretariat's website as soon as possible after the close of nominations. The official list shall be organized by constituency with candidates listed alphabetically by last name and with the title and academic/administrative unit of each nominee.

3. Balloting will be conducted during a designated period at an election site linked to Western=s Homepage on the Internet: <http://www.uwo.ca> .
4. The Secretary of the Board shall publish the name(s) of the successful candidate(s) in an official notice of the Board to be posted at the University Secretariat's Office and on it s website as soon as possible after the close of balloting.

A.3.2 Undergraduate Student and Graduate Student Consituencies

1. Elections to the Undergraduate and Graduate Student Constituencies are normally timed to run in conjunction with the USC Elections. In years in which there is a vacancy in these constituencies, the Secretary of the Board will normally issue a call for nominations during the second week of classes in January. Completed nomination forms must be submitted to the Secretary of the Board not less than seven but not more than fourteen consecutive days from the official date of call for nominations.
2. A mandatory all-candidates meeting will be scheduled for candidates during the week following the close of nominations. Student nominees who do not attend or have not made arrangements to send an alternate will be disqualified from candidacy. Following the all-candidates meeting, the Secretary of the Board will publish a list of valid nominations on the Secretariat's website. The official list shall be organized by constituency with candidates listed alphabetically by last name and with the academic program and year of registration for reach candidate as recorded in the official student records of the University.
3. The Secretary of the Board may employ the USC Election Committee to supervise campaigning by candidates but any decision that a candidate be disqualified may be appealed to the Secretary of the Board by 4:00 p.m. of the second working day following the date of the letter notifying the candidate of the Election Committee's decision that the candidate be disqualified. Where there is inconsistency between the policies and procedures stated in USC ByLaw 2 and those of the Board, the policies and procedures of the Board shall take precedence and the final authority for resolving all disputes in such matters shall rest with the Secretary of the Board.

B. CONSTITUENCIES: FACULTY ELECTED BY SENATE, ALUMNI MEMBERS, BOARD-ELECTED MEMBERS

B.1 Faculty Elected by Senate (2 members)

1. To be eligible for election by the Senate, the candidate must be a member of Faculty and a member of the Senate at the time elected.
2. The election of members to the Board by the Senate shall be the responsibility of the Senate and by such procedure as the Senate shall determine.

B.2 Members Elected by the Alumni Association (4 members)

The election of members to the Board by the Alumni Association shall be the responsibility of the Association except that the cost of such elections may be borne by the Board, subject to the approval of the Board.

B.3 Members Elected by the Board (4 members)

1. The election of members by the Board under Section 9.(1) of the Act, clause (h) shall be by a majority of those members of the Board entitled to vote in such election present and voting at the meeting at which the election takes place, provided that a quorum of fourteen such eligible members are present.
2. The Senior Operations Committee shall be responsible for the identification of candidates as vacancies occur and shall make nominations to the Board.
3. Voting shall be by show of hands or by ballot as may be determined by the Board.

C. FILLING OF VACANCIES - Elected and Appointed Members

- C.1. When a vacancy occurs prior to the expiration of the membership term of a member elected by the Faculty-at-large, the administrative staff, or students, action in respect to the filling of the vacancy shall be as follows:
- (a) If the time remaining in the term of office is six months or less, the seat shall remain vacant until the next regular election. However, for faculty, administrative staff and student constituencies, if the time remaining in the term of office six months or less and occurs after the February elections and prior to the commencement of new terms in July, the member-elect in the same constituency will be invited by the Secretary of the Board to assume the vacant seat.
 - (b) If the time remaining in the term of office is more than six months but less than two years, the vacancy shall be filled from among the eligible candidates of the constituency concerned who were unsuccessful in the last election, in a priority determined by their plurality in that election, and provided that to be thus eligible a candidate must have polled at least 20% of the votes cast in that election. Failing such circumstances, the Secretary of the Board shall call a by-election.
 - (c) If the time remaining in the term of office is more than two years, the vacancy shall be filled by a by-election.

The conduct of a by-election shall be the same as that of a regular election.

- C.2. When a vacancy occurs prior to the expiration of the membership term of a member elected or appointed by the Council of the City of London, the Lieutenant Governor in Council, the Alumni Association, the Senate, or the Board, the body responsible for electing or appointing such member shall be requested to appoint a person to fill the vacancy for the time remaining in the membership term except that if the time remaining in the term of office is six months or less, the Board may declare by resolution that the seat remain vacant until the next regular appointment period.

**The UNIVERSITY of WESTERN ONTARIO
BOARD OF GOVERNORS**

ELECTION PROCEDURES

Ref: Special Resolution No. 9

Enacted: 30JUN0726SEP11

Pursuant to the provisions for membership on the Board of Governors as set out in the University of Western Ontario Act (1982) and By-Law No. 1, the following shall be the procedures for election or appointment to the Board.

A. CONSTITUENCIES: FACULTY-AT-LARGE, ADMINISTRATIVE STAFF, UNDERGRADUATE STUDENTS, GRADUATE STUDENTS

A.1 General

~~The following procedures related to the election of members to the Board by the Faculty-at-large, the administrative staff, and the undergraduate and graduate student constituencies.~~

1. The Secretary of the Board of Governors shall be the Chief Returning Officer.
2. The schedule for calling of nominations, publication of candidates' names, and time lines for balloting shall be as published from time to time by the Secretary of the Board.
3. Candidates for election must be nominated by means of an official nomination form available from the Secretary of the Board and accessible on an election website.
<http://www.uwo.ca/univsec/election>
4. Nomination forms must be signed by ten (10) persons eligible to vote in the constituency concerned. A nominator may not nominate more candidates than there are seats to be filled in the constituency.
5. The nomination forms shall convey information on eligibility for and restrictions upon election to the Board, as provided in the University Act.
6. Nominees must declare on the nomination form:
 - (a) that they are willing to stand as candidates for election and to serve if elected;
 - (b) that they meet the eligibility requirements for the constituency;
 - (c) that they are Canadian citizens at the time of nomination and that they will submit proof of such to the Secretary of the Board should they be elected.
7. Nominees may submit with the nomination form a biographical statement or other comments up to a limit of 75 words and a digital photograph for publication purposes. The Secretary has discretion to restrict the published statement to 75 words should that submitted be in excess of this limit. The statement, ~~if submitted,~~ and ~~a digital photograph of the candidate (if he or she agrees to having it taken by the University Secretariat)~~ will be posted on the election website and linked to the ballot, and by submitting the statement and/or photograph, a candidate agrees to such posting.
8. Errors or irregularities on a nomination form constitute grounds for rejection of the nomination by the Secretary of the Board.
9. When only sufficient nominations to fill the vacancies for any constituency are received, the Secretary of the Board shall declare the person(s) elected by acclamation, except when more than one seat is to be filled and a vote is required to determine the candidate who shall serve the longer term. Where no candidates are nominated, the seat shall remain vacant until the next election.
10. Except where election is by acclamation, election shall be by secret ballot by those eligible to vote in the constituency concerned.

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11. Voters may vote for one or more candidates up to the number of seats to be filled.

121. The candidate receiving the largest number of votes shall be elected. Should there be more than one seat to be filled in a constituency in any given election, the candidate with the plurality of votes shall be elected to the longer membership term and the candidate with the next highest number of votes shall be elected for the shorter membership term.

132. In cases where two or more candidates receive the same number of votes, the tie shall be broken by a lottery conducted by the Secretary of the Board in the presence of the tied candidates or their agents.

143. An election shall not be invalidated by any irregularity which does not affect the outcome of such an election. Notification of any irregularity must be received by the Secretary of the Board within five days of the closing of the polls.

154. The results of the election shall be announced as soon as possible after the closing of balloting. The number of votes received by each candidate will be made public.

165. A list of voting results, validated by the Secretary of the Board, shall be retained for a period of at least two years.

A.2 Eligibility

A.2.1 Faculty-at-Large Constituency (2 members)

1. To be **eligible for election**, a candidate must be a full-time member of the Faculty of the University, or a Clinical Academic appointed under *Conditions of Appointment: Physicians Appointed in Clinical Departments and Clinical Divisions of Basic Science Departments*, at the rank of Assistant Professor or higher who has held academic appointments at the University for at least four academic years.

2. The following members of Faculty are **eligible to vote**:

- (a) all full-time members of the academic staff of the University **as defined in the UWO Act at the rank of Assistant Professor, Associate Professor, or Professor**; and
- (b) all Clinical Academics appointed under *Conditions of Appointment: Physicians Appointed in Clinical Departments and Clinical Divisions of Basic Science Departments*, at the rank of Assistant Professor, Associate Professor, or Professor, and
- (c) all part-time members of the academic staff of the University at the rank of Assistant Professor or higher

who are listed as such in the Records section of the Division of Human Resources.

A.2.2 Administrative Staff Constituency (2 members)

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1. To be eligible for election, a candidate must be a member of the full-time administrative staff of the University and be listed as such in the Records section of the Division of Human Resources. A member of the full-time administrative staff of the University who is a member of Faculty is not eligible for election or to vote in the administrative staff constituency.

2. All members of the full-time administrative staff of the University, except those who are members of Faculty, are eligible to vote in the administrative staff constituency.

A.2.3 Undergraduate Student Constituency (2 members)

1. To be **eligible for election**, a candidate must be an undergraduate student in the Constituent University who has completed one academic year as a full-time student or the equivalent as a part-time student, as may be verified by the official student records of the University. Full-time and part-time undergraduate students of the Constituent University who are full-time members of the administrative staff or members of Faculty are not eligible for candidacy in the undergraduate student constituency.

2. Students registered at an Affiliated University College are ineligible for candidacy.

3. All full-time and part-time undergraduate students in the Constituent University are **eligible to vote** in the undergraduate student constituency except those who are full-time members of faculty or of administrative staff.

A.2.4 Graduate Student Constituency (1 member)

1. To be **eligible for election**, a candidate must be a graduate student in the Constituent University as may be verified by the official student records of the University. Full-time and part-time graduate students of the University who are full-time members of the administrative staff or members of Faculty are not eligible for candidacy in the graduate student constituency.

2. All full-time and part-time undergraduate students in the Constituent University are **eligible to vote** in the undergraduate student constituency except those who are full-time members of faculty or of administrative staff.

A.3. Procedures:

A.3.1 Faculty-at-Large/Administrative Staff Constituencies

The Secretary of the Board shall, within the first three weeks of January in those years when a vacancy will occur in the Faculty-at-Large constituency, call for nominations of candidates to represent the Faculty.

(1) In a year in which vacancies occur in the Faculty-at-Large or Administrative Staff Constituencies, the Secretary of the Board shall call for nominations, normally within the

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first three weeks of January.

(2) Completed nomination forms must be submitted to the Secretary of the Board not less than seven but not more than fourteen consecutive days from the official date of call for nominations. The Secretary of the Board shall ~~then publish~~ an official the list of ~~the~~ valid nominations ~~in Western News as soon as possible thereafter~~ on the Secretariat's website as soon as possible after the close of nominations. The official list shall be organized by constituency with candidates listed alphabetically by last name and with the title and academic/administrative unit of each nominee, by name alphabetically, showing the rank and academic unit of each nominee. ~~The nominee may submit a biographical statement or other comment up to a limit of 75 words. The Secretary shall have discretion in restricting the published statement to 75 words should that submitted be in excess of this limit. This statement (if submitted) and a digital photograph of the candidate (if he or she agrees to having it taken by the University Secretariat) will be posted on the Election Website and linked to the ballot.~~

(3) Balloting will be conducted during a designated period at an election site linked to Western's Homepage on the Internet: <http://www.uwo.ca>.

(4) The Secretary of the Board shall publish the name(s) of the successful candidate(s) in an official notice of the Board to be posted at the University Secretariat's Office and on its website as soon as possible after the close of balloting. ~~Office of the Secretary of the Board of Governors and offered for publication, within forty-eight hours of the closing of the poll.~~

4. ~~Note:~~ No member of the Board of Governors whose salary is paid under a collective agreement or Memorandum of Agreement between the University and a union or employee association may serve as a member of any team negotiating matters related to the remuneration or benefits, terms of employment, rights or privileges available to employees in a class or group of employees of the University.

Administrative Staff Constituency (2 members)

1. ~~To be eligible for election, a candidate must be a member of the full-time administrative staff of the University and be listed as such in the Records section of the Division of Human Resources. A member of the full-time administrative staff of the University who is a member of Faculty is not eligible for election or to vote in the administrative staff constituency.~~

2. ~~All members of the full-time administrative staff of the University, except those who are members of Faculty, are eligible to vote in the administrative staff constituency.~~

3. ~~Procedure:~~

~~The Secretary of the Board shall, within the first three weeks of January in those years when a vacancy will occur in the administrative staff constituency, call for nominations of candidates to represent the administrative staff.~~

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~~Completed nomination forms must be submitted to the Secretary of the Board not less than seven but not more than fourteen consecutive days from the official date of call for nominations. The Secretary of the Board shall then publish an official list of the valid nominations in Western News as soon as possible thereafter. The official list shall be by name alphabetically, showing the title and administrative unit of each nominee. The nominee may submit a biographical statement or other comment up to a limit of 75 words. The Secretary shall have discretion in restricting the published statement to 75 words should that submitted be in excess of this limit. This statement (if submitted) and a digital photograph of the candidate (if he or she agrees to having it taken by the University Secretariat) will be posted on the Election Website and linked to the ballot.~~

~~Balloting will be conducted during a designated period at an election site linked to Western's Homepage on the Internet: <http://www.uwo.ca>.~~

~~The Secretary of the Board shall publish the name(s) of the successful candidate(s) in an official notice of the Board to be posted at the Office of the Secretary of the Board of Governors and offered for publication, within forty eight hours of the closing of the poll.~~

- ~~4. **Note:** No member of the Board of Governors whose salary is paid under a collective agreement or Memorandum of Agreement between the University and a union or employee association may serve as a member of any team negotiating matters related to the remuneration or benefits, terms of employment, rights or privileges available to employees in a class or group of employees of the University.~~

Undergraduate Student Constituency (2 members)

- ~~1. To be eligible for election, a candidate must be an undergraduate student in the Constituent University who has completed one academic year as a full time student or the equivalent as a part time student, as may be verified by the official student records of the University. Full time and part time undergraduate students of the Constituent University who are full time members of the administrative staff or members of Faculty are not eligible for candidacy in the undergraduate student constituency.~~

A.3.2 Undergraduate Student and Graduate Student Consituencies

- (1) Elections to the Undergraduate and Graduate Student Constituencies are normally timed to run in conjunction with the USC Elections. In years in which there is a vacancy in these constituencies, the Secretary of the Board will normally issue a call for nominations during the second week of classes in January. Completed nomination forms must be submitted to the Secretary of the Board not less than seven but not more than fourteen consecutive days from the official date of call for nominations.
- (2) A mandatory all-candidates meeting will be scheduled for candidates during the week following the close of nominations. Student nominees who do not attend or have not made arrangements to send an alternate will be disqualified from candidacy. Following

the all-candidates meeting, the Secretary of the Board will publish a list of valid nominations on the Secretariat's website. The official list shall be organized by constituency with candidates listed alphabetically by last name and with the academic program and year of registration for each candidate as recorded in the official student records of the University.

- 2.(3) The Secretary of the Board may employ the USC Election Committee to supervise campaigning by candidates but any decision that a candidate be disqualified may be appealed to the Secretary of the Board by 4:00 p.m. of the second working day following the date of the letter notifying the candidate of the Election Committee's decision that the candidate be disqualified. Where there is inconsistency between the policies and procedures stated in USC ByLaw 2 and those of the Board, the policies and procedures of the Board shall take precedence and the final authority for resolving all disputes in such matters shall rest with the Secretary of the Board.

3. Procedure:

Each year when a vacancy shall occur in the undergraduate student constituency, the Secretary of the Board shall, during the second week of classes in January, call for nominations for candidates to represent the undergraduate student constituency.

Completed nomination forms must be submitted to the Secretary of the Board not less than seven but not more than fourteen consecutive days from the official date of call for nominations. A Mandatory All Candidates Meeting will be scheduled for student candidates during the week following the close of nominations. Student nominees who do not attend or have not made arrangements to send an alternate will be automatically disqualified from candidacy. The Secretary of the Board shall then publish an official list of the valid nominations in Western News as soon as possible thereafter. The official list shall be by name alphabetically, showing for each nominee the academic program and year of registration as recorded in the official student records of the University. The nominee may submit a biographical statement or other comment up to a limit of 75 words. The Secretary shall have discretion in restricting the published statement to 75 words should that submitted be in excess of this limit. This statement (if submitted) and a digital photograph of the candidate (if he or she agrees to having it taken by the University Secretariat) will be posted on the Election Website and linked to the ballot.

Balloting will be conducted during a designated period at an election site linked to Western's Homepage on the Internet: <http://www.uwo.ca>

The Secretary of the Board shall publish the name(s) of the successful candidate(s) in an official notice of the Board to be posted at the Office of the Secretary of the Board of Governors and offered for publication, within forty eight hours of the closing of the poll.

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Graduate Student Constituency (1 member)

- ~~1. To be eligible for election, a candidate must be a graduate student in the University as may be verified by the official student records of the University. Full time and part time graduate students of the University who are full time members of the administrative staff or members of Faculty are not eligible for candidacy in the graduate student constituency.~~
- ~~2. The Secretary of the Board may employ the USC Election Committee to supervise campaigning by candidates but the final authority for resolving all disputes shall rest with the Secretary of the Board.~~
- ~~3. Procedure:

The procedures for election of a graduate student to the Board shall be the same as for those for undergraduate students, *mutatis mutandis*.~~
- ~~4. Note: No member of the Board of Governors whose salary is paid under a collective agreement or Memorandum of Agreement between the University and a union or employee association may serve as a member of any team negotiating matters related to the remuneration or benefits, terms of employment, rights or privileges available to employees in a class or group of employees of the University.~~

B. CONSTITUENCIES: FACULTY ELECTED BY SENATE, ALUMNI MEMBERS, BOARD-ELECTED MEMBERS

B.1 Faculty Elected by Senate (2 members)

1. To be eligible for election by the Senate, the candidate must be a member of Faculty and a member of the Senate at the time elected.
2. The election of members to the Board by the Senate shall be the responsibility of the Senate and by such procedure as the Senate shall determine.
- ~~3. Note: No member of the Board of Governors whose salary is paid under a collective agreement or Memorandum of Agreement between the University and a union or employee association may serve as a member of any team negotiating matters related to the remuneration or benefits, terms of employment, rights or privileges available to employees in a class or group of employees of the University.~~

B.2 Members Elected by the Alumni Association (4 members)

The election of members to the Board by the Alumni Association shall be the responsibility of the Association except that the cost of such elections may be borne by the Board, subject to the approval of the Board.

B.3 Members Elected by the Board (4 members)

1. The election of members by the Board under Section 9.(1) of the Act, clause (h) ~~{4 members}~~ shall be by a majority of those members of the Board entitled to vote in such election present and voting at the meeting at which the election takes place, provided that a quorum of fourteen such eligible members are present.
2. The Senior Operations Committee shall be responsible for the identification of candidates as vacancies occur and shall make nominations to the Board.
3. Voting shall be by show of hands or by ballot as may be determined by the Board.

C. FILLING OF VACANCIES - Elected and Appointed Members

- C.1. When a vacancy occurs prior to the expiration of the membership term of a member elected by the Faculty-at-large, the administrative staff, or students, action in respect to the filling of the vacancy shall be as follows:

- (1~~a~~) If the time remaining in the term of office is six months or less, ~~e.g., occurring between September and January,~~ the seat shall remain vacant until the next regular election. ~~For—However, for faculty, administrative staff and~~ student constituencies, if the time remaining in the term of office six months or less and occurs after the February elections and prior to the commencement of new terms in July, the member-elect in the same constituency will be invited by the Secretary of the Board to assume the vacant seat.
- (2~~b~~) If the time remaining in the term of office is more than six months but less than two years, the vacancy shall be filled from among the eligible candidates of the constituency concerned who were unsuccessful in the last election, in a priority determined by their plurality in that election, and provided that to be thus eligible a candidate must have polled at least 20% of the votes cast in that ~~election~~election. ~~Failing such circumstances, the Secretary of the Board shall call, or failing such, by~~ a by-election.
- (c) If the time remaining in the term of office is more than two years, the vacancy shall be filled by a by-election.

The conduct of a by-election shall be the same as that of a regular election.

- C.2. When a vacancy occurs prior to the expiration of the membership term of a member elected or appointed by the Council of the City of London, the Lieutenant Governor in Council, the Alumni Association, the Senate, or the Board, the body responsible for electing or appointing such member shall be requested to appoint a person to fill the vacancy for the time remaining in the membership term except that if the time remaining in the term of office is six months or less, the Board may declare by resolution that the

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seat remain vacant until the next regular appointment period.

REPORT OF THE FUND RAISING AND DONOR RELATIONS COMMITTEE

Contents	Consent Agenda
Amendment to Western Fund Terms of Reference	No
Fundraising Results to July 31, 2011	Yes

FOR APPROVAL

1. **Amendment to Western Fund Terms of Reference**

Recommended: That the terms of reference of the Western Fund be amended to delegate authority to the Fund Raising and Donor Relations Committee for approval of allocations to specific University priorities of funds available for spending from Western Fund endowments and expendable Western Funds on an annual basis.

See [Annex 1](#).

FOR INFORMATION

2. **Fundraising Results to July 31, 2011**

See [Annex 2](#).



December 1, 2000
Updated, May 1, 2011

The Western Fund Terms of Reference

Purpose: To encourage unrestricted donations to the University on an expendable or endowed basis to be used in support of its highest priority needs and take advantage of funding opportunities that will arise from time to time that advance the University's mission. The Western Fund is an important element in the University's overall fund raising strategy.

Funding: Donations to the Western Fund are encouraged from individual alumni, students, faculty, staff and friends of the University, and corporations, foundation or other institutions that share a belief in the importance of unrestricted gifts. Bequests to the University for unrestricted purposes may also be directed to the Western Fund as appropriate.

Marketing: The Western Fund will be promoted to donors as the means to support the highest priority needs of the University, with the highest level administrative determination of the needs and oversight by the Board. Within the Western Fund, naming of specific donor funds may be available for endowed gifts of \$25,000 or more in keeping with the Naming Policy (MAPP 1.44).

Asset Management: Gifts to the Western Fund for endowment will be held and managed by Foundation Western or the University as appropriate in keeping with respective investment policies in effect at any given time. Generally, gifts from alumni for endowment will be held at Foundation Western. Gifts for expendable purposes will be held at the University.

Annual Allocation: The allocation to specific University priorities of funds available for spending from Western Fund endowments and expendable Western Funds will be made upon recommendation of the Fund Raising & Donor Relations Committee and reported to the Board of Governors of the University, typically on an annual basis. The role of the Foundation Western Board will be, as with all other endowments held by the Foundation, to ensure that the income allocation conforms to the charitable intent of the endowment and the disbursement rules of the Canada Revenue Agency.

Reporting: Donors to the Western Fund will receive a report on the use of funds relevant to the year of their gift or endowment spending. Donors who establish endowed funds also receive appropriate financial reports.

BACKGROUND

The Board approved the Terms of Reference for the Western Fund held solely at Foundation Western in 2000. Since that time, the Western Fund has grown to include expendable funds and endowed funds held at the University. Allocation decisions have been previously made by PVP for these endowed and expendable monies at separate times for Foundation Western and the University and reported to the Board of Governors.

An update to the Terms of Reference from 2000 is requested to move oversight for this process to the Fund Raising & Donor Relations Committee and have one decision making process that addresses the allocation of all available money, once per year. FRDRC would then report its decision to the Board of Governors. Rationale: Staff believe that the highest level volunteer oversight is essential to garner donations to the Fund, and that annual decisions about use of Western Fund monies should be integrated given the demand for use of these funds (see attached).



MEMORANDUM

To: Fund Raising & Donor Relations Committee
From: Kevin Goldthorp, Vice-President (External)
Date: April 25, 2011
RE: Western Fund annual commitments

In addition to the annual OGS/ST Exposure traditionally supported through the Western Fund, the following projects have been approved, over time, for annual support from the Western Fund:

\$350,000	Capital Funding – Institutional Planning & Budgeting commitment for capital expenditures.*
\$27,309	Rotman Institute of Philosophy – Commitment of University funding in support of the Institute as part of the donor agreement with the Rotman Family Foundation for the period 2008/2009 to 2022/2023 beginning at \$20,000 and growing at \$4,000 to \$5,000 annually over the period to \$81,511.
\$20,000	Lassonde Awards – Annual University commitment, in perpetuity, to support two awards in Engineering as part of the donor agreement with the Lassonde family for their gift to the Claudette McKay Lassonde Pavilion, beginning in 2007.
\$15,000	Scholar's Elective Program – Annual commitment to fund scholarships, approved by the VP (External) dating back to 2000.
\$8,500	London Music Scholarships – Annual commitment by the VP (External) to provide awards for students who do not meet Ontario residency requirements and therefore do not qualify for awards supported by the endowment established by the London Music Scholarship Foundation through OSOTF, dating back as far as 1997 and covered by the Western Fund since approximately 2004.
\$1,000	London Police Services Scholarship – Annual commitment by the VP (External) added to amount available for expenditure to address a donor relations issue brought about by withdrawal of OSOTF matching funds from the established scholarship endowment when the terms of the award were later found ineligible. Dates to 2003.
\$4,000	International Student Scholarships – Commitment approved by the VP (External), 2011. Annual renewal to be determined.
Total:	\$425,809 for 2010/2011

* The University directs an additional \$350,000 in base funding to Development's budget in support of fundraising expenses with the understanding that a minimum of \$350,000 from the Western Fund will be directed in support of capital projects effective 2010/2011.

Note: A significant University commitment for seed funding to support Athletic Scholarships concluded in 2009/2010.

The University of Western Ontario

**Campaign Activity Summary
for the period ending July 31, 2011**

	For the Campaign: May 1, 2007 to April 30, 2014					
Faculties:	Campaign Goal	Gifts & Pledges to Date*	% of Goal	Endowed UWO	Endowed FW	Expendable
Arts and Humanities	9,000,000	4,826,428	54%	68,887	995,921	3,761,619
Don Wright Faculty of Music	6,500,000	3,039,723	47%	125,890	272,578	2,641,255
Education	6,000,000	1,701,386	28%	1,400	1,253,111	446,875
Engineering	17,000,000	14,583,600	86%	704,805	355,247	13,523,548
Health Sciences	30,000,000	14,087,210	47%	6,594,727	2,124,491	5,367,992
Information & Media Studies	2,125,000	1,244,632	59%	1,363	159,020	1,084,250
Law	11,400,000	7,879,965	69%	168,244	826,289	6,885,431
Libraries	6,000,000	9,958,625	166%	39,679	30,332	9,888,614
Mustang Athletics	6,000,000	4,751,038	79%	478,918	2,012,564	2,259,556
Richard Ivey School of Business	125,000,000	72,838,120	58%	7,446,610	8,497,946	56,893,565
Robarts Research Institute	25,000,000	7,494,587	30%	738,020	1,564,800	5,191,767
Schulich School of Medicine & Dentistry	100,000,000	28,880,320	29%	5,656,911	7,698,025	15,525,385
Science	34,000,000	17,980,691	53%	11,513	574,634	17,394,544
Social Science	14,500,000	8,500,587	59%	74,243	1,009,617	7,416,727
Sub Total by Faculty	\$392,525,000	\$197,766,911	50%	\$22,111,210	\$27,374,574	\$148,281,128
Special Projects:						
Student Awards - University Wide	15,000,000	12,626,508	84%	6,239,816	4,206,918	2,179,774
Western Fund	10,000,000	5,708,303	57%	260	1,664,696	4,043,347
Campus Wide Programs	7,475,000	28,562,013	382%	2,940	1,358,151	27,200,922
Future Priorities	75,000,000					
Sub Total by Special Projects	\$107,475,000	\$46,896,824	44%	\$6,243,016	\$7,229,766	\$33,424,042
GRAND TOTAL	\$500,000,000	\$244,663,735	49%	\$28,354,226	\$34,604,339	\$181,705,170

Footnotes:

Ivey Campaign commenced in 2006/07 during which \$20.4 million was raised; total raised to date is \$92.3 million (74% 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	60,305,352	60%

**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: July 2011
Annual Goal	Gifts & Pledges to Date*	% of Goal	Endowed UWO	Endowed FW	Expendable	Gifts & Pledges
1,400,000	676,946	48%	27,050	-	649,896	1,365
350,000	18,639	5%	7,000	1,805	9,834	10,409
650,000	20,435	3%	-	2,530	17,905	1,370
5,500,000	2,924,571	53%	-	7,310	2,917,261	24,135
1,000,000	459,255	46%	250,100	203,216	5,939	454,619
2,000,000	566,128	28%	-	120,008	446,120	100
4,000,000	351,642	9%	-	3,070	348,572	181,423
700,000	211,376	30%	726	1,000	209,650	3,700
1,000,000	337,886	34%	-	14,050	323,836	231,590
18,000,000	2,270,462	13%	500	242,675	2,027,287	263,847
2,000,000	96,490	5%	50	11,150	85,290	9,971
11,000,000	1,585,250	14%	1,009,274	259,928	316,049	164,656
3,500,000	172,001	5%	-	19,903	152,097	3,934
1,200,000	498,620	42%	600	371,275	126,745	193,725
\$52,300,000	\$10,189,701	19%	\$1,295,300	\$1,257,919	\$7,636,483	1,544,844
3,000,000	339,128	11%	-	266,790	72,338	29,025
1,200,000	124,086	10%	-	51,570	72,516	10,686
3,500,000	354,245	10%	-	346,590	7,655	90
\$7,700,000	\$817,459	11%	\$0	\$664,950	\$152,509	39,801
\$60,000,000	\$11,007,160	18%	\$1,295,300	\$1,922,869	\$7,788,991	1,584,645

Gift Planning	Annual Goal	Value	% of Goal	July 2011
Expectancies	\$10,000,000	1,379,429	14%	299,997
Realizations	\$5,000,000	1,015,696	20%	214,980

Annual Fund*	Annual Goal	Annual Achievement	% of Goal
Annual Fund	\$1,400,000	129,864	9%

*included in the above results

REPORT OF THE AUDIT COMMITTEE

Contents	Consent Agenda
Audited Financial Statements for the Year Ended April 30, 2011	No
Related Companies	No
Equity and Human Rights Services Annual Report	Yes

FOR APPROVAL

1. **Audited Financial Statements – The University of Western Ontario**

Recommended: That the Board of Governors approve the draft audited combined financial statements for the University for the fiscal year ended April 30, 2011 (Annex 1, Tab 1).

FOR INFORMATION

2. **Related Companies**

The following financial statements for related companies and other organizations of The University of Western Ontario for the fiscal year ended April 30, 2011, are provided for the information of the Audit Committee and can be found in Annex 1.

The Museum of Ontario Archaeology, as presented by the Museum's auditors, KPMG, and as approved by the Board of Directors of the Company on **June 20, 2011**.

The University of Western Ontario Research and Development Park, as presented by the Company's auditors, KPMG, and as approved by the Directors of the Company on **September 2, 2011**.

The Siebens-Drake Research Institute as presented by the Institute's auditors, KPMG, and as approved by the Institute's Board of Directors on **September 25, 2011**.

Foundation Western, as presented by the Foundation's auditors, KPMG, approved by the Financial & Operations Committee on **July 14, 2011** and as subject to approval by the Directors of Foundation Western on **September 30, 2011**.

The University of Western Ontario Foundation Inc., as presented by the Foundation's auditors, KPMG, and as approved by the members of the UWO Foundation Inc., **September 9, 2011**.

1675025 Company (Wind Tunnel), as presented by the Company's auditors, KPMG, and as approved by the Company's Board of Directors on **August 17, 2011**.

Ivey Management Services, Richard Ivey School of Business Foundation, and Richard Ivey School of Business (Asia) Limited, as presented by the Ivey's auditors, KPMG, and as approved by the Board of Directors on **September 1, 2011**.

Robarts Research Institute as presented by the Institute's auditors, KPMG and as subject to approval by the Institute's Board of Directors in **September 8, 2011**.

The Pension Fund for Members of the Academic and Administrative Staff - for the fiscal year ended December 31, 2010, as presented by the Pension Funds auditors, KPMG, and as

approved by the Academic Pension Board and the Administrative Pension Board on **May 18, 2011**.

The Retirement Income Fund - for the fiscal year ended December 31, 2010, as presented by the Retirement Income Fund auditors KPMG, and as approved by the Board of Governors on **June 23, 2011**.

3. **Equity and Human Rights Services Annual Report 2010-2011**

The Annual Report of the Equity and Human Rights Services was received by the Audit Committee at its September meeting. A copy is available at http://www.uwo.ca/equity/docs/ES_report_2011.pdf



ITEMS REFERRED BY SENATE

Contents	Consent Agenda
Revision to Appointment Procedures for Senior Academic and Administrative Officers of the University: P. Associate Vice-President (Research)	Yes
Report of the Honorary Degrees Committee	Yes
Report of the Academic Colleague	Yes
Academic Administrative Appointments	Yes

FOR APPROVAL

1. **Revision to Appointment Procedures for Senior Academic and Administrative Officers of the University: P. Associate Vice-President (Research)**

Recommended: That, subject to approval by the Senate on September 23, 2011, the change to the term of the Associate Vice-President (Research) as shown in **Annex 1** be approved.



Background:

It is proposed that the current language guiding the search process for the Associate Vice-President (Research) be amended to allow for the appointment of either a faculty member or staff person to fill this role. Staff AVPs (Research) are now in place at a number of U-15 research universities, including the University of Toronto and Queen's. An external review of Western's current practice in this regard was undertaken by Dr. Kerry Rowe late in 2010. This review determined that the staff AVP (Research) model could bring significant benefit to Western in terms of ensuring continuity within the Office of the Vice-President (Research & International Relations) over the longer term, more effective oversight of staff within the Research Western organization, and the establishment of effective working relationships with other Associate Vice-Presidents at Western—all of whom are currently staff members.

Approving this change provides for enhanced flexibility in allowing for the Selection Committee to consider the merits of the recommendations in the Rowe report and potentially consider both faculty and staff candidates for the AVP (Research) position. See **Annex 1**.

FOR INFORMATION

2. **Report of the Honorary Degrees Committee**

See **Annex 2**.

3. **Report of the Academic Colleague**

See **Annex 3**.

4. **Academic Administrative Appointments**

See **Annex 4**.



P. ASSOCIATE VICE-PRESIDENT (RESEARCH)

Composition of Selection Committee

A committee to select an Associate Vice-President (Research) shall consist of:

- (a) the Vice-President (Research & International Relations), who shall be Chair
- (b) 4 persons elected by the Senate, one of whom shall be a graduate student
- (c) 2 persons elected by the Board of Governors

Procedure

- The Chair shall convene the Committee.
- The Chair shall undertake negotiations with prospective candidates.
- The Chair shall report to Senate through the President & Vice-Chancellor.

Terms

Current language:

The term for the Associate Vice-President (Research) is five years, renewable. In the case of renewal of an appointment where the incumbent takes a Study Leave at the end of the first term, the term of reappointment will be six years.

Proposed new language:

The Associate Vice-President (Research) may be a member of faculty or a member of staff.

If appointed from the faculty, the term for the Associate Vice-President (Research) is five years, renewable. In the case of renewal of an appointment where the incumbent takes a Study Leave at the end of the first term, the term of reappointment will be six years.

If appointed from the staff, the term for the Associate Vice-President (Research) will be agreed upon between the Vice-President (Research & International Relations) and the appointee at the time of the initial appointment, with such terms to include provision for review and renewal as appropriate.

REPORT OF THE SENATE HONORARY DEGREES COMMITTEE

HONORARY DEGREE RECIPIENTS – AUTUMN 2011

FOR INFORMATION

The Honorary Degrees Committee of the Senate announces that the following persons will be honored by conferment of degrees, *honoris causa*, at the 298th Convocation of the University to be held on main campus on Thursday, October 27 and Friday, October 28.

THURSDAY, OCTOBER 27 - 10:00 A.M.

FRANK HAYDEN - LLD

School of Graduate and Postdoctoral Studies*
Faculty of Health Sciences
Schulich School of Medicine & Dentistry

* = students in programs hosted by the Faculty of Health Sciences and the Schulich School of Medicine & Dentistry

THURSDAY, OCTOBER 27 - 3:00 P.M.

MARY HOFSTETTER - LLD

School of Graduate and Postdoctoral Studies*
Don Wright Faculty of Music
Faculty of Education
Faculty of Engineering
Faculty of Law
Richard Ivey School of Business

* = students in programs hosted by the Don Wright Faculty of Music, Faculties of Education, Engineering, Law, and the Richard Ivey School of Business

FRIDAY, OCTOBER 28 - 10:00 A.M.

HEATHER HISCOX - LLD

School of Graduate and Postdoctoral Studies*
Faculty of Arts and Humanities
Faculty of Science
Faculty of Science and the Schulich School of Medicine & Dentistry (BMSc)
Brescia University College
Huron University College
King's University College

* = students in programs hosted by the Faculties of Arts and Humanities, and Science

FRIDAY, OCTOBER 28 - 3:00 P.M.

JOHN SCHWEITZER - LLD

School of Graduate and Postdoctoral Studies*
Faculty of Information and Media Studies
Faculty of Social Science

* = students in programs hosted by the Faculties of Information and Media Studies and Social Science

**Council of Ontario Universities
Report to Senate of the Academic Colleague
Kathleen Okruhlik, September 2011**

The COU Academic Colleagues met in Toronto August 29th and 30th. Much of the meeting was devoted to orientation of new members. There was no meeting of the full Council.

Undergraduate Enrolments: Over 90,000 students had confirmed acceptance of offers to enter Ontario universities in September 2011. This is almost 2,000 more than in the “double cohort” year. As enrolments continue to increase, so do concerns about how to adequately educate these undergraduates. This has been a topic of ongoing concern to the Academic Colleagues, and some Senators will have read the recent *Globe and Mail* article by James Bradshaw headlined “Universities acknowledge erosion of the undergraduate experience”. Although Western seems to have done a much better job than most at maintaining the quality of the undergraduate experience, we shall experience additional challenges as enrolments increase significantly for the first time in some years.

Teaching Evaluations: Each year the Academic Colleagues produce Discussion Papers that are later discussed at meetings of the full Council (which includes the Executive Heads) and then posted on the COU website. The next report will deal with the different ways that teaching evaluations are conducted at universities across the province.

Research Grant Culture: A topic of continuing concern to COU Academic Colleagues is the extent to which research grant procurement has become a dominant criterion for ranking universities nationally and internationally and (within any single university) for ranking Faculties, Departments, and individual professors. Concerns are diverse and relate not only to the apparent devaluing of teaching but also to distortions within various research cultures. So, for example, although some colleagues in humanities-related disciplines may not need a great deal of money to pursue their research, they feel pressured to apply for large grants in order to make their Department and Faculty look good. Sometimes they feel that the number of dollars brought in counts for more than the quality of the research that is produced. Meanwhile many other researchers find it impossible to get the funds that they desperately need, and numerous parties express concern about changes in rules and procedures at the three granting councils. One of this year’s Discussion Papers will address at least some of these issues.

Keeping up with COU activities: In response to requests for clarification, Academic Colleagues have been told that we are free to share with Senators the COU Updates that we receive approximately every three months. These documents are intended to help members of COU track issues. They are not meant for quotation or public dissemination, but Senators may sometimes find them useful tools in their effort to understand issues at the provincial level. These documents are rather lengthy; so (at least for now) I shall forward them to Nancy Martinelli in the University Secretariat rather than include them with my reports. Any Senator who wants to read the updates may contact Nancy, and she will send the documents electronically. For other information, check out the Council’s website: <http://www.cou.on.ca/>

I shall be pleased to answer questions about these and other issues on the floor of Senate.

ANNOUNCEMENTS & COMMUNICATIONS

FOR INFORMATION

Announcements

Name	Department/School	Faculty	Admin Post	Effective Date	End Date
Hanan Lutfiyya	Computer Science	Science	Chair	July 1, 2011	June 30, 2016
Bryce Traister	English	Arts and Humanities	Chair	July 1, 2011	June 30, 2016
Joyce Bruhn de Garavito	Modern Languages and Literatures	Arts and Humanities	Chair	July 1, 2011	June 30, 2016
Paul Coats	Film Studies	Arts and Humanities	Acting Chair	July 1, 2011	June 30, 2012
Jacques Lamarche	French Studies	Arts and Humanities	Acting Chair	July 1, 2011	December 31, 2011
Betty Anne Younker	Music	Don Wright Faculty of Music	Dean	August 1, 2011	July 31, 2016
Charmaine B. Dean	Science	Science	Dean	August 1, 2011	July 31, 2016
Vicki Schwean	Education	Education	Dean	July 1, 2011	June 30, 2016
Sophie L. Roland-Wieczorek	Music Performance Studies	Music	Chair	July 1-2011	June 30, 2016
Andre Boivin	Mathematics	Science	Chair	July 1-2011	June 30-2016
Margaret Steel	Schulich	Schulich	Acting Associate Dean (Clinical Academic Affairs)	July 1-2011	August 30-2011
Michael Rieder	Schulich	Schulich	Acting Assistant Dean (Student Affairs)	July 1-2011	December 31-2011
Kathleen Fraser	Dept of Writing, Rhetoric & Professional Communication	Arts and Humanities	Acting Director	July 1-2011	June 30, 2012

Faculty of Information and Media Studies

T. Rose, 2010 CanWest Fellow, September 1, 2011 – December 31, 2011

M. Valpy, 2011 CanWest Fellow, January 1, 2012 – April 30, 2012

Faculty of Law

B. Barton, Stephen Dattels Fellow in Mining and Finance Law, January 1, 2012 – January 31, 2012

R. Graham and S. Pitel, Goodmans LLP Faculty Fellows in Legal Ethics, July 1, 2011 – June 30, 2012

H. Linton, James G. McLeod Professor in Family Law, January 1, 2012 – January 31, 2012

P. Yowell, Rt. Hon. John Turner Fellow in Public Law, January 1, 2012 – Jan 31, 2012

Schulich School of Medicine and Dentistry

J. G. Pickering, The Heart and Stroke Foundation of Ontario/Barnett-Ivey Chair at the Robarts Research Institute, January 1, 2011, December 31, 2015