



## *The* UNIVERSITY of WESTERN ONTARIO

### SENATE AGENDA

1:30 p.m., Friday, October 18, 2002  
Richard Ivey School of Business, Room 1R40

1. Minutes of the Meeting of September 20, 2002
2. Report of the President (P. Davenport)
  - Full-Time Staff at Western
3. Reports of Committees:
  - Operations/Agenda - [EXHIBIT I](#) (A. Pearson)
  - Academic Policy and Awards - [EXHIBIT II](#) (B. Timney)
  - University Planning - [EXHIBIT III](#) (B. Skarakis-Doyle)
4. Announcements and Communications - [EXHIBIT IV](#)
5. Enquiries and New Business
6. Adjournment

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

**SUMMARY OF AGENDA ITEMS: October 18, 2002**

**APPROVAL OF MINUTES**

**REPORT OF THE PRESIDENT**

**OPERATIONS/AGENDA COMMITTEE**

FOR ACTION

Senate Membership: Representative from the General Community

*Faculty Appointment and Promotion Procedures: Scientists Employed by Institutions Affiliated with The University of Western Ontario*

Faculty of Music: Renamed the Don Wright Faculty of Music

Constitution of the Faculty of Graduate Studies

Composition of SCAPA

Amendment to the Minutes of June 21, 2002

FOR INFORMATION

Candidates for Degrees: Autumn Convocation 2002

**SENATE COMMITTEE ON ACADEMIC POLICY AND AWARDS (SCAPA)**

FOR ACTION

Faculty of Arts: Minor in Greek and Roman Archaeology

Letters of Permission Policy

FOR INFORMATION

Brescia University College: Certificate in Community Development

Report on New Scholarships and Awards

**SENATE COMMITTEE ON UNIVERSITY PLANNING (SCUP)**

FOR ACTION

Renaming of the JR Shaw Professorship

FOR INFORMATION

Multi-Year Budget and Planning Guidelines

**ANNOUNCEMENTS & COMMUNICATIONS**

FOR INFORMATION

Promotion and Tenure Cases Considered Under The Collective Agreement During 2001-2002

Announcements



# The UNIVERSITY of WESTERN ONTARIO

## MINUTES OF THE MEETING OF SENATE

September 20, 2002

The meeting was held at 1:30 p.m. in Room 1R40, Richard Ivey School of Business.

SENATORS: 68

P. Ashmore	J. Haywood-Farmer	R. Parks
P. Barker	B. Hoffmaster	A. Pearson
R. Beaujot	I. Holloway	A. Percival-Smith
A. Belcastro	R. Howse	C. Piper
F. Berruti	I. Hramiak	M. Randall
R. Bohay	F. Irani	S. Rich
I. Brodie	C. Iwasiw	C. Ross
E. Cairns	W. Kennedy	J. Roth
R. Corless	G. Killan	S. Siegner
L. Dagnino	D. Kneale	S. Singh
P. Davenport	R. Kudar	M. Speechley
J. Doerksen	A. Lee	B. Timney
D. Dutrizac	R. Li	T. Topic
A. Esterhammer	F. Longstaffe	S. Usprich
J. Etherington	P. Mahon	D. Vaillancourt
C. Farber	S. Majhanovich	J. Van Fleet
W. Flintoff	L. Mansinha	L. Vaughan
A. Garcia	D. McCarthy	C. Watson
J. Garland	J. McMullin	G. Weese
J. Garnett	G. Nakhla	P. Werstine
S. Gibson	N. Nelson	B. Wood
C. Hall	K. Okruhlik	M. Workentin
J. Harrington	S. Osborn	

Observers: L. Gribbon, P. Handford, A. Weedon

S.02-162

### MINUTES OF THE PREVIOUS MEETING

The minutes of the meeting of June 21, 2002, were approved with the proviso that minute number S.02-157: Site Planning - South Valley Site be reviewed and possibly reflect concerns raised during the discussion about the relationship between Building A, the flood plain and the 100 year flood line.

S.02-163      **REPORT OF THE PRESIDENT**

The President reported on his priorities for 2002-2003, enrolment and accessibility funding, and new faculty. Overhead slides used to highlight his presentation are attached as Appendix 1. Included is a graph illustrating the number of full-time administrative staff at Western.

**OPERATIONS/AGENDA COMMITTEE** [Exhibit I]

S.02-164      **Constitution of the Faculty of Science**

On behalf of the Operations/Agenda Committee, it was moved by A. Pearson, seconded by S. Gibson,

That Section 1 of the Constitution of the Faculty of Science be amended as follows, effective July 1, 2002:

That Faculty of Science shall consist of the following departments:

Anatomy & Cell Biology, Applied Mathematics, Biology, Microbiology & Immunology, Biochemistry, Medical Biophysics, Chemistry, Computer Science, Earth Sciences, History of Medicine, Mathematics, ~~Pharmacology & Toxicology~~, Physics & Astronomy, Physiology **and Pharmacology**, and Statistics & Actuarial Sciences.

Admission of other departments to the Faculty of Science will require the following steps:

- (i) application of the department concerned to the Senate
- (ii) approval of this application by the Senate, after consultation with the Faculty of Science and any other Faculty concerned.

CARRIED

S.02-165      **Constitution of the Faculty of Information and Media Studies**

It was moved by A. Pearson, seconded by C. Farber,

That section 2.B.(iv) of the Constitution of the Faculty of Information and Media Studies be amended as follows, as recommended by the Council of the Faculty:

- (iv) ~~4~~**6** students, elected by Council, to include one student from the PhD program in Library and Information Science, the MLIS program, the MA in Journalism program, **the MA in Media Studies program, the PhD in Media Studies program** and the undergraduate program.

CARRIED

S.02-166      **Observer Status on Senate**

It was moved by A. Pearson, seconded by S. Gibson,

That the Vice-Provost (Policy, Planning & Faculty) be an Official Observer on Senate.

CARRIED

S.02-167      **Composition of SCUP**

It was moved by A. Pearson, seconded by R. Wood,

That the Vice-Provost (Policy, Planning & Faculty) be added as a Resource Person (non-voting) to SCUP.

CARRIED

S.02-168      **Amendments to Lists of Candidates for Degrees**

On behalf of Senate, the Operations/Agenda Committee approved the following amendments to the list of Candidates for Degrees for Spring Convocation 2002, contained in Appendix 1 to the Senate minutes of June 21, 2002:

FRIDAY, JUNE 7, 2002

FACULTY OF SOCIAL SCIENCE

Delete:                      Christine Carol Meingast  
   Bachelor of Arts  
   Sociology

Delete:                      Renee Chi Yin Chung  
   Bachelor of Arts  
   Economics

Delete:                      Brett Timothy Harris  
   Bachelor of Arts  
   Geography

S.02-169      **Convocation Officers**

The Operations/Agenda Committee, on behalf of Senate, has appointed M. Broadfoot and G. Day as Co-Chief Ushers for terms September 1, 2002, to August 31, 2004.

**NOMINATING COMMITTEE** [Exhibit II]

S.02-170      **Nominating Subcommittee - Senate Representative from the General Community**

S. Majhanovich, S. Osborn, M. Workentin were elected to the Nominating Subcommittee to elect a Senate Representative from the General Community.

S.02-171      **Subcommittee on Research Ethics Policy** (SUREP)

M.A Wilkinson was elected to the Subcommittee on Research Ethics Policy to replace A. Schneider who has resigned (term to June 30, 2003).

S.02-172 **Senate Review Board Academic (SRBA)**

S. Xaysy was elected to the Senate Review Board Academic to replace M. Scott who has resigned (term to November 30, 2002).

**ACADEMIC POLICY AND AWARDS** [Exhibit III]

S.02-173 **Four Year BA in Visual Arts**

On behalf of SCAPA, it was moved by B. Timney, seconded by P. Mahon,

That effective September 1, 2002, a Four Year Bachelor of Arts in Visual Arts be introduced in the Faculty of Arts, as outlined in Exhibit III, item 1.

CARRIED

S.02-174 **Minor Program in Music**

It was moved by B. Timney, seconded by J. Doerksen,

That effective September 1, 2003, a Minor in Music be introduced in the Faculty of Music, as outlined in Exhibit III, item 2.

CARRIED

S.02-175 **Dean's Honor List Policy**

It was moved by B. Timney, seconded by G. Weese,

That Senate approve revisions to the Policy on the Dean's Honor List as detailed on pages 2-3 of Exhibit III:

- a) to revise the reference to courses taken on a Letter of Permission.
- b) to remove the reference to special recommendations by the Dean from the requirements for students in Business and add a reference to "Ivey Scholars"
- c) to revise the requirements for students in the MD program.
- d) to include the requirements for students in concurrent programs for BEMSc/BA(HBA) and LLB/BA(HBA).

CARRIED

S.02-176 **Graduation "With Distinction" Policy**

It was moved by B. Timney, seconded by S. Singh,

That Senate approve revisions to the policy on Graduation "With Distinction" as detailed on pages 4-5 of Exhibit III:

- a) to remove Business from the list of exceptions to this policy,
- b) to clarify the requirements for students in Engineering programs, including those in concurrent degrees,

- c) to discontinue Graduation “With Distinction” for students in the Doctor of Medicine program.

CARRIED

S.02-177 **Policy on Eligibility for Gold Medals**

It was moved by B. Timney, seconded by R. Howse,

That the policy on Eligibility for Gold Medals be revised to remove reference to the Diploma in Honors Standing and to add information on the GSW Gold Medal offered in the Honors Business Administration program, as detailed in Exhibit III, item 5.

CARRIED

S.02-178 **Richard Ivey School of Business: Progression, Graduation and Honors Policies for the HBA Program**

It was moved by B. Timney, seconded by J. Haywood-Farmer,

That requirements and standards in the policies on progression, graduation and honors awarded by the Richard Ivey School of Business for the BA Program in Honors Business Administration (HBA) be revised to read as shown in Exhibit III, item 6.

CARRIED

S.02-179 **Faculty of Music: Renaming Artist Diploma in Performance (Three-Year Program) as Music Performance Diploma (Three-Year Program) and Revising its Progression Requirements**

It was moved by B. Timney, seconded by R. Parks,

That, effective September 1, 2003,

- A) the Artist Diploma in Performance (Three-Year Program) in the Faculty of Music be renamed the Music Performance Diploma (Three-Year Program), and,
- B) the progression requirement in the Music Performance Diploma (Three-Year Program) for courses other than Applied Principal Instrument be a grade of 60% or above.

CARRIED

S.02-180 **Faculty of Engineering: Renaming Mechanical or Manufacturing Engineering and Management Program as Mechanical Engineering and Business**

It was moved by B. Timney, seconded by F. Berruti,

That effective September 1, 2003, the name of the Mechanical or Manufacturing Engineering and Management program be changed to Mechanical Engineering and Business.

CARRIED

S.02-181 **Reformatting Mechanical Engineering Program**

Senate was advised that SCAPA has approved the reformatting of the Mechanical Engineering Programs effective September 1, 2003. The current options A. General Engineering, B. Manufacturing Engineering Option, and C. Materials Engineering Option, will be discontinued and fourth year of the Mechanical Engineering Program will be reformatted to have a required component (Business 299, ES 498 and MME 419 or 499 and four half courses each term selected from an appended list). The Mechanical Engineering Option will become Option A, followed by B. Mechanical Engineering and Law Option, and C. Mechanical Engineering and Medicine Option.

S.02-182 **Report on New Scholarships and Prizes**

Senate received for information the terms of reference for the following new scholarships, awards, medals and fellowships, for recommendation to the Board of Governors through the Vice-Chancellor.

- Grad Pact Science Bursary (Faculty of Science)
- Mical Equities Limited - Government of Ontario Graduate Scholarships (Faculty of Graduate Studies, Business)
- Mical Equities Limited MBA Bursary (Faculty of Graduate Studies, Business)
- Women's Studies Book Prize (Faculties of Arts and Social Science, Women's Studies Program)
- RBC Financial Group Doctoral Scholarship (Faculty of Graduate Studies, Economics/Political Science)
- HBA '81 Student Scholarships (2) (Richard Ivey School of Business)
- Roger Dickhout MBA '83 Award (Faculty of Graduate Studies, Business)
- J. Alexander Richards Undergraduate Awards (2) (Any Undergraduate Faculty)
- Leeper Family Award in Speech Language Pathology (Faculty of Graduate Studies, Communication Sciences and Disorders)
- Roderick Moir McQueen Scholarship in English (Faculty of Arts, English)
- HBA Varsity Athlete Award (Richard Ivey School of Business)
- Department of History Scholarship (Faculty of Social Science, History)
- Cecil G. Gracey Memorial Continuing Scholarship (Faculty of Science, Mathematics; Faculty of Social Science, Political Science)
- Gracey Family Continuing Scholarship (Faculty of Science, Mathematics; Faculty of Social Science, Political Science)
- Hydro One Inc. Graduate Scholarships (Faculty of Graduate Studies, Engineering)
- Alan G. Davenport Award (Faculty of Graduate Studies, Engineering)
- Dental Alumni Society (UWODAS) Dental Student Award (Faculty of Medicine & Dentistry, Dentistry)
- IDRC International Development Journalism Award (Faculty of Graduate Studies, Journalism)
- Dr. Gerald Wright Bursary (Faculty of Medicine & Dentistry, Dentistry)
- Ivey OSOTF '96 HBA Awards (2) (Richard Ivey School of Business)
- Ivey OSOTF '96 MBA Awards (2) (Faculty of Graduate Studies, Business)

**UNIVERSITY PLANNING (EXHIBIT IV)**

S.02-183 **Renaming of the PMAC Chair in Purchasing**

On behalf of the Senate Committee on University Planning, it was moved by S. Rich, seconded by J. Haywood-Farmer,

That Senate approve and recommend to the Board of Governors, through the Vice-Chancellor, that the Purchasing Management Association of Canada Chair in Purchasing be renamed the Leenders Purchasing Management Association of Canada Chair, effective July 1, 2002, as recommended by the Richard Ivey School of Business with the agreement of the Purchasing Management Association of Canada. The terms of reference shall be updated as shown in Exhibit IV, Appendix 1.

CARRIED



S.02-184 **Paul MacPherson Chair in Strategic Leadership**

It was moved by S. Rich, seconded by J. Haywood-Farmer,

That the Senate approve and recommend to the Board of Governors, through the Vice-Chancellor, that the Paul MacPherson Chair in Strategic Leadership be established at the Richard Ivey School of Business at The University of Western Ontario based on an endowed gift of \$2 million from Paul MacPherson under the terms of reference shown in Exhibit IV, Appendix 2, and that this Chair replace the Paul MacPherson Professorship that was established in 2001.

CARRIED

S.02-185 **Human Nutrition Centre**

It was moved by S. Rich, seconded by E. Cairns,

That Senate approve and recommend to the Board of Governors that the Human Nutrition Centre be withdrawn as a Type 3 Research Centre on the grounds that it is no longer active.

CARRIED

S.02-186 **Access Code for Western Libraries**

It was moved by S. Rich, seconded by J. Garnett,

That the Access Code for Western Libraries be revised as shown in Exhibit VI, Appendix 3.

Professor Ashmore asked why Section 7.1, Regular Loan Periods, contains no reference to research associates or post-doctoral students. Ms. Kennedy stated that information on research associates and post-doctoral students used by the Library system is obtained from the Human Resources data base. The Library encountered a technical difficulty because of the way the information is coded. In special situations the data can be over-ridden manually. Ms. Garnett advised that it is only recently that the Library system can differentiate between Master's students and Doctoral students.

Dr. Davenport agreed to take this concern under advisement.

The question was called and CARRIED

**HONORARY DEGREES COMMITTEE** (Exhibit V)

S.02-187 **Honorary Degree Recipients - Fall Convocation 2002**

The announcement of honorary degree recipients for Fall Convocation 2002, detailed in Exhibit V, was received for information.

Thursday, October 24 - 3:30 p.m. - **Mr. Frank McCourt - LL.D., honoris causa**  
Friday, October 25 - 10:00 a.m. - **Dr. Martha Piper - D.Sc., honoris causa**  
Friday, October 25 - 3:30 p.m. - **The Honourable James Bartleman - LL.D., jure dignitatis**

S.02-188      **ANNOUNCEMENTS & COMMUNICATIONS** (Exhibit VI)

Announcements & Communications detailed in Exhibit VI, were received for information.

S.02-188a      **Promotion & Tenure**

Senate received for information the Report on Promotion and Tenure Cases Considered under the Collective Agreement During 2001-2002, detailed in Exhibit VI, Appendix 1.

An error in the data found in the section "Promotion to Associate Professor and Granting of Tenure: Female" will be corrected and the report reissued.

Professor Handford expressed concern about the lack of information contained in the report. He contended that because the report is sanitized, it is impossible for UWOFA to track the fate of different designated groups in the promotion and tenure setting, which in turn, makes it difficult to look after the interests of UWOFA members. Dr. Weedon stated that the data for minority identification is obtained by supplying the names of those who have been considered for promotion or tenure to the Department of Equity Services which matches the names against the data base. The names cannot be revealed because of confidentiality issues.

Dr. Davenport stated that this issue falls under the mandate of the Provost and is not within the purview of Senate. He stated that the University is also interested in successfully recruiting and maintaining members of the four designated groups for the purposes of employment equity and the Federal Contractors Program.

**ADJOURNMENT**

The meeting adjourned at 2:15 p.m.

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P. Davenport  
Chair

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J.K. Van Fleet  
Secretary

**REPORT OF THE OPERATIONS/AGENDA COMMITTEE**

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**Senate Membership: Representative from the General Community**

**Faculty Appointment and Promotion Procedures: Scientists Employed by Institutions Affiliated with The University of Western Ontario**

**Faculty of Music - Renamed the Don Wright Faculty of Music**

**Constitution of the Faculty of Graduate Studies**

**Composition of SCAPA**

**Amendment to the Senate Minutes of June 21, 2002**

**Candidates for Degrees: Autumn Convocation 2002**

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**FOR APPROVAL**

1. **Senate Membership: Representative from the General Community**

**Recommended:** That Rebecca Howse be re-elected to serve on Senate (term from November 1, 2002 - October 31, 2004) as representative of the General Community.

Membership on Senate, according to the UWO Act (1982) includes five representatives of the General Community -- the President of the Alumni Association (or designate), two persons appointed by the Alumni Association, and two persons elected by Senate. Nominations for the Senate-elected members come from an ad hoc Senate Nominating Committee.

In accordance with Senate procedures, the *ad hoc* Nominating Committee has conferred and agrees that Rebecca Howse, Principal of Lord Dorchester Secondary School, be re-elected for a second term on Senate.

2. **Faculty Appointment and Promotion Procedures: Scientists Employed by Institutions Affiliated with The University of Western Ontario**

**Recommended:** That the Senate approve and recommend to the Board of Governors, through the Vice-Chancellor:

That the Board of Governors approve the *Faculty Appointment and Promotion Procedures: Scientists Employed by Institutions Affiliated with The University of Western Ontario* (Faculty of Medicine & Dentistry) document (**Appendix 1**) effective July 1, 2002, replacing (a) *Appointment and Promotion Procedures: Faculty Employed by Robarts Research Institute Affiliated with The University of Western Ontario* and (b) *Conditions of Appointment: Clinical Departments and Clinical Appointees in Basic Science Departments (1988)*.

## **Background:**

Since 1988, the University has had formal procedures under the *Appointment and Promotion Procedures: Faculty Employed by Robarts Research Institute Affiliated with The University of Western Ontario* document for scientists located at the Robarts Research Institute to be appointed to the Faculty of Medicine & Dentistry. Some of these scientists are employed by the University on a full-time basis and a few hold tenure with the University and are Full-Time Members of the Bargaining Unit. Others hold non-salaried appointments on a non-full-time basis. Some of these appointees (salaried and non-salaried) hold Sequential Term appointments with the University. In order to have an appointment with Sequential Term, a detailed review of the candidate's performance was required involving assessments by the Department and Faculty Committees, as well as the Senate Committees on Promotion and Tenure structured under the *Conditions of Appointment* document. With the introduction of the Collective Agreement between The University of Western Ontario and the University of Western Ontario Faculty Association, the Senate Committees on Promotion and Tenure are not required and have been disbanded. Therefore, it is necessary to develop an appointment and promotion process to bring the Robarts appointments process in line with structures under the Collective Agreement.

Also, since 1988, a number of basic scientists in the Faculty of Medicine & Dentistry have held appointments in clinical divisions or clinical departments within the Faculty under the terms of *Conditions of Appointment: Clinical Departments and Clinical Appointees in Basic Science Departments*. A few of these basic scientists are employed full-time by the University, are Members of the Bargaining Unit, and covered by the provisions of the collective agreement. Many others are not full-time employees at the University and are not eligible for membership in the Bargaining Unit. In the past, the promotion procedures for these basic scientists required review by the various Promotion and Tenure Committees, including the Senate Committees on Promotion and Tenure. It is necessary to have an appointments and promotion process for this important group of members of academic staff at the University.

The Faculty Appointment and *Promotion Procedures: Scientists Employed by Institutions Affiliated with The University of Western Ontario* (Faculty of Medicine & Dentistry) document has been developed to provide an updated procedure for the appointment and promotion of scientists employed not only by the Robarts Research Institute, but also by the affiliated hospitals and other similar institutions. It is important to recognize the valuable contributions to the University made by these scientists. In exchange, these appointments will ensure they maintain their status with the University and, where appropriate, provide a mechanism for them to continue with their supervisory duties involving graduate students and postdoctoral fellows.

### **3. Faculty of Music - Renamed the Don Wright Faculty of Music**

**Recommended:** That the Senate acknowledge the change of name of the Faculty of Music to the Don Wright Faculty of Music, effective immediately;

and

That the Constitutions of the Faculty of Music, Arts, Education and Science be amended to reflect this change.

### **4. Constitution of the Faculty of Graduate Studies**

**Recommended:** That the Constitution of the Faculty of Graduate Studies be amended as follows, effective July 1, 2002:

The Divisions of the Faculty of Graduate Studies shall consist of all members of the Faculty of Graduate Studies in the following programs:

- (b) Social Sciences: Anthropology, Business Administration, Economics, Education Studies, Educational Studies, Education (Counselling), Geography, History, Journalism, Library and Information Science, **Media Studies**, Nursing, Political Science, Public Administration, and Sociology.

**Background:**

In June, a new PhD and MA Program in Media Studies were approved by Senate. These programs have also been approved by OCGS. Since they are programs currently offered by the Faculty of Graduate Studies, they should be added to the Constitution.

5. **Composition of SCAPA**

**Recommended:** That the composition of the Senate Committee on Academic Policy and Awards (SCAPA) be revised as highlighted below:

Ten members elected by Senate:

eight members ~~of Faculty~~, at least five of whom are members of Senate at the time elected. At least one member shall be a **faculty member** from each of the Faculties of Arts, Graduate Studies, Science, and Social Science. No more than one of the members of faculty may be a Dean. **Up to one of these members may be a Senator from the General Community.**

two students: one graduate and one undergraduate

**Background:**

The University of Western Ontario Act sets out the composition of the Senate, including "five persons from the general community, one of whom shall be active in or associated with the field of secondary school education, consisting of,

- (i) the President of the Alumni Association of the University or a person designated by such President, and two members of the Association appointed by the Association, and
- (ii) two persons appointed by the Senate.

As the academic policy committee of the Senate, SCAPA's work includes standards of admission to the University and its programs. At least one Senator from the general community, if not more, has experience with secondary school education. These Senators may be able to provide SCAPA with a useful perspective on issues such as planning for the increased cohort or changes to admission policies. The proposal will permit the option of having up to one Senator from the General Community serve as a member of SCAPA.

6. **Amendment to the Senate Minutes of June 21, 2002**

**Recommended:** That Senate approve the amendment to S.02-157 of the Senate Minutes of June 21, 2002, as **highlighted** below.

S.02-157 **Site Planning - South Valley Site**

Mr. Riddell briefed Senate on the site plan developments of the South Valley site. The diagram depicting the site plan is attached as Appendix III. The following points were presented:

- The development of a mini site plan for the South Valley, which consists of approximately 10 acres, is necessary to ensure that the siting of the first building on the South Valley site is in accordance with a long term plan.

- The siting of the buildings should take advantage of the view toward the river which can be enhanced by the removal of small shrubs along the river's edge to bring it back to a condition reminiscent of the 1960's.
- The site is such that a number of facilities on the existing University campus are within a five minute walk from the centre of the South Valley site.
- The relocation of Huron Drive closer to the river was rejected because there appeared to be no apparent advantages in doing so.
- A number of pedestrian access points can be developed for access to the various buildings.
- A number of options were reviewed, with the preferred option being a large building to be constructed on the existing football practice field (Building A on Appendix III) and up to four buildings located around the site in a horseshoe shape.
- The likely location of the first building is in the area of Building B or C shown on Appendix III
- The plan could include the construction of a pedestrian and bicycle bridge across the Thames River to the Baldwin Flats which eventually will be used for sports fields.

In response to a question about the timing of construction of Building A, Mr. Riddell stated that Building A will be constructed some time in the future; there are no immediate plans for that building.

The President reiterated that the development of a mini site plan for the South Valley, which consists of approximately 10 acres, was necessary to ensure that the siting of the first building on the South Valley site is in accordance with a long term plan.

Questioned about the location of Building A relative to the flood plain, Mr. Riddell stated that the flood plain defines the line of flooding that could occur during the worst storm over a 100 year period. Building A will be about eighteen inches above the flood plain and will likely not have a basement. He explained that the flood plain changed over the years because top dressing had been applied to the sports field. A survey of the area confirmed the current location of the flood plain and shows that there is a difference in elevation between the football practice field and the south end of the same field. The Upper Thames River Valley Conservation Authority established the flood line elevation as shown in the drawing presented at the meeting.

Mr. Weese voiced concern that Campus Recreation continues to lose its practice fields and green space. Mr. Riddell advised Senate that Western recently purchased 8 acres of land in front of Brescia University College; two sports fields will be constructed on that site this summer. In the short term, there is also an opportunity to build a sports field in the courtyard of the South Valley site, once the J.W. Little Stadium is demolished. Sports fields could also be constructed on the Baldwin Flats.

Asked about traffic on Huron Drive, Mr. Riddell stated that part of the planning and the expectation is that as the number of buildings increase traffic will be monitored and decisions will be made based on the results. The possibility exists that Huron Drive could be closed to through traffic; the City must be convinced that the east-west corridor around the University must be addressed.

A limited amount of parking will be provided for visitors and drop-off at each building in the South Valley site. Western will increase its parking capacity this summer with the construction of 650 parking spots at Althouse College.

## FOR INFORMATION

### 1. Candidates for Degrees: Autumn Convocation 2002

On behalf of the Senate (S.96-124), the Provost approves the list of candidates for degrees and diplomas to be awarded at Autumn Convocation 2002, as recommended by the Registrar. The list of candidates is appended of the Official Minutes of the October Senate meeting.

THE UNIVERSITY OF WESTERN ONTARIO  
London Canada



**FACULTY APPOINTMENT AND PROMOTION PROCEDURES:  
SCIENTISTS EMPLOYED BY INSTITUTIONS  
AFFILIATED WITH THE UNIVERSITY OF WESTERN ONTARIO  
(Faculty of Medicine & Dentistry)**

Approved by the Faculty: September 18, 2002

Approved by Senate:

Approved by the Board of Governors:

## FACULTY APPOINTMENT AND PROMOTION PROCEDURES:

### SCIENTISTS EMPLOYED BY INSTITUTIONS

#### AFFILIATED WITH THE UNIVERSITY OF WESTERN ONTARIO

(Faculty of Medicine & Dentistry)

#### PREAMBLE

These *Faculty Appointment and Promotion Procedures: Scientists Employed by Institutions Affiliated with The University of Western Ontario* (hereinafter *Appointment and Promotion Procedures*) set forth the academic ranks, terms and procedures for appointment, reappointment, promotion, granting and renewal of Sequential-Term Appointments, and termination affecting Scientists in clinical and basic departments in the Faculty of Medicine & Dentistry.

The University of Western Ontario recognizes that a faculty member is free to criticize the University and to take controversial stands on public issues. The faculty member, however, should not purport to speak for or on behalf of the University, unless specifically authorized to do so, nor will he or she use his or her appointment or rank at the University in the furtherance of any position taken by such an appointee. Such freedom does not confer legal immunity or legal defense in respect of positions taken.

Faculty members appointed under these *Appointment and Promotion Procedures* are required to comply with the policies, rules and regulations of the University and to declare any real or potential conflict of interest.

Any intellectual property arrangements be covered by any tripartite agreement or in the absence thereof, the provisions of the Collective Agreement.

The policies and procedures below shall apply to those individuals defined herein as Scientists who:

- x. are full-time employees of an institution or similar organization affiliated with the University and who normally hold an earned doctorate or equivalent qualification;
- xi. are not full-time employees of the University;
- xii. are paid directly by the affiliated institution;
- xiii. ordinarily receive no remuneration from The University of Western Ontario although in exceptional cases may receive a small stipend;
- xiv. may hold a cross-appointment in the Faculty of Medicine & Dentistry or a casual appointment elsewhere within The University of Western Ontario; and
- xv. are not eligible for Membership in the Bargaining Unit of The University of Western Ontario

The appointment to the University under these *Appointment and Promotion Procedures* shall be in accordance with the terms of any tripartite agreements or any other duly-approved successor affiliation agreement in existence between a hospital, an institute, a regional centre, or any similar affiliated organization and the University.

#### Definitions

- (1) The "University" means The University of Western Ontario as established in the *University of Western Ontario Act* ("the Act").
- (2) The terms "academic staff," "Faculty," "Provost," "Dean," "Department," and related terms shall be interpreted in accordance with the Act and policies approved by the Senate and the Board of Governors.
- (3) "Institutions" includes any Hospital or similar organization (e.g., Robarts Research Institute, London Regional Cancer Centre Research Laboratories, London Health Sciences Centre Research Inc., Lawson Research Institute) that is affiliated with The University of Western Ontario where the affiliation has been duly approved by the Board of Governors.
- (4) "Scientist" means any full-time employee of the affiliated institution with an earned doctorate or equivalent qualification appointed pursuant to these *Appointment and Promotion Procedures*.



- (5) "Appointment" means appointment, subject to the approval of the University, to a basic or clinical department of the Faculty of Medicine & Dentistry at The University of Western Ontario and ordinarily does not entail any remuneration from the University.
- (6) "Reappointment" means the renewal of an Affiliated Limited-Duties, Affiliated Limited-Term or Sequential-Term Appointment in accordance with the provisions set out below. A reappointment in accordance with these *Appointment and Promotion Procedures* does not ordinarily entail any remuneration from the University.
- (7) "Promotion" means a change in rank from Assistant Professor to Associate Professor or a change in rank from Associate Professor to Professor. Promotion from Assistant Professor to Associate Professor may not occur without the granting of a Sequential-Term Appointment.
- (8) An "Affiliated Limited-Duties" Appointment involves a minimal contribution to the University and is for a specified period, not to exceed five years, and is renewable. Tenure does not apply to such appointments. An Affiliated Limited-Duties Appointment may not extend past the effective date of retirement.
- (9) An "Affiliated Limited-Term" Appointment is for a specified period, not to exceed three years, and is renewable. Reappointment is neither promised nor guaranteed. Tenure does not apply to such appointments. An Affiliated Limited-Term Appointment may not extend past the effective date of retirement. It is expected, although not required, that an Affiliated Limited-Term appointment would lead to a Sequential-Term Appointment within seven to ten years of the initial Affiliated Limited-Term appointment.
- (10) A "Sequential-Term" Appointment is for a specified period, not to exceed five years, and is renewable. Tenure does not apply to such appointments. A Sequential-Term Appointment may not extend past the effective date of retirement.
- (11) A "Cross" Appointment is an appointment made to another academic unit pursuant to the policies and procedures established by the University.
- (12) A "Casual" Appointment is an appointment made to an academic unit pursuant to the policies and procedures as outlined in the *Procedures for Casual Academic Appointments of Faculty at The University of Western Ontario*.
- (13) "Letter of Appointment or Reappointment" means the letter to the prospective appointee signed by the Dean of the Faculty. This document specifies the academic contract type (Affiliated Limited-Duties, Affiliated Limited-Term, Sequential-Term), the starting and end date of the appointment, the academic rank, the academic responsibilities of the appointee, and the provisions for an annual performance evaluation to be conducted by December 1 of each academic year for those appointed on an academic-year basis or by July 1 of each calendar year for those appointed on a calendar-year basis.
- (14) "Rank" means the academic rank of Lecturer, Adjunct Professor, Assistant Professor, Associate Professor, or Professor and is subject to the approval of the University.
- (15) "Conditions of Appointment: Physicians" means the *Conditions of Appointment: Physicians Appointed in Clinical Departments and Clinical Divisions of Basic Science Departments (1999)* as amended from time to time.
- (16) "Bargaining Unit" means all persons employed as members of the academic staff at The University of Western Ontario and represented by The University of Western Ontario Faculty Association, as defined by the Certificate of the Ontario Labour Relations Board, 4482-97-R dated May 26, 1998 as amended from time to time.
- (17) "Collective Agreement" means the legal document covering terms and conditions of employment between the University of Western Ontario Faculty Association and The University of Western Ontario, as ratified by the Board of Governors on June 28, 2000 and as amended from time to time.

## A - APPOINTMENTS

### Appointments and Reappointments

- (1) Appointments and reappointments shall have a contract type of:
  - Affiliated Limited-Duties (i.e., up to five years in duration)
  - Affiliated Limited-Term (i.e., up to three years in duration)
  - Sequential-Term (i.e., up to five years in duration)
- (2) Academic ranks shall be:
  - Lecturer
  - Adjunct Professor
  - Assistant Professor
  - Associate Professor
  - Professor
- (3) Affiliated Limited-Duties Appointments shall be made at the rank of Adjunct Professor.
- (4) Affiliated Limited-Term Appointments shall be made at the rank of Lecturer or Assistant Professor
- (5) Sequential-Term Appointments shall be made at the rank of Associate Professor or Professor in accordance with the appointments procedures below.
- (6) An Affiliated Limited-Duties, Affiliated Limited-Term or Sequential-Term Appointment may be renewed at the discretion of the University but in no case will a renewal be considered unless the Scientist continues his or her full-time appointment at the affiliated institution and has satisfactorily performed his or her academic responsibilities at the University.
- (7) Failure to reappoint to any position does not constitute dismissal. Reappointment is neither promised nor guaranteed.
- (8) An Affiliated Limited-Term reappointment may include a change of rank from Lecturer to Assistant Professor.
- (9) All appointments and reappointments are conditional upon the continuance of full-time employment at the affiliated institution and satisfactory performance at the University [see Section D, Resignation and Early Termination].
- (10) The appropriate rank for an Affiliated Limited-Term or Sequential-Term Appointment shall be determined at the time of initial appointment and shall take into account the appointee's qualifications, experience, and achievements.
- (11) An Affiliated Limited-Duties, Affiliated Limited-Term or a Sequential-Term Appointment at any academic rank under the provisions of these *Appointment and Promotion Procedures* does not carry tenure.

### Appointment Procedures

- (1) **Basic Departments:** In the case of each Affiliated Limited-Duties and Affiliated Limited-Term Appointment or Reappointment and each initial appointment with Sequential-Term status made under these *Appointment and Promotion Procedures*, the Appointments Committees in basic departments, as structured under the Collective Agreement, shall recommend the appointment to the Dean. The structure of the Appointments Committee may be amended in these cases only to include one additional faculty member within the Department or Faculty holding an appointment under these *Appointment and Promotion Procedures*. In the case of an initial appointment with Sequential-Term status, the Dean shall place the curriculum vitae of the recommended candidate, together with any other supporting documentation, before the appropriate Committee on Promotion and Tenure. Recommendations shall be forwarded to the Provost in accordance with the procedures for

recommending appointments under the Collective Agreement. No other part of the Collective Agreement shall apply unless specifically set out herein.

- (2) Clinical Departments: In the case of each Affiliated Limited-Duties and Affiliated Limited-Term Appointment or Reappointment and each initial appointment with Sequential-Term status made under these *Appointment and Promotion Procedures*, the Appointments and Promotion Committees in clinical departments, as structured in *Conditions of Appointment: Physicians*, shall recommend the appointment to the Dean. In the case of an initial appointment with Sequential-Term status, the granting of the Sequential-Term Appointment will be considered by the Faculty Appointments and Promotions Committee as constituted under the *Conditions of Appointment: Physicians*. Recommendations shall be forwarded to the Provost in accordance with the procedures for recommending appointments under the *Conditions of Appointment: Physicians*. Each appointee to a clinical department will hold a cross appointment to a basic department within the Faculty of Medicine & Dentistry which will carry the responsibility for administering the process for promotion and/or granting of subsequent Sequential-Term Appointments as described below.
- (3) All Scientists shall receive a Letter of Appointment or Reappointment signed by the Dean [see Definitions 13].

#### B - PROMOTION AND/OR GRANTING OR RENEWAL OF SEQUENTIAL-TERM APPOINTMENT

- (10) Scientists with Affiliated Limited-Term Appointments at the rank of Assistant Professor are eligible for promotion to Associate Professor with Sequential-Term status.
- (11) Scientists with Sequential-Term Appointments at the rank of Associate Professor are eligible for promotion to Professor and the renewal of Sequential-Term status.
- (12) The procedures and criteria for promotion and/or granting or renewal of Sequential-Term Appointments shall be in accordance with the procedures and criteria for promotion and granting of tenure as specified in *the Promotion and Tenure* Article of the Collective Agreement, except that
  - a) probation and tenure shall not apply;
  - b) the structure of the Department Promotion and Tenure Committee may be amended in these cases only to include one additional faculty member within the department holding an appointment under these *Appointment and Promotion Procedures*; and elected by the Department and, if applicable, one additional faculty member from the clinical department, selected by the Clinical Department; this committee will thereafter be called the Department Scientist Promotion Committee;
  - c) the performance to be assessed will be in the areas of academic responsibilities as outlined in the Letter of Appointment or Reappointment which will be included in the file; and
  - d) any grievances arising therefrom will be administered as outlined in Section C below.

No other part of the Collective Agreement shall apply unless specifically set out herein.

- (4) Promotion and the granting or renewal of Sequential-Term Appointments shall be considered by the Department Scientist Promotion Committee.
- (5) The Department Scientist Promotion Committee and Dean shall each forward a recommendation to the Provost.
- (6) The Provost shall either approve or deny the recommendation of the Department Scientist Promotion Committee and the separate recommendation from the Dean, and shall so notify the faculty member, the Dean and Chair of the Department.
- (7) The Provost's decision may be grieved in accordance with the procedures in Section C below..

## C - GRIEVANCES

### Grievances of Provost's Negative Decision Regarding Promotion and/or Granting or Renewal of Sequential-Term Appointment

- (1) A Researcher may grieve a negative decision of the Provost to an Ad Hoc Grievance Committee within four weeks of the date of notification of the negative decision.
- (2) Grievances shall be submitted to the Director of Faculty Relations stating clearly, in writing, the grounds for such a grievance. Such grounds are restricted to procedural defects and/or the unreasonableness of the decision.
- (3) The structure of the Ad Hoc Grievance Committee will be as follows:
  - i) One tenured faculty member of the University, selected by the Appellant and agreed to by the Dean.
  - ii) One tenured faculty member of the University, selected by the Dean and agreed to by the Appellant
  - iii) One tenured faculty member of the University, selected by the Provost.

By mutual agreement of all parties, no more than one tenured member may be substituted by a non-tenured faculty member of the University.

- (4) The powers of the Ad Hoc Grievance Committee will be limited and are set out as follows:
  - i) The Ad Hoc Grievance Committee may not alter or amend this document;
  - ii) The Ad Hoc Grievance Committee shall confine its deliberations to the strict wording and claim outlined in the grievance;
  - iii) The Ad Hoc Grievance Committee shall have the power to send a grievance back to the Provost with a recommendation for reconsideration;
  - iv) The Ad Hoc Grievance Committee may overturn any decision the Committee determines to be unreasonable.
- (5) The Ad Hoc Grievance Committee shall notify all parties of its decision, which shall be final, in writing and with reasons within one week of its final meeting on that case.

## D - RESIGNATION AND EARLY TERMINATION

### Resignation

A Scientist may terminate his or her appointment at the end of any academic year (i.e., June 30) during the term of the appointment provided that he or she has given three (3) months notice, in writing, to the University and the affiliated institution. Resignation at any other time may be permitted only with the prior approval of the University, in extraordinary circumstances.

### Early Termination by University Prior to End of Appointment

Continuance of any University appointment made in accordance with the provisions of this document is predicated always upon continuance of employment at the affiliated institution and satisfactory performance at the University. Should employment at the affiliated institution cease, the University appointment will terminate automatically at the same time and the University will have no further obligations to the Scientist. If it is determined through the annual performance review that the Scientist's performance at the University has fallen below a satisfactory level, the appointment will cease at the end of the academic year, i.e., June 30, for those appointed on an academic-year basis, or for those appointed on a calendar-year basis, the end of the calendar year, i.e., December 31. The termination of the University appointment under these circumstances does not constitute dismissal.

## E - TERMINATION

On the recommendation of the President, the Board of Governors may terminate the appointment of a Scientist during the period of the appointment should the standard of conduct fall below the minimum acceptable standard expected of scientists at this University.

**REPORT OF THE SENATE COMMITTEE ON ACADEMIC POLICY AND AWARDS**

**(SCAPA)**

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**Faculty of Arts: Minor in Greek and Roman Archaeology**

**Letters of Permission Policy**

**Brescia University College: Certificate in Community Development**

**Report on New Scholarships and Prizes**

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**FOR APPROVAL**

1. **Faculty of Arts: Minor in Greek and Roman Archaeology**

**Recommended:** That a Minor in Greek and Roman Archaeology be introduced in the Faculty of Arts, effective September 1, 2003.

**NEW CALENDAR COPY**

Insert the following in the 2002 Academic Calendar on pg. 44 at the end of Classical Studies programs section:

**Minor in Greek and Roman Archaeology**

Classical Studies 047 is recommended but not required for this program. With permission of the Department, students may have the CS047 requirement waived in those senior level courses for which it is normally a prerequisite.

**Program**

Students are required to take at least four (4.0) full-course equivalents from the following:  
CS249F/G, CS250E, CS251E, CS450F/G, CS451F/G (Greek and Roman archaeology)  
VAH247E, VAH249E, VAH349F/G, VAH445F/G (Greek and Roman art)

Appropriate course substitutions may be made with the permission of Department.

Note: with the permission of departments or programs concerned, students may count up to one (1.0) appropriate full-course equivalent towards this Minor and another program.

**Background:**

This program will meet demonstrated student demand in this area of Classical Studies and provide recognition to those students who wish to pursue a concentration in the field of Mediterranean archaeology.

2. **Letters of Permission Policy**

**Recommended:** That effective September 1, 2002, the policy on Letters of Permission be revised as highlighted below to reflect the changes brought about by the withdrawal of the Grade Point System and the implementation of the new Progression Requirements.

**Letters of Permission: Transfer of Credit to Western** (S.1302, S.1694c, S.02-10)

A Letter of Permission is a document that enables a Western undergraduate to enroll in one or more specific courses at another university without having to apply for formal admission to the other institution. Upon completion, the courses are transferred to the student's record at Western.

Students apply to the Dean of their Faculty for a Letter of Permission to take courses at another university.\* Approval shall be at the discretion of the dean, who shall base his or her decision on the applicant's overall academic record, the appropriateness of the particular course to the applicant's program at The University of Western Ontario, and on any other factors he or she may deem relevant. For substitution of required, principal or prerequisite courses, the Dean will also obtain departmental approval. Following authorization, the Registrar's Office will issue to the university concerned a Letter of Permission that is contingent upon successful completion of progression requirements.

\* A non-refundable fee of \$50.00 is charged for Letters of Permission.

Students granted permission to take the final course(s) of their program during a Fall/Winter Term may not graduate until the next Autumn Convocation, unless marks, in the form of an official transcript, are received by the Registrar's Office by May 15. Students who receive permission to take the final course(s) of their program during a Spring/Summer Term, must submit an official transcript to the Registrar's Office by October 1; otherwise, their graduation may be postponed until the next Spring Convocation.

Non-graduating students must ensure that the Registrar's Office receives, no later than November 1, an official transcript for any course attempted on a Letter of Permission in the previous Fall/Winter and Spring/Summer Terms. Courses for which no transcript is submitted shall be awarded a failing grade ~~and an unsatisfactory attempt shall be recorded.~~

Courses taken at another university on a Letter of Permission during a Spring/Summer Term are included within the maximum permissible academic load for the period, May to August.

Not more than five courses may be taken at another university on a Letter of Permission to fulfil graduation requirements for any bachelor's degree program at Western.

It is the student's responsibility to ensure that an official transcript for any courses attempted on a Letter of Permission is submitted to Academic Records, Office of the Registrar, Room 190, Stevenson-Lawson Building, The University of Western Ontario, London, Ontario N6A 5B8.

~~For Letter of Permission courses, grades will be counted within UWO progression requirements. Grades, including failures, will be recorded as numeric values, and will be converted, as appropriate, according to the current OMSAS (Ontario Medical Schools Application Service) conversion table or other normal conversion practices used by the UWO Admissions Office. Conversions other than those according to OMSAS may involve consultation with the Faculty.~~

For Letter of Permission courses, grades will be included in average calculations for progression and graduation in the same manner as Western courses. In order to accomplish this, grades presented on the LOP transcript as non-percentage or under a different grading scale than UWO, will follow the normal conversion practices used by the UWO Admissions Office. When this occurs, failing grades presented as non-percentage will be converted to "F" on the UWO record, and it will be included in averages as 40%.

FOR INFORMATION

1. **Brescia University College: Certificate in Community Development**

Approval was given by DAP (Feb. 2002) for the admission requirements and calendar copy of the Certificate in Community Development, offered through the Department of Sociology at Brescia University College, to be revised to read as follows, effective for September 1, 2002.

REVISED CALENDAR COPY  
(p. 312 of the academic calendar)

**CERTIFICATE IN COMMUNITY DEVELOPMENT**

The Certificate in Community Development is offered through the Department of Sociology of Brescia University College. Students may pursue the Certificate concurrently with their degree program. All Community Development courses may count towards the student's undergraduate program. This program is comprised of required courses, (including a practicum course), equivalent to three full courses, and two optional courses to be selected from an approved interdisciplinary list.

**Admission Requirements**

Limited enrolment based on completion of at least 2 years toward a BA in Sociology or a related social science, with a minimum overall average of 70% in the year previous to the one in which the Certificate Program is taken.

**Progression Requirements**

Students must obtain an average of 70% in the required courses, with no course under 60%.

**Required Courses:**

Sociology 330F/G: Community Development: Foundations

Sociology 331F/G: Community Development: Practice

Sociology 332: Community Analysis: Research and Evaluation

Sociology 333F/G: Interpreting Law and Social Policy to Build Communities

Sociology 334a/b: Community Practicum

**Background:**

The Certificate program, approved by Senate in December 2000, was originally proposed as a 4<sup>th</sup> Year alternative to the program in Honors Sociology and admission was based on completion of 3 years towards a BA in Sociology. In its revised form, the program may be taken after completion of at least 2 years toward a BA in Sociology or a related social science, and may be taken concurrently with the Bachelor's degree. All Community Development courses may count towards the student's undergraduate program.

2. **Report on New Scholarships and Prizes**

SCAPA has approved on behalf of the Senate the following Terms of Reference for new scholarships, awards, medals and fellowships for recommendation to the Board of Governors through the Vice-Chancellor:

Edward C. Elwood Q.C. Prizes in Wills and Trusts (2) (Faculty of Law)

Awarded annually to students in the Faculty of Law who have achieved the highest combined overall standing in the Wills and Trusts courses. The Faculty of Law Scholarship Review Committee will select the recipients. These prizes were established by family, partners and colleagues in memory of Edward C. Elwood Q.C. through Foundation Western.

Value: First prize is \$750; second prize is \$450.  
Effective Date: May 2002

Margaret (MacKinnon) Benson Scholarship in Health Sciences (Faculty of Health Sciences)

Awarded to a full-time student in his/her second year of the Bachelor of Health Sciences program based on overall academic achievement (minimum 80% academic average) in his/her first year of the program. Preference will be given to a student from the Maritimes. This award was established by Dr. Joyce MacKinnon in honour of her mother, Margaret (MacKinnon) Benson's 90<sup>th</sup> birthday.

Value: \$500  
Effective Date: May 2002-May 2004

MBA '76 Award (Faculty of Graduate Studies, Business Administration)

Awarded to a full-time student entering the MBA program at the Richard Ivey School of Business based on academic achievement (minimum 78% average), work experience and financial need. The award may continue in the second year of the program based on the maintenance of a minimum 78% average with a full course load. If a student does not qualify to continue to receive the award, another student from the same year will be selected. Candidates will be invited to submit their applications upon admittance to the MBA Program at the Richard Ivey School of Business. Final selection of the recipients will be made by the MBA Scholarship Review Committee. This award was established by generous donations from the MBA Class of 1976.

Value: \$3,800 continuing for 2 years  
Effective 2002-2003 to 2006-2007

MBA '75 Award (Faculty of Graduate Studies, Business Administration)

Awarded to full-time students in the MBA Program at the Richard Ivey School of Business based on academic achievement (minimum 78% academic average) and financial need. The award may continue in the second year of the program based on the maintenance of a minimum 78% average with a full course load. If a student does not qualify to continue to receive the award, it will be awarded to a student in the same year as the current recipient. Candidates will be invited to submit their applications upon admittance into the MBA Program at the Richard Ivey School of Business. Final selection of the recipients will be selected by the MBA Scholarship Review Committee. This award was established by generous donations from the MBA Class of 1975.

Value: \$8,400 paid over 2 terms and continuing for 2 years  
Effective May 2002



**REPORT OF THE SENATE COMMITTEE ON UNIVERSITY PLANNING**

**(SCUP)**

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**Renaming of the JR Shaw Professorship**

**2003-04 Planning Guidelines**

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FOR APPROVAL

**Renaming of the JR Shaw Professorship**

**Recommended:** That Senate approve and recommend to the Board of Governors, through the Vice-Chancellor, a change to the name of the JR Shaw Professorship:

From: JR Shaw Professorship in Family-Owned Businesses

To: JR Shaw Professorship in **Entrepreneurship and** Family Owned Businesses

**Background:**

The Professorship was established in the Richard Ivey School of Business in the spring of 2002. The donors and the School now request that the name be changed to include reference to entrepreneurship. The terms of reference reflecting the proposed name change appear in **Appendix 1**.

FOR INFORMATION

**2003-2004 Planning Guidelines**

See **Appendices 2A and 2B**.

**JR Shaw Professorship in Entrepreneurship and Family-Owned Businesses**

**Donor and Funding:** Funding for the JR Shaw Professorship will be provided by a generous donation of \$1,000,000 over a period of five years from Shaw and Corus to the Richard Ivey School of Business at The University of Western Ontario. The donation is to be expended over the five-year term.

Funding will be used to provide salary support for the appointee and to support the expenses of research and case writing.

Under University policy, an amount equal to 5% of the total cash gift will be applied to support fundraising, donor management and stewardship costs. The amount available for spending each year will amount to a maximum of \$190,000 per year (\$200,000 less 5% levy).

**Effective Date:** April 1, 2002

**Appointment:** An appointment to the Professorship will be conducted in accordance with the selection process outlined below and in accordance with the appropriate University policies and procedures on advertising and appointments.

The holder of the Professorship will be selected by a committee led by the Dean of the Richard Ivey School of Business or the Dean's designate and two other members of faculty to be determined by the Dean or designate. At the time of appointment, the appointee will be a member of the faculty of the Richard Ivey School of Business at The University of Western Ontario.

The appointee must have a demonstrated interest in managing family owned enterprise. The appointment would be for a three-year term (renewable), and could be assigned to faculty in any functional area such as general management, marketing, organizational behaviour and finance.

**Criteria:** The holder of the Professorship will also be designated as the Director of the JR Shaw Program in **Entrepreneurship and** Family-Owned Businesses within Ivey's Institute for Entrepreneurship, Innovation and Growth.

The appointee will be responsible for creating a strategic vision and implementation plan for the Program by developing strategic relationships with other organizations dedicated to research and teaching programs on family enterprise, lead the research and case writing initiatives and develop teaching programs for delivery at Ivey and in cooperation with other organizations.

**Reporting:** The Dean and the Professor shall provide a written report on the progress and advancement of the Professor's work each year. The name of the JR Shaw Professor in **Entrepreneurship and** Family-Owned Businesses will be mentioned in all publications or public activities relating to the Professor's work.

*The University of Western Ontario*  
*London* *Canada*

**PLANNING FOR 2003-2007:  
SETTING AND PURSUING ACADEMIC PRIORITIES  
IN A 4-YEAR WINDOW**

Greg Moran, Provost & Vice-President (Academic)  
Peter Mercer, Vice-President (Administration) and General Counsel  
Ruban Chelladurai, Associate Vice-President (Institutional Planning & Budgeting)  
Alan Weedon, Vice-Provost (Policy, Planning and Faculty)

September 10, 2002

Differential resource allocation in support of academic priorities has been the cornerstone of Western's approach to academic planning in recent years. *Leadership in Learning*, Western's Strategic Plan, provided both impetus and direction for the many changes that have occurred since its endorsement by our Senate and Board in 1995, including: the creation of new Faculties, Departments, and Schools; the introduction of new undergraduate and graduate programs; a dramatic increase in the level of qualifications of our entering students; and remarkable increases in scholarly activity, especially as reflected in research funding in the medical sciences, natural sciences, and engineering.

*Making Choices*, last year's renewal of the University's Strategic Plan, called for a reinforcement of this commitment to selective resource allocation. The Plan set a number of broad strategic commitments and looked to the University planning process at all levels to identify the specific priorities and the planning actions required to achieve those commitments. Rather than presuming to set particular academic priorities, *Making Choices* assigned to each academic and non-academic unit the responsibility of developing the specific plans necessary to realize these objectives.

In order to facilitate the implementation of this model, the fall of 2002 will see a critical turning point in Western's academic and budgetary planning processes, a change of direction aimed at enabling our academic and support units

to optimize the link between resource allocation decisions and the support of priorities in education and scholarship. The cornerstones of the new process will be: a) the University's Strategic Plan, with its vision and commitments setting the broad context; b) explicit Academic Plans in all Faculties, Department and Schools, and Operational Plans in our support units, identifying areas strengths and opportunity; and, c) resource allocation mechanisms, both in the units themselves and at the level of the University, that are clearly linked to the support of those priorities. For the first time, Western will introduce a 4-year planning window to provide the predictability and flexibility necessary for a process that integrates academic and budgetary planning.

The central challenge for all of us in the coming planning cycle will be twofold: first, to revisit and, as necessary, renew the initial version of Faculty Academic Plans and the Operational Plans of Support Units<sup>1</sup> in 2001; and, second, to manage successfully the additional burden of preparing a planning submission that covers four years. Recognizing that all units will want to address these tasks at the earliest possible date, this document, providing an overview of the 4-year planning process, has been prepared in advance of detailed Planning Guidelines that are to be released to each unit in late September.

## **A. Why a 4-Year Plan? Why now?**

As indicated in the preceding section, at the core of the rationale for moving to multi-year planning is the greater flexibility provided by a 4-year window and the increased opportunity for strategic resource allocation. It has been difficult to introduce multi-year planning prior to this time because of the substantial uncertainty associated with major changes to the provincial funding of universities and, more recently, the prospect of the double cohort and increased demand for university places in Ontario. Although important budgetary and policy variables remain in flux, several developments have established an environment in which longer term planning is now feasible; those developments include: multi-year

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<sup>1</sup> The terms "Academic Plan" and "Operational Plan" are used to denote the unit-specific plans of Faculties and Non-Academic Support Units, respectively. Most units developed such plans for the first time in 2001. The plans identify the areas of strength and priority for the unit: in the case of Faculties in the academic domains of teaching and research; and, for Support Units in terms of those key activities supporting the University's academic mission. The plans also should include a clear specification of those activities that will receive differential resource support and of the associated budgetary allocation plans or mechanisms within the unit. The content and function of Academic Plans are discussed at greater length in a parallel document distributed coincidentally with this one.

announcements of tuition constraints; a long range University enrolment plan and associated government funding commitment; a 10-year announcement associated with the Canada Research Chairs program; major federal support for research infrastructure programs requiring multi-year responses; and a commitment by the federal government to the funding of indirect costs of research. Internally, the opportunity and challenge of faculty renewal associated with almost 100 retirements over the next four years makes multi-year planning an imperative for the University.

## B. The Resources Available to Each Unit

Each Faculty and Non-Academic Support Unit will receive a detailed set of revenue projections for the 2003-07 period. As in past years, each unit's budget allocation will reflect diverse factors that will have a unique net impact on each unit.

Each unit's **initial base budget** projections will be determined by the following factors:

- Projected increases in University-level revenue, including enrolment-based provincial funding associated with enrolment growth in the double/increased cohort period, tuition revenue, funding for the Canada Research Chair program, and anticipated federal funding of the indirect costs of research. University revenue estimates must also take into account projected fluctuations in unallocated investment revenue associated with recent turbulence in the financial markets.
- Funds made available to each unit based on projected retirements after the applications of the University's Turnover Savings Policy.
- An adjustment to unit base budget allocations necessary to provide for University-level cost increases, including those associated with: the inflation of utilities and other non-salary expenses; the maintenance of new buildings; employees salary and benefits; deferred maintenance; the education and support of increased undergraduate and graduate enrolment; and, new scholarly and research initiatives.

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Each Faculty's total projected revenue also will include **estimates of additional revenue** available for planning from the following programs and sources:

- Differential funding allocations based on each Faculty's projected increases in undergraduate and graduate teaching responsibilities from the Enrolment Contingent and Increased Cohort Funds.
- Projected allocations of Canada Research Chairs over the 4-year planning period.
- Revenues from other sources, including that associated with agreements for the differential allocation of tuition increases in high-tuition programs (existing agreements include those in Ivey, Medicine & Dentistry, Law, and Engineering), government-mandated program expansion (e.g. Medicine, Engineering and Computer Science, Nursing, and Education); and various other revenue-generating programs (e.g. executive education programs at Ivey, Advanced Qualification programs in Education, international education programs in Medicine and Dentistry).

*Note: These programs are selective in their impact on the budgets of the various units and the final revenue available to each Faculty will depend on how each applies to that unit, e.g. some Faculties will receive a large share of anticipated new enrolments and, therefore, an equally large share of Enrolment Contingent Funding, others will not; some Faculties will be required to accommodate the demands of government-mandated program expansion and will receive associated funding that will not be available to others, etc. Moreover, the Guidelines will invite Deans to develop plans that justify increased revenue projections over the period, e.g. through strategic graduate enrolment expansion resulting in larger Enrolment Contingent Funding allocations, through revenue agreements related to justifiable tuition increases, or through compelling plans to expand revenue-generating professional education programs.*

- Although the Unit Planning Guidelines will not include specific revenue projections, each Faculty and Support Unit will be invited to propose funding from the **University Priorities Investment Fund**, a funding program introduced in the 2002-03 budget cycle to selectively support University priorities. In the case of the Faculties, the program will emphasize recognition and support of accomplishment and priorities in research and scholarship in a manner parallel to existing selective allocation mechanisms in support of teaching.

## C. The Unit Planning Submission

**The University's Strategic Plan, *Making Choices*.** The University's Strategic Plan provides an essential backdrop for unit planning submissions and their evaluation: Academic and Operational Plans must reflect and support the commitments of *Making Choices*. Unit plans and requests for central funding support will be evaluated on their support of academic priorities and the extent to which they reinforce the University Strategic Plan.

Each Unit Planning Submission will include the following major components:

1. **Summary of the Academic/Operational Plan.** Each Faculty and Support Unit will be required to submit a summary of their Academic/Operational Plan as part of their 4-year planning submission. Although not submitted centrally, meaningful Faculty-level plans will require integrated Academic Plans to be prepared in Departments and Schools. A full description of expectations for the content of Academic Plans and for their role in unit level planning and in University-level allocation recommendations is included in the document "*Academic Plans and Multi-Year Planning, 2003-2007*", distributed with this document.
2. **Resource Allocation Plans Within the Faculty/Support Unit.** Each Unit's planning submission must include detailed proposed expenditure plans and an accompanying rationale for the 4-year period. This plan will include:
  - Enrolment plans (Faculties may choose to propose changes to existing graduate and undergraduate enrolment plans and associated increases in projected allocations from Enrolment Contingent and Increased Cohort Funding).
  - Tuition fee proposals and any associated requests for differential revenue allocation.
  - Other revenue-generation plans, including fund-raising initiatives clearly integrated with the Academic Plan.
  - A comprehensive staff and faculty complement plan.

Each of these elements and plans for faculty and staff renewal, in particular, should reflect efforts to reallocate projected resources in support of areas of strength and priority identified in the Unit's Academic and Operational Plans.

- 3. Proposals for Additional University-Level Resource Allocation.** Each unit will be invited to make proposals for selective allocations from central University programs including:

***One-time-only allocations*** in the following categories —

- Capital funding for space and facilities enhancement
- Funding from the Provost's Academic Support Fund

and, ***incremental base budget allocations*** from —

- The University Priorities Investment Fund for initiatives that support Academic/Operational and University Plans and are reinforced by within-unit allocations of resources, especially staff and faculty complement planning. This program is intended to support a diverse range of initiatives of the highest quality. For the Faculties, although open to a variety of proposals, the fund will provide a useful mechanism to support priorities in research and scholarship. Although certainly not a requirement, the Fund also is intended to respond to proposals that involve cooperative initiatives reinforcing areas of strengths across Faculties.

The 2001-02 University Budget document (approved by the Board in April, 2001), included a detailed description of the several factors that have influenced differential budgetary allocation processes in recent years at Western. That description reflected the fact that, although each is driven by the common objective of reinforcing areas of strength and priority in support of the University's mission, such decisions reflect the weighing of a variety of factors rather than a simple algorithm. This situation will not change in the new 4-year planning context. It can be said, however, that, in addition to an assessment of their quality, a key factor in evaluating the proposals made by units for central differential budgetary support will be their integration with the Academic or Operational plan and the extent to which the proposal for central funding is also supported by differential allocations within the Faculty or Support Unit. That is,



proposals from units unwilling to make difficult internal resource decisions in support of their priorities will not be well-received.

#### **D. Looking Forward to the Next 4 Years: New Resources and Increased Predictability**

Clearly the core result emerging from this revised planning process will be the approval of a specific 4-year plan of revenues and expenditures for each Faculty and Support Unit in the Spring of 2003. Although the situation will vary across units, it is possible to provide a broad picture of resources that will be available at the end of the 4-year planning period relative to the current fiscal year.

**For the University as a Whole.** As already indicated, the Planning Guidelines are being developed on assumptions regarding provincial enrolment-based grant funding, tuition revenue, unallocated investment income, federal funding of the indirect costs of research, and Canada Research Chairs. Parallel estimates of necessary provisions for increases in University-wide expenditures also have been incorporated into the fiscal model. Although uncertainties exist regarding each of these major revenue sources and expenditures, we are confident that the planning parameters to be provided to the Faculties and Support Units can be sustained. Only a major change in the revenue and expense environment is likely to disrupt the plan in a substantial manner.

The predictability provided by a 4-year window provides units with a welcome degree of stability that has been distinctly absent for many years. That is, barring a very major change in the revenue and expense environment, unanticipated in-year budget reductions or clawbacks will not be imposed; Faculties will be able to plan faculty appointments for the full 4-year period, rather than cobble together uncertain year-by-year plans; annual underspending can be applied to unit priorities with confidence, and so forth.

In addition to this important increased predictability, the 2003-2007 period promises modest and very welcome resource growth for the University. Given current assumptions:

- Actual University revenue is expected to grow from \$348 Million in 2002-03 to \$391 Million in 2006-7, representing growth of 12% over this period.
- Approximately 100 of the current members of faculty will reach normal retirement in the 4-year planning period. In contrast to reductions in faculty numbers that characterized the latter half of the last decade, the planning model for the next four years anticipates significant net growth in total full-time faculty complement for the University.
- The planning assumptions anticipate stable numbers of non-academic staff and, although it is difficult to predict the net impact of planning decisions across campus, growth is a real possibility.

*Note: Although this prospect is a welcome contrast to the worst years of the past decade, Western's funding level remains below that which would permit us to serve our students as they deserve and to pursue our research and scholarly mission to our full potential --- the case for increased public funding for Ontario's universities will continue to be made. The current 4-year planning model reflects the absence of a provision within the current provincial funding formula for increased expenses based on inflationary factors alone. Discussions aimed at providing annual unavoidable cost increases, i.e. those not related to expanded teaching or research activity, are on-going. Favourable adjustments to the Faculties' and Support Units' 4-year planning model will be made when such provisions for cost increases are provided in the University's grant.*

**The Impact on the Faculties and Support Units.** In addition to central funding of increases in indirect operating expenses (e.g. utilities, maintenance and deferred-maintenance), all negotiated increases to staff and faculty salary and benefits will continue to be funded centrally through direct transfers to each Faculty and Support Unit as they occur during the 4-year planning period. Moreover, substantial revenue will also be allocated to the Faculties and Support Units through a variety of selective mechanisms. It is estimated that, relative to current funding levels (2002-03), the following additional resources will be allocated to the Units during the 2003-07 planning period:

- Enrolment Contingent Fund: \$ 4.0 Million
- Increased Cohort Fund: \$ 0.5 Million

- Canada Research Chairs: \$ 7.0 Million
- University Priorities Investment Fund: \$ 6.0 Million
- Existing Tuition Sharing Agreements: \$ 0.5 Million
- Existing Government-mandated Educational Program Expansion: \$ 1.8 Million

**Setting Tuition Levels for More than a Single Year.** Understandably, students have increasingly requested consideration of multi-year tuition plans that would provide them with some greater predictability of the net personal costs of their education. The 4-year planning process provides the possibility of considering such multi-year tuition rate plans.

## **E. The Time-Line for the 2002-03 Planning Process**

### **September**

- Deans and Unit-Heads begin reviewing Academic/Operational Plans and considering tentative budget submissions
- Review of multi-year financial outlook, planning priorities and multi-year process with Board at annual retreat

### **Late September**

- Detailed Unit-specific Planning Guidelines released, including net budget to be modeled for each Faculty and Support Unit

### **October-November**

- Internal Faculty planning processes and construction of Submissions

### **November-December**

- Annual Planning Meetings

### **January-February**

- Development of planning recommendations by PVP group
- Additional consultation with individual Deans as necessary

### **February**

- Tentative Faculty recommendations released, including initial round of UPIF allocations

### **March-April**

- Preparation of final formal planning/budget document
- Discussion in Board/Senate Committees

### **April-May**

- Debate and approval of budget in Senate/Board processes

*The University of Western Ontario*  
*London* *Canada*

**ACADEMIC PLANS AND MULTI-YEAR PLANNING, 2003-2007**

Greg Moran, Provost & Vice-President (Academic)  
Peter Mercer, Vice-President (Administration) and General Counsel  
Ruban Chelladurai, Associate Vice-President (Institutional Planning & Budgeting)  
Alan Weedon Vice-Provost (Policy, Planning & Faculty)

September 10, 2002

Western's 2001 Strategic Plan, *Making Choices: Western's Commitments as a Research-Intensive University*, extends the direction provided by the 1995 Strategic Plan, *Leadership in Learning*, by describing the steps Western must take to realize its Mission and Vision, and to enhance its stature as a leading Canadian research-intensive university.

The Western Mission:

The University of Western Ontario is dedicated to the advancement of learning through teaching and research and to the discovery and application of knowledge. The University seeks to provide an environment of free and creative enquiry within which critical thinking, humane values, and practical skills are cultivated and sustained. By pursuing these objectives, the University endeavours to serve the interests of society.

The Western Vision:

By supporting academic distinction, Western will achieve a place in the first rank of major Canadian universities and, in selected areas, be the leader.

The 2001 Strategic Plan was created in a context where:

- contingent on funding, graduate and undergraduate enrolment is projected to increase in a planned way until 2004-2005
- significant faculty retirements are anticipated, numbering 117 between 2001-2002 and 2005-2006
- given faculty retirement rates and the anticipated national shortage of new PhDs, there will be extreme competition for recruitment of new faculty
- given Western's desire to maintain and enhance standards for undergraduate admissions, there will be extreme competition for the recruitment of the best students
- recent provincial and federal initiatives have increased opportunities for funding research and its infrastructure; this is likely to continue, given the federal government's Skills and Innovation agenda
- public funding of the universities is restricted and targeted. This continues to be the case, although recently we have seen increased enrolment-linked funding from the provincial government, and the federal government has provided partial funding of the indirect costs of research on a one-time but possibly continuing basis.

Two major precepts of the Strategic Plan, made clear in its title *Making Choices: Western's Commitments as a Research-Intensive University*, are that we must include both elements of the Mission - Teaching *and* Research - in our planning, and that in each Faculty we need to invest selectively in what is strong, and in what is demonstrably potentially strong. The strengths and potential strengths in research and in undergraduate, graduate and professional teaching have to be identified in a "thoughtful, balanced and realistic" manner. To quote at length from *Making Choices*:

"[The] University must continue its selectivity in planning in order to allocate resources to programs that are best able to enhance Western's quality,

distinctiveness, and reputation as a research-intensive university. Selective decisions that will consistently support particular scholarly directions over time require the reference point that can only be provided by formal academic plans that identify areas of real strength and priority within each unit. Such plans will help us maintain the important balance between responding to simple resource shortages and investing in maintaining and strengthening areas of excellence and strategic priority.

In a large, complex, decentralized university such as Western, Deans, Chairs and Directors of Schools are pivotally important in the process of consultation through which the ideas and goals of the Faculties are developed into the plans that will form the basis for resource allocation. It is crucial to the success of this process that Deans, Chairs and Directors consult extensively with faculty and staff members at the unit level, because only through such consultation can academic plans accurately reflect the faculty's objectives and secure their support, as well as that of staff within the units. A corresponding process must take place in the administrative and support units, including staff at all levels. The development of these plans should take into account the necessity for units across the University to be able to respond in a timely and creative manner to changes within established discipline areas, to emerging challenges and opportunities, and to unanticipated opportunities and eventualities.

The programs supported by the Canada Foundation for Innovation (CFI), the Canada Research Chairs (CRC), the Ontario Research and Development Challenge Fund (ORDCF), and the Ontario Innovation Trust (OIT) have been designed with the unambiguous goal of recognizing and fostering areas of national and international strength and excellence. The two federal programs require participating universities to develop a coherent Strategic Research Plan that presents arguments in support of identified research areas that are of strategic priority to the institution. Proposals for support from these programs are then judged in part by their compliance with the institution's Strategic Research Plan. Western has prepared interim institutional research plans in support of proposals that we have submitted to these programs, but these plans are tactically based and responsive to the particular requirements of the specific programs.

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The 2001-02 University Budget calls on the Provost and the Vice-President (Research) to require all Faculties, Departments, and Schools to develop Academic Plans. The Provost and Vice-President (Research) will use the Faculty plans as a basis for the development of an overall plan for the University. These Academic Plans will play an important role in future selective budgetary decisions. They will be a reference for future internal decisions, including faculty complement planning (replacement and additional positions), and central allocation decisions will reflect the plans' priorities. They will also shape future Canada Research Chair nominations and the University's response to other external funding opportunities. The Vice-Presidents have also asked the non-academic units to develop parallel Operational Plans. Assuming eventual success in addressing the University's inadequate resource situation, the Academic and Operational Plans will form the framework for investment of new base operating funds."

*Making Choices* also stresses the following:

- Trans-disciplinary and collaborative research, not just individual and disciplinary research, needs to be tangibly encouraged.
- Western must be a national leader in recruiting and retaining the best people.
- Federal and provincial research funding programs require Western to identify areas of institutional priority (especially the CRC and CFI programs). Western needs to develop a Research Plan that is forward looking rather than reactive to proposals being submitted.
- Beginning in the Fall of 2002, each dean must report on progress achieved in addressing the commitments made in the 2001 Strategic Plan.
- By 2005-2006 Western will need to hire 117 faculty to replace anticipated retirements occurring in 2001-2002 and thereafter, and, if provincial funding materializes, a further 229 faculty to cope with increased enrolments while reducing the student-faculty ratio to the provincial average. This hiring will take place in a competitive market; we cannot let this lower recruitment standards: we must not reduce our expectations of new faculty, or temper the rigors of the appointment, promotion and tenure processes. We need to be more successful in the recruitment and retention of women and other groups identified by the Employment Equity Act and the Federal Contractors Program. We need to enhance our spousal placement and assistance practices to aid the hiring of those with a spouse working outside the home. Hiring will occur



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preferentially in those areas of strength, or potential strength, identified in the Academic Plans of the University and the Faculties. To retain our faculty we need to be able to offer them competitive salary and benefits, and the opportunity for continuing development and reward.

*Making Choices* lists fourteen Commitments, each sub-divided into specific recommendations. Some of these are directed to specific support units (for example ITS, or Development), or to the central administration. However, many are relevant to the local decisions that must be made in planning and are directed to the Deans. These are listed below:

- Commitment 1 To meet the objective of becoming a leading research-intensive university, Western is committed to building its areas of strength in research and teaching. Our University community will:
- 1.1 require Faculties, Departments and Schools to identify and prioritize areas of national and international strength, using a consultative process to develop unit-level Academic Plans;
  - 1.2 use the Academic and Operational Plans as the foundation for differential resource allocations within Departments, Schools, Faculties, Administrative and Support units, and across the University;
  - 1.3 ensure that the budgetary processes support the planning decisions that invest in identified areas of current strength as well as encouraging emerging areas of strength in research and teaching; and,
  - 1.4 ensure that appropriate means of identifying excellence are developed and implemented at all levels of the University, in order that the budgetary and resource allocation processes are both transparent and justifiable as a measure of accountability.
- Commitment 2 Western will recruit outstanding faculty over the next decade, scholars who will enhance our distinguished reputation in teaching and research, and will work to retain our distinguished established faculty members. Our University community will:
- 2.1 encourage appointment committees to use aggressive strategies to recruit the very best teachers and researchers to Western's faculty;
  - 2.2 maintain high standards for recruitment, promotion, and granting of tenure for faculty;

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- 2.3 provide competitive salaries and start-up funding; and,
  - 2.4 continue our efforts to hire and retain more female faculty and to promote more female faculty members to positions of Department, School, Faculty, and University leadership;
  - 2.5 Strengthen our efforts in spousal/partner placement and assistance;
  - 2.6 ensure that our hiring is supportive of applicants from diverse backgrounds, including the designated groups identified under the Employment Equity Act and Federal Contractors Program;
  - 2.7 ensure that new appointments are made in areas of priority and strength, as set out in the Academic Plans of the Departments, Schools, Faculties, and the University;
  - 2.8 seek in new recruitment and retention decisions to support interdisciplinary and inter-Faculty teaching and research, acknowledging that academic disciplines evolve and that it is the nature of some scholarship to cross traditional disciplinary lines;
  - 2.9 expand the mentoring of new faculty by experienced faculty;
  - 2.10 enhance means of retaining outstanding faculty through such means as the establishment of University Distinguished Professorships, provision of research support in areas less likely to attract targeted government funding, and creating opportunities for public recognition and celebration of their achievements; and,
  - 2.11 work through our collective agreement to provide development opportunities for faculty in both the areas of teaching and research and, in conjunction with the Faculty Association, to harmonize and coordinate the instruments through which faculty report their activities;

Commitment 5 Western will strengthen the quality of its undergraduate programs. Our University community will:

- 5.1 carry out the reform of undergraduate programs approved by Senate for implementation in 2004; encourage Faculties and professional Schools to work cooperatively with one another and with other parts of the University in the delivery of programs and in the reform process;
- 5.2 review course and program structures to support areas of academic strength, high student demand, interdisciplinary content, local community needs and

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concerns, reflection of city and regional diversity, the needs of the fields in which graduates will pursue their careers, and instruction which allows student participation in research;

- 5.3 enhance the role of research in undergraduate teaching and bring the excitement of discovery into every classroom; and,
- 5.4 ensure that undergraduate programs are supported by the highest possible level of library resources, information technology, classroom and laboratory facilities and staff.

Commitment 6 Western will expand its graduate programs in areas of high quality. Our University community will:

- 6.1 carry out the plans approved by Senate for a substantial increase in graduate enrolment over the next five years;
- 6.2 develop new graduate programs in areas of research strength, with special emphasis on PhD degrees and programs in interdisciplinary areas;
- 6.3 be responsive to societal need and the demands of prospective students and employers for access to advanced programs of study at the Masters level that prepare graduates for professional practice, consistent with opportunities available for placement in clinical and practicum settings within the communities we serve;
- 6.4 continue to monitor the time-to-completion in our programs and take action to improve completion rates when required;
- 6.5 celebrate the role of graduate students in research at Western, their contribution to undergraduate instruction, and their key role after graduation in society and the knowledge economy; and,
- 6.6 expand the number of post-doctoral fellowships and encourage links between post-doctoral appointments, teaching, and probationary contracts;

Commitment 9 Western will preserve its institutional character and identity by controlling overall enrolment growth and increasing enrolments strategically in areas where demand and capacity exist. Our University community will:

- 9.1 adhere to enrolment targets as approved by Senate and the Board for the period 2001-2005;

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- 9.2 establish first-year enrolment targets of between 4,200 and 4,500 for the decade after 2005;
  - 9.3 expand graduate programs in areas of high quality and capacity; and,
  - 9.4 develop strategies for more appropriate, innovative and intensive use of existing space;
- Commitment 10 Western will enhance mechanisms to promote collaboration and interdisciplinarity with in the University. Our University community will:
- 10.1 develop new and creative ways to appoint and retain faculty across disciplines and to support them through the tenure and promotion process;
  - 10.2 promote program flexibility and encourage students at both the undergraduate and graduate levels to pursue areas of study which cross disciplinary lines and to become involved in both individual and collaborative research programs; and,
  - 10.3 ensure that interdisciplinary programs, research groups, centres, and institutes are actively contributing to the mission of the University and support efforts by collaborative research groups to secure funding and to identify new areas for the development of research networks.

A clear intent of the University's Strategic Plan is that these Commitments should be important considerations in the construction of Faculty Academic Plans and of specific planning requests. That is, actions and allocations emerging from both the Faculty and University planning processes should differentially support Academic Plans and specific budgetary proposals that clearly reinforce these strategic Commitments.

In the 2000-2001 academic year Deans were asked to develop Academic Plans for their Faculties and to forward them to the Provost by June 2001. Written feedback on these Plans was provided to the Deans by the Vice-Provost & Registrar and the acting Vice-President Research in September 2001. The Plans were presented and discussed at the Deans' Retreat held in September 2001, and the Fall 2001 Planning process included a requirement that Faculty Annual Budget Plans include reference to the Academic Plan.

The changing environment referred to at the start of this document, and in *Making Choices*, signal that the University is entering a period where it will be important to

engage in longer term planning than has occurred in the past. Commencing this Fall, the planning process will work to a four year horizon and Deans will be asked to present their budget plans in the context of their Academic Plans and the priorities in Teaching and Research identified in them. To aid in this process, Faculty Planning documents will be required to include a summary of the Academic Plan, reflecting a review and appropriate revisions of the existing Academic Plan followed by a four year budget proposal justified in terms of the Plan. In subsequent years, the same Plan will be submitted but annotated to indicate any changes evolving in response to new opportunities or renewed priority setting in the Faculty; the budget proposal will be revised accordingly, and will include a report on the past year's expenditures and how they support the implementation of the Plan.

The Planning guidelines to be distributed in late September will offer more guidance, but the Academic Plan summary, which along with the budget proposal forms the Annual Planning document, should be a 5-10 page document that will be expected to have the following content:

- a description of the current strengths in Teaching and Research in the Faculty including an identification of those areas that will receive priority support;
- a description of the potential and developing strengths in Teaching and Research identified as priority areas in the Faculty;
- a description of how the Teaching and Research activities of the Faculty are/will be integrated;
- a description of the interdisciplinary Research and Teaching activities that are being undertaken, or are being planned, as a priority for the Faculty. This description should include interdisciplinary activities that are undertaken in collaboration with participants beyond the Faculty as well as within the Faculty;
- a description of the faculty hiring and renewal plans, and of the plans for development of new teaching and research programs, as well as plans for the alteration or enhancement of current programs, all such plans extending to a four year horizon.

The descriptions in the above bullets should reflect the relevant Commitments and emphases of the University's Strategic Plan, and should be used in the justification of each Faculty's expenditure lines in its budget proposal. These expenditures must be balanced by the revenue lines of the budget, which will be supplied, as a four year projection, with the Planning Guidelines in late September. The accompanying parallel

document "Planning for 2003-2007: Setting and Pursuing Academic Priorities in a 4-Year Window" describes the revenue line scenarios and emphasizes the expectation that each Faculty's budget expenditures will reflect internal resource allocation plans aimed at supporting priority areas identified in the Academic Plan summary. Only where this is done effectively, will each Faculty's proposals for additional base budget funding from UPIF, one-time funding from PASF, or capital funding for space and facilities enhancement, be considered.

**ANNOUNCEMENTS & COMMUNICATIONS**

**ANNOUNCEMENTS**

**Faculty of Medicine & Dentistry**

M.J.P. Potter, Chair, Department of History of Medicine, July 1, 2002 - June 30, 2007

**COMMUNICATIONS**

**Annual Report - Promotion & Tenure - 2001-2002**

The revised Report on Promotion and Tenure Cases Considered under the Collective Agreement During 2001-2002 is attached as **Appendix 1**.



## The UNIVERSITY of WESTERN ONTARIO

*Office of Faculty Relations*

### MEMORANDUM

**TO:** Jan Van Fleet, Secretary of the University  
University of Western Ontario Faculty Association (UWOFA)

**FROM:** Alex Mercer, Director, Office of Faculty Relations

**DATE:** July 18, 2002

**SUBJECT: REPORT TO SENATE, THE BOARD AND THE UNIVERSITY OF  
WESTERN ONTARIO FACULTY ASSOCIATION (UWOFA) ON  
PROMOTION AND TENURE CASES CONSIDERED UNDER THE  
COLLECTIVE AGREEMENT DURING 2001 – 2002**

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Please find attached a [chart](#) providing the information required under Clause 20. in the Article *Promotion and Tenure* in the Collective Agreement. The information related to the designated groups - with the exception of gender – was provided by Equity Services. The following should be noted about this data:

- The information was provided in aggregate form only from the Employment Equity database;
- All information in this database is obtained through the self-indentification surveys sent to employees, therefore information is only available on individuals who completed and returned the surveys;
- Where information was unknown, it was considered to be a “no response” i.e. the individual was not a member of a designated group;
- For reasons of confidentiality information was suppressed in cases where there were less than 5 individuals considered in a particular group.

Please do not hesitate to contact us if you need any other information.

Cc: G. Moran  
A. Weedon  
R. Harris  
J. Collis  
E. Hegedues

**The REVISED chart is attached**



<b>REPORT ON PROMOTION AND TENURE CASES CONSIDERED UNDER THE COLLECTIVE AGREEMENT</b>							
(As required under Clause 20. in the Article Promotion and Tenure)							
<b>Total cases considered for Promotion and Tenure</b>							
Male	34						
Female	14						
Aboriginal Person	0						
Visible Minority	3						
Person with Disability	2						
<b>Promotion to Associate Professor and Granting of Tenure</b>							
	Process initiated by Dean in the last year - Clause 15.1	Process initiated by Dean in any year before the last year - Clause 15.3	Process initiated by Member in June of 3rd year for consideration in the 4th year - Clause 15.4	Positive Committeee recommendation - Clause 16	Negative Committeee recommendation - Clause 16	Positive Provost recommendation - Clause 17	Negative Provost recommendation - Clause 17
Male	2	13	0	15	0	15	0
Female	2	6	1	9	0	9	0
Aboriginal Person	S	0	S				
Visible Minority	S	2	S				
Person with Disability	S	0	S				
<b>Granting of Tenure</b>							
	Process initiated by the Dean in the last year of the appointment - Clause 15.2	Process initiated by Dean in any year before the last year - Clause 15.3		Positive Committeee recommendation - Clause 16	Negative Committeee recommendation - Clause 16	Positive Provost recommendation - Clause 17	Negative Provost recommendation - Clause 17
Male	1	1		2	0	2	0
Female	0	3		3	0	3	0
Aboriginal Person	S	S					
Visible Minority	S	S					
Person with Disability	S	S					
<b>Promotion to Professor</b>							
	Process initiated by Dean - Clause 15.5.	Process initiated by Member no earlier than three years after promotion to Assoc. Prof. - Clause 15.6		Positive Committeee recommendation - Clause 16	Negative Committeee recommendation - Clause 16	Positive Provost recommendation - Clause 17	Negative Provost recommendation - Clause 17
Male	12	5		17	0	16	1
Female	2	1		3	0	3	0
Aboriginal Person	0	0					
Visible Minority	1	0					
Person with Disability	1	1					
<b>S: For reasons of confidentiality data is suppressed in cases where there were less than 5 individuals considered in a group.</b>							
<b>The information related to the designated groups - with the exception of gender – was provided by Equity Services.</b>							
<b>Notes:</b>							
1) The information was provided in aggregate form only from the Employment Equity database.							
2) All information in this database is obtained through the self-identification surveys sent to employees, therefore information is only available on individuals who completed and returned the surveys.							
3) Where information was unknown, it was considered to be a “no response” i.e. the individual was not a member of a designated group.							

**REVISED**