

The following Motions and Documents were considered by the Board Learning and Discovery Committee at its Thursday, June 2, 2016 meeting:

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Agenda Title: **Institutional Strategic Plan: For the Public Good**

APPROVED MOTION: THAT the Board Learning and Discovery Committee, on the recommendation of General Faculties Council, recommend that the Board of Governors approve the Institutional Strategic Plan: For the Public Good, as set forth in Attachment 1, to be effective upon approval, and empower administration to make any editorial changes to the plan, as needed, as long as the changes do not have the force of policy.

Final recommended item: 5.

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Agenda Title: **Proposed New Copyright Regulations**

APPROVED MOTION: THAT the Board Learning and Discovery Committee, on the recommendation of General Faculties Council, recommend that the Board of Governors approve the proposed new Copyright Regulations for the various Academic Staff Agreements.

Final recommended item: 6.

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Agenda Title: **Proposal to Establish a Department of Critical Care Medicine and the Concurrent Termination of the Division of Critical Care Medicine, Faculty of Medicine and Dentistry**

APPROVED MOTION: THAT the Board Learning and Discovery Committee, on the recommendation of General Faculties Council, recommend that the Board of Governors approve the establishment of a Department of Critical Care Medicine, as submitted by the Faculty of Medicine and Dentistry and as set forth in Attachment 1, and the concurrent termination of the Division of Critical Care Medicine, to take effect July 1, 2016.

Final recommended item: 7.

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**OUTLINE OF ISSUE**

Agenda Title: **Institutional Strategic Plan: For the Public Good**

**Motion:** THAT the Board Learning and Discovery Committee, on the recommendation of General Faculties Council, recommend that the Board of Governors approve the Institutional Strategic Plan: For the Public Good, as set forth in Attachment 1, to be effective upon approval, and empower administration to make any editorial changes to the plan, as needed, as long as the changes do not have the force of policy.

*Note: General Faculties Council will be considering this item at its meeting on May 30.*

**Item**

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	David H. Turpin, President, and Steven Dew, Provost and Vice-President (Academic)
Presenter	David H. Turpin, President, and Steven Dew, Provost and Vice-President (Academic)
Subject	Institutional Strategic Plan: For the Public Good

**Details**

Responsibility	President, and Provost & Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	<p>In consultation with the University of Alberta, the President and Provost &amp; Vice-President (Academic) have developed a plan to guide the overall decision-making and governance process of the university for the next decade. The plan reaffirms the institutional vision and mission and establishes five strategic goals:</p> <p>BUILD a diverse, inclusive community of exceptional students, faculty, and staff from Alberta, Canada, and the world.</p> <p>EXPERIENCE diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.</p> <p>EXCEL as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service.</p> <p>ENGAGE communities across campuses, city and region, province, nation, and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations.</p> <p>SUSTAIN our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.</p> <p>In pursuing these goals, and the objectives and strategies that have been developed to animate them, we will be guided by the knowledge that we are a public university acting for the public good. As a community, the University of Alberta will deepen its dedication to excellence and extend its record of public leadership, playing a lead role</p>

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	in building a better province, a better Canada, and a better world.
The Impact of the Proposal is	To establish a new strategic direction for the institution under the leadership of the President and Provost & Vice-President (Academic). Upon approval of the plan, the university community will move from the planning phase into: <ul style="list-style-type: none"> <li>- priority setting (short-, medium- and long-term)</li> <li>- the development of measures to monitor our progress</li> <li>- the establishment of an institution reporting process to hold ourselves accountable to the plan</li> </ul>
Replaces/Revises (eg, policies, resolutions)	Dare to Discover, Dare to Deliver, Change@UAlberta
Timeline/Implementation Date	Effective upon approval
Estimated Cost	N/A
Sources of Funding	N/A
Notes	

**Alignment/Compliance**

Alignment with Guiding Documents	
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)	<p><b>1. Post-Secondary Learning Act (PSLA)</b> “26(1) Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university”</p> <p><b>2. General Faculties Council Terms of Reference (3. Mandate of the Committee)</b> “The issues which remain with GFC or which would be referred by a Standing Committee to GFC would generally be in the nature of the following: <ul style="list-style-type: none"> <li>• high level strategic and stewardship policy issues or matters of significant risk to the University”</li> </ul> </p> <p><b>3. GFC Executive Committee Terms of Reference (3. Mandate of the Committee)</b> “GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC Agenda, and the order in which those agenda items appear on each GFC agenda.”</p> <p><b>4. GFC Academic Planning Committee Terms of Reference (3. Mandate of the Committee)</b> “ APC is responsible for making recommendations to GFC and/or to the Board of Governors concerning policy matters and action matters with respect to the following: <ol style="list-style-type: none"> <li>1. Planning and Priorities To recommend to GFC and/or the Board of Governors on planning and priorities with respect to the University’s longer term academic, financial, and facilities development.”</li> </ol> </p> <p><b>5. Board Learning and Development Committee (3. Mandate of the Committee)</b> “Except as provided in paragraph 4 hereof and in the Board’s General Committee Terms of Reference, the Committee shall, in accordance with</p>

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	<p>the Committee's responsibilities with powers granted under the Post-Secondary Learning Act, monitor, evaluate, advise and make decisions on behalf of the Board with respect to matters concerning the teaching and research affairs of the University, including proposals coming from the administration and from General Faculties Council (the "GFC") and shall consider future educational expectations and challenges to be faced by the University. [...]</p> <p>Without limiting the generality of the of the foregoing the Committee shall:</p> <p>a. review and approve initiatives related to the overall academic mission and related plans and policies of the University; [...]</p> <p>n. review and recommend to the Board any annual reports and any other major issues within the mandate of the committee; [...]</p> <p>The Committee shall review, evaluate, and provide information and recommendations to the Board where the Board is making decisions in areas generally related to areas of responsibility of the Committee."</p>
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**Routing** (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> <li>• Those who have been informed</li> <li>• Those who have been consulted</li> <li>• Those who are actively participating</li> </ul>	<p>Broad participation has been sought across the campus over an 8-month period.</p> <p>-A record of the consultation process and the community feedback can be found online: <a href="https://uofa.ualberta.ca/strategic-plan">https://uofa.ualberta.ca/strategic-plan</a></p> <p>-Two rounds of consultation have been completed in the 2015-16 academic year:</p> <ul style="list-style-type: none"> <li>- Discussion paper consultation (September to February): 33 consultations with 860 participants</li> <li>- Draft plan consultation (February to April): 36 consultations, 1010 participants</li> <li>- Consultations included: Campus Forums, Roundtable Discussions, General Faculties Council, GFC Academic Planning Committee, GFC Academic Standards Committee, GFC Committee on the Learning Environment, Board Learning and Discovery Committee, Board University Relations Committee, Deans' Council, Chairs' Council, University Research Policy Committee, Students' Union and Council of Faculty Associations, Graduate Students' Association Executive and Board, Alumni Council, Senate and Faculty Councils</li> </ul>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Academic Planning Committee (May 11, 2016) – for recommendation</p> <p>General Faculties Council (May 30, 2016) – for recommendation</p> <p>Board Learning and Discovery Committee (June 2, 2016) – for recommendation</p> <p>Board of Governors (June 17, 2016) – for approval</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Attachments:

1. Institutional Strategic Plan: For the Public Good (28 pages)
2. Letter of Transmittal for the Institutional Strategic Plan: For the Public Good – for reference and input only (1 page)





INSTITUTIONAL STRATEGIC PLAN  
**FOR THE PUBLIC GOOD**

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**DRAFT**

MAY 2016

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The University of Alberta respectfully acknowledges that it is located on Treaty 6 territory.<sup>1</sup>

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<sup>1</sup>Please note: This remains as placeholder text to be updated when an institutional territorial statement is finalized by the community.

DRAFT 3

INSTITUTIONAL STRATEGIC PLAN  
**FOR THE PUBLIC GOOD**

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MAY 2016 DRAFT

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## Vision

To inspire the human spirit through outstanding achievements in learning, discovery, and citizenship in a creative community, building one of the world's great universities for the public good.

## Mission

Within a vibrant and supportive learning environment, the University of Alberta discovers, disseminates, and applies new knowledge for the benefit of society through teaching and learning, research and creative activity, community involvement, and partnerships. The University of Alberta gives a national and international voice to innovation in our province, taking a lead role in placing Canada at the global forefront.

## Values

The University of Alberta community of students, faculty, staff, and alumni rely on shared, deeply held values that guide behaviour and actions. These values are drawn from the principles on which the University of Alberta was founded in 1908 and reflect a dynamic, modern institution of higher learning, leading change nationally and internationally.

Above all, **we value intellectual integrity, freedom of inquiry and expression, and the equality and dignity of all persons** as the foundation of ethical conduct in research, teaching, learning, and service.

We value **excellence** in teaching, research, and creative activity that enriches learning experiences, advances knowledge, inspires engaged citizenship, and promotes the public good.

We value **learners** at all stages of life and strive to provide an intellectually rewarding educational environment for all.

We value **academic freedom and institutional autonomy** as fundamental to open inquiry and the pursuit of truth.

We value **diversity, inclusivity, and equity** across and among our people, campuses, and disciplines.

We value **creativity and innovation** from the genesis of ideas through to the dissemination of knowledge.

We value the **history and traditions** of our university, celebrating with pride our people, achievements, and contributions to society.

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At the University of Alberta, we begin with people—people with ideas, talent, and purpose. Then, we act.

We seek knowledge. We educate citizens. We ask the big questions. We push the limits of human understanding and knowledge. We engage with partners and communities close to home and around the world to lead positive change. We empower creative people to take risks and make imaginative leaps towards as yet undetermined futures.

Why? The answer is simple: We are a public university acting for the public good.

When we act, we provide meaningful educational experiences, promote innovative thinking, and develop original and compelling solutions that matter. When we lead, we tackle the most important local, national, and global challenges. When we excel, our work sparks and feeds widespread social, cultural, and economic benefits for others—indeed for the uplifting of the whole people.

In *For the Public Good*—our institutional strategic plan for the coming decade—we embrace and affirm our vision to inspire the human spirit through outstanding achievements in learning, discovery, and citizenship in a creative community, building one of the world’s great universities for the public good.

We forge ahead, motivated and supported by the University of Alberta’s 108-year history of leadership, achievement, and public service. Inspired by this plan, we will strive to achieve the following strategic goals:

**BUILD** a diverse, inclusive community of exceptional students, faculty, and staff from Alberta, Canada, and the world.

**EXPERIENCE** diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.

**EXCEL** as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service.

**ENGAGE** communities across campuses, city and region, province, nation, and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations.

**SUSTAIN** our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.

In pursuit of these shared goals, the University of Alberta will deepen our dedication to excellence and extend our record of public leadership, playing a lead role in building a better province, a better Canada, and a better world.

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The University of Alberta is the province's leading educator, generator of new ideas, and engine of social, cultural, and economic prosperity. Created by one of the first acts of the legislature, our university is one of the province's most enduring and vital public institutions. As our name suggests, our history is bound to that of Alberta; the University of Alberta respectfully acknowledges that we stand on Treaty 6 Territory and the homelands of First Nations and Métis peoples. For more than a century, University of Alberta scholars have inspired graduates to become purposeful, active citizens and leaders. Our alumni—now numbering more than 260,000—have founded more than 70,000 organizations and businesses around the world, creating one and a half million jobs, nearly 400,000 in Alberta. Along with inspiring next-generation leaders, University of Alberta scholars have engaged in research and creative activities answering fundamental questions, building new industries and businesses, improving human health, fostering social, economic, and environmental change, and enhancing an innovative and vibrant arts and culture scene. They are world leaders in fields as diverse as energy, virology, literature, history, agricultural genomics and proteomics, and paleontology. Today, the University of Alberta is one of Canada's leading research universities. Standing with pride among the world's finest public institutions, the University of Alberta brings the ideas of Albertans to the world, and the world of ideas to Albertans.

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# BUILD

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**GOAL:** Build a diverse, inclusive community of exceptional students, faculty, and staff from Alberta, Canada, and the world.

Through the development of strategic recruitment, retention, and renewal plans, the University of Alberta will build a community of exceptional students, educators, scholars, researchers, and staff from Alberta, Canada, and the world. We will foster an inclusive culture in which people excel through exchange and collaboration, enriched by the diversity of individuals, groups, disciplines, perspectives, approaches, and questions that characterize our community. We will sustain this culture and community through rich educational and life experiences in a supportive learning environment. We will engage Indigenous students and nations to create programs and spaces that acknowledge the complexities of Canada's history. We will celebrate the University of Alberta community and our achievements, enhancing our reputation in Alberta, across Canada, and around the world by defining, telling, and promoting our story.

To begin, we will attract outstanding students...

1. **OBJECTIVE:** Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world.
  - i. **Strategy:** Develop and implement an undergraduate and graduate recruitment strategy to attract top students from across the diverse communities in Alberta and Canada, leveraging our strengths as a comprehensive research-intensive, multi-campus university with options for francophone and rural liberal arts education.
  - ii. **Strategy:** Develop and implement an undergraduate and graduate recruitment and retention strategy to attract Indigenous students from across Alberta and Canada.
  - iii. **Strategy:** Optimize our international recruiting strategies to attract well-qualified international students from regions of strategic importance, and enhance services and programs to ensure their academic success and integration into the activities of the university.
  - iv. **Strategy:** Ensure that qualified undergraduate and graduate students can attend the university through the provision of robust student financial support.

...educated by exceptional faculty...

2. **OBJECTIVE:** Create a faculty renewal program that builds on the strengths of existing faculty and ensures the sustainable development of the University of Alberta's talented, highly qualified, and diverse academy.
  - i. **Strategy:** Attract and retain a diverse complement of faculty and post-doctoral fellows from around the world, with initial focus on increasing the proportion of assistant professors.
  - ii. **Strategy:** Review, improve, and implement equity processes and procedures for recruiting and supporting faculty to ensure a balanced academy, representative of women, visible minorities, sexual and gender minorities, Indigenous peoples, and people with disabilities.
  - iii. **Strategy:** Stabilize long-term investments in contract academic staff by offering career paths that include the possibility of continuing appointments based on demonstrated excellence in teaching.
  - iv. **Strategy:** Support career transitions and encourage professors emeriti to continue to share their expertise and experience through active engagement with the university community.

...in collaboration with highly-skilled staff...

3. **OBJECTIVE:** Support ongoing recruitment and retention of a highly-skilled, diverse community of non-academic and administrative staff by enriching the University of Alberta's working environment.
  - i. **Strategy:** Create pathways for career mobility and progression of non-academic, administrative, and academic staff members, which include opportunities such as secondments, exchanges, and job shadows.
  - ii. **Strategy:** Review, improve, and implement equity processes and procedures for recruiting and supporting staff to ensure that all categories of staff are representative of women, visible minorities, sexual and gender minorities, Indigenous peoples, and people with disabilities.
  - iii. **Strategy:** Encourage, facilitate, and reward the sharing of best practices by non-academic, administrative, and academic staff across units, faculties, and campuses.

...at a university committed to respectful relations with First Nations, Métis, and Inuit peoples.

4. **OBJECTIVE:** Develop, in consultation and collaboration with internal and external community stakeholders, a thoughtful, respectful, meaningful, and sustainable response to the report of the Truth and Reconciliation Commission of Canada.
  - i. **Strategy:** Foster learning opportunities across our campuses that enable student, staff, and faculty participation in reconciliation.
  - ii. **Strategy:** Build the Maskwa House of Learning as a place of understanding, welcome, and cultural connection, where Indigenous and non-Indigenous students together can grow and celebrate the unique and proud histories of Indigenous peoples, and where Indigenous students can access social, cultural, and spiritual supports that enable their academic success.
  - iii. **Strategy:** Evaluate and measure the University of Alberta's response to the TRC's Calls to Action and ensure effectiveness on an ongoing basis.



As a community, we recognize that our future is built on shared values...

5. **OBJECTIVE:** Build and strengthen trust, connection, and a sense of belonging among all members of the university community through a focus on shared values.
  - i. **Strategy:** Support and enhance activities, initiatives, and traditions that bond alumni, students, staff, faculty, and professors emeriti to the university.
  - ii. **Strategy:** Celebrate and support diversity and inclusivity.
  - iii. **Strategy:** Identify and increase opportunities to engage alumni and volunteers as valued advisers, mentors, volunteers, and interested constituents.
  - iv. **Strategy:** Appreciate and value the different roles staff, students, post-doctoral fellows, and faculty play on our campuses so that the institution as a whole can further benefit from their diverse skills, perspectives, and experiences.
  - v. **Strategy:** Foster trust through mutually respectful dialogue between individuals, faculties, departments, administrative units, and campuses, and create opportunities to learn from each other's cultural variations.
  - vi. **Strategy:** Encourage and support institution-wide initiatives, services, and programs, such as arts and cultural activities, intramurals, student groups, volunteering, clubs, and centres, which bring students from all faculties into community with each other.

...and our story is built on the accomplishments and contributions of our people.

6. **OBJECTIVE:** Build and support an integrated, cross-institutional strategy to demonstrate and enhance the University of Alberta's local, national, and international story, so that it is shared, understood, and valued by the full University of Alberta community and its many stakeholders.
  - i. **Strategy:** Discover an institution-wide, comprehensive brand platform (reputation, identity, image, and component stories) around the core institutional narrative: its promise, its mission, and its impact.
  - ii. **Strategy:** Engage and advocate strategically with all levels and orders of government and other key stakeholders, and identify and demonstrate how university activities intersect with their goals and strategies.
  - iii. **Strategy:** Communicate, using both quantitative and qualitative evidence, how the University of Alberta serves as a cornerstone of the community bringing widespread economic and societal benefits to all Albertans, as well as to national and international partners and stakeholders.

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Stories told by University of Alberta alumni often share a common thematic arc. That arc tells of students being inspired by exceptional professors to pursue excellence, stretch themselves in new ways, and take on the responsibilities of public service and leadership. Undergraduate and graduate students, along with professional, continuing, and lifelong learners, continue to pursue transformative learning experiences that reveal and nurture their talents and prepare them for success. They seek an education that is rich with experiential learning, interdisciplinary depth, research opportunities, and engagement with business, government, and community organizations. At the University of Alberta, we strive to answer learners' intellectual and professional aspirations. Arts and science programs form the foundation of the university's broad network of professional faculties and continuing education opportunities. Our multi-campus environment offers students the benefits of an intimate liberal arts education at Augustana Campus or an immersive francophone education at Campus Saint-Jean, while being connected to one of Canada's most highly respected research universities. This diversity of opportunity, combined with our international, multicultural, and Indigenous populations of students, faculty, and staff, builds global citizens—leaders with the imagination, critical eye, and passion to rethink the status quo, diversify economies, and reinvigorate society.

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# EXPERIENCE

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**GOAL:** Experience diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.

Pushing beyond the conventional, students, no matter their background, age, or stage of education, will experience learning as an integral part of all their activities at the University of Alberta. We will pay attention to the development of the whole person and will excel in providing learning environments that transform us, nurture our talents, expand our knowledge and skills, and enable our success. We will build innovative curricular and co-curricular experiential learning programs that engage students, faculty, and staff with issues, questions, and ideas relevant to community organizations, industry, and governments today. We will seek and sustain student success. We will mobilize the expertise of our faculty and expand access to educational experiences for continuing, professional, and lifelong learners.

By providing our students with exceptional experiences that link them to their futures, we will facilitate their success both within the curriculum...

7. **OBJECTIVE:** Increase graduate and undergraduate students' access to and participation in a broad range of curricular experiential learning opportunities that are well-integrated with program goals and enrich their academic experience.
  - i. **Strategy:** Increase students' experiential learning through mutually beneficial engagement with community, industry, professional, and government organizations locally, nationally, and internationally.
  - ii. **Strategy:** Develop global competency in our graduates through access to short- and long-term outbound international experiences.
  - iii. **Strategy:** Expand professional development opportunities for graduate students and post-doctoral fellows.

...and beyond.

8. **OBJECTIVE:** Create and facilitate co-curricular and extracurricular learning experiences for undergraduate and graduate students that enable their self-discovery and give them the skills to use their talents, creativity, and curiosity to contribute as future citizens and leaders.
- i. **Strategy:** Increase the opportunities for all undergraduate and graduate students to experience the benefits of living on campus, including guaranteeing the offer of a place in residence to every first-year undergraduate student.
  - ii. **Strategy:** Expand and encourage student mentorship programs.
  - iii. **Strategy:** Support the roles of the Graduate Students' Association and Students' Union, along with other student groups, in the promotion of extracurricular programs that create a sense of community and support the learning environment.
  - iv. **Strategy:** Expand access to leadership development programs for undergraduate and graduate students, such as the Peter Lougheed Leadership College.
  - v. **Strategy:** Continue to support and enhance a student-athlete-centred university sport environment that facilitates the academic, athletic, and personal development of students.

Our multi-campus learning environment provides exciting opportunities to build a great and diverse university...

9. **OBJECTIVE:** Enhance, support, and mobilize the unique experiences and cultures of all University of Alberta campuses to the benefit of the university as a whole.
- i. **Strategy:** Facilitate and deepen inter-campus connections, communication, and collaborations with Augustana Campus, and ensure that it is strengthened as a leading a liberal arts college, and as a living laboratory for teaching and learning innovation, to the benefit of the entire university.
  - ii. **Strategy:** Highlight and strengthen the role that Campus Saint-Jean plays in reflecting and reinforcing the linguistic duality of Canada as well as the worldwide multi-ethnic Francophonie, by positioning the university locally, nationally, and internationally as a destination of choice for francophone and bilingual students, and by progressively improving Faculté Saint-Jean students' and applicants' access to French-language services.
  - iii. **Strategy:** Enhance collaborative, community-based learning activities and build on the relationships that have been developed through the programs offered at Enterprise Square and South Campus.

...opening doors to a lifetime of learning experiences.

10. OBJECTIVE: Expand access to and engagement in the University of Alberta for learners engaging in continuing and professional education programs, experiences, and lifelong learning activities.

- i. **Strategy:** Develop continuing and professional education programs that connect the knowledge-mobilization activities of the university's faculty members to the needs of diverse learner communities.
- ii. **Strategy:** Create a wide range of opportunities, both in person and virtual, for broad, learning-centred programs for alumni and other communities of learners engaging in continuing and professional education.

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At the University of Alberta, excellence is both a goal and an attitude. We aspire to achieve the first and to inspire the latter. Motivated to excel, University of Alberta students, faculty, post-doctoral fellows, and staff have received many academic awards and distinctions over the history of the university, including 71 Rhodes Scholarships, 15 Banting Post-doctoral Fellowships, 41 3M National Teaching Fellowships, and three Governor General Awards for Literature. Many in our community are members of the Order of Canada (60), fellows of the Royal Society of Canada (138), members of the Alberta Order of Excellence (20), and winners of the Queen Elizabeth II Diamond Jubilee Medal (11)—honours that recognize not only outstanding research achievement, but also exceptional service and contribution to society. Researchers across the university consistently attract more than \$450 million in external research funding each year. When we excel as researchers, we create knowledge that translates into social, technical, and artistic innovations, new enterprises and community organizations, life-saving medical treatments and procedures, critically needed environmental protections, and more. When we excel as researchers, teachers, and students, we empower a culture that values curiosity, critical thinking, diversity, hard work, and ambition—all vital to advancing knowledge and inciting change for the public good. When we excel on the global stage, we connect Alberta and Canada to the world.

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# EXCEL

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**GOAL:** Excel as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service.

To excel and achieve our full potential as an institution and as individuals, the University of Alberta will sustain a learning and research culture that inspires, supports, and champions high professional standards and outstanding achievements in basic and applied research and scholarship, creative activity, administration, and governance. We will ensure that learning experiences at our university are of the highest quality, based on a practice of continuous improvement and innovation in teaching. From our broad-based strength as a comprehensive, research-intensive public university, we will highlight current and emerging areas of global distinction and leadership by building a portfolio of signature areas that distinguish us from among our peer institutions and exemplify the University of Alberta's capacity to engage in big questions and global challenges.

The foundation of our university is our breadth of inquiry...

11. **OBJECTIVE:** Advance the University of Alberta's reputation for research excellence by pursuing fundamental and original questions and ideas, pushing the frontiers of knowledge, inspiring creative experimentation, driving innovation, and advancing society.

- i. **Strategy:** Encourage and champion achievements in a broad base of fundamental and applied research, scholarship, and creative activities.
- ii. **Strategy:** Support a culture of creativity, innovation and entrepreneurship among students, faculty, and staff where contributions to all sectors of society are rewarded, valued, and celebrated.
- iii. **Strategy:** Nurture, enable, and reward public intellectuals.
- iv. **Strategy:** Support and enhance translational initiatives that include TEC Edmonton and eHub, among others.
- v. **Strategy:** Advance the University of Alberta's reputation for excellence in research through a coordinated recognition, awards, and honours program.

...from which we will build areas of distinction.

## 12. OBJECTIVE: Build a portfolio of signature research and teaching areas where the University of Alberta is or will be recognized as a global leader.

- i. **Strategy:** Identify and support established and emerging areas of research and teaching distinction and distinctiveness, using the following criteria:
  - national and international stature for excellence, relevance, and impact
  - critical mass—opportunity for broad, interdisciplinary engagement
  - grassroots leadership, participation, and support from within our university community
  - stakeholder partnerships
  - research partners (international, community, government, industry)
  - capacity to shape and align with federal and provincial research funding priorities
  - student demand
  - physical and operational capacity
  - geographic or situational relevance
- ii. **Strategy:** Leverage provincial, national, and international funding programs and partnership opportunities that support the activities, impact, influence, and reach of signature areas.
- iii. **Strategy:** Encourage and facilitate knowledge and technology transfer to ensure that society can realize the benefits of intellectual capital arising from research and creative endeavours.
- iv. **Strategy:** Develop processes for identifying both emerging and declining areas of distinction and global leadership to sustain the vibrancy of the university's portfolio of signature areas.

Within a supportive, creative culture, we will foster excellence in research...

## 13. OBJECTIVE: Enable University of Alberta researchers to succeed and excel.

- i. **Strategy:** Expand services and supports for researchers at all career stages (undergraduate and graduate students, post-doctoral fellows, and faculty), including the development of research mentorships and Grant Assist programs.
- ii. **Strategy:** Maintain and pursue partnerships across the global academy to expand research and funding opportunities for our researchers and thus increase their capacity for success.
- iii. **Strategy:** Pursue strategies to increase the success of graduate students and post-doctoral fellows in national grant, scholarship, and award programs.
- iv. **Strategy:** Secure and sustain funding for the continuous evolution and operation of research facilities and resources (e.g., libraries, labs, Research Services Office, museums and collections, performance spaces, fine arts facilities, and U of A Press) to meet the changing needs of our broad-based research community.



- v. **Strategy:** Participate fully in matching programs and maintain and pursue memberships in relevant funding organizations to expand and leverage funding opportunities for the university and to increase our researchers' reach, influence, and impact.
- vi. **Strategy:** Seek and attract an exceptional cohort of post-doctoral fellows and support their participation in and contribution to the university's research environment.

...and teaching...

#### 14. OBJECTIVE: Inspire, model, and support excellence in teaching and learning.

- i. **Strategy:** Foster, encourage, and support innovation and experimentation in curriculum development, teaching, and learning at the individual, unit, and institutional levels.
- ii. **Strategy:** Adopt a set of core graduate attributes, skills, and competencies at both the undergraduate and graduate level; develop strategies for implementing them in specific disciplines and programs; and monitor graduate outcomes to ensure continuous improvement.
- iii. **Strategy:** Provide robust supports, tools, and training to develop and assess teaching quality, using qualitative and quantitative criteria that are fair, equitable, and meaningful across disciplines.
- iv. **Strategy:** Create and support an institutional strategy that enables excellence in the design, deployment, and assessment of digital learning technologies.
- v. **Strategy:** Develop and implement programs and processes to assure high quality, collegial graduate student and post-doctoral fellow supervision and mentorship.

...through professional development.

#### 15. OBJECTIVE: Foster a culture of excellence by enriching learning and professional development opportunities for staff, faculty, and post-doctoral fellows.

- i. **Strategy:** Expand access to professional development programs and learning opportunities for staff, faculty, and post-doctoral fellows.
- ii. **Strategy:** Establish mentorship programs at the institutional, faculty, and unit levels to nurture and support staff, faculty, and post-doctoral fellows throughout their professional careers.
- iii. **Strategy:** Support continued development of and participation in leadership programs for staff, faculty, and post-doctoral fellows.

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From the earliest years when professors and staff travelled to rural communities to lecture on Shakespeare, agricultural practices, and more, the University of Alberta has been deeply embedded in communities both near and far. In 1908, founding president Henry Marshall Tory reminded Albertans that “the modern state university has sprung from a demand on the part of the people themselves” and promised “that knowledge shall not alone be the concern of scholars. The uplifting of the whole people shall be its final goal.” He challenged future generations not to forget this ultimate goal. It has not been forgotten. We continue to seek mutually beneficial, reciprocal connections and collaborations with partners throughout the global academy, as well as with local, rural, and Indigenous communities. We work with industry, business, and government to find solutions to shared problems. We engage with diverse partners to conduct and translate learning and research into evidence-based public policy, improved industrial practices, changed attitudes, and healthier, more compassionate communities. We sit at the centre of the province’s Campus Alberta and Edmonton’s City of Learners, working with our post-secondary partners to provide Albertans with multiple integrated pathways to achieve their educational goals and aspirations. We build multi-level, cross-sectoral national and international partnerships with high-ranking universities and institutions across Canada and the world. Through these efforts and more, we reaffirm Tory’s founding promise, and continue to grow as an university that endeavours to create and disseminate knowledge and scholarship for the benefit and uplifting of the whole people.

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# ENGAGE

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**GOAL:** Engage communities across our campuses, city and region, province, nation, and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations.

To serve the public well, the University of Alberta will excel at listening, connecting, and collaborating with key partners across all sectors of society. We will strive to be relevant as well as excellent and actively disseminate what we learn and discover for the benefit of the public good. We will engage across disciplines, campuses, faculties, and units to create interdisciplinary learning experiences for our students that prepare them to face the complex nature of today's challenges and workplaces. We will continue to build and deepen mutually beneficial and reciprocal partnerships with local, provincial, national, and international communities, agencies, industries, businesses, and organizations. In doing so, we will expand and sustain the University of Alberta's leadership in major national and international initiatives and networks that increase our reach and influence as one of Canada's leading research universities.

Our ability to contribute to society will flow in large measure from our ability to connect with our communities...

16. **OBJECTIVE:** Enhance, increase, and sustain reciprocal, mutually beneficial community relations, community engagement, and community-engaged research and scholarship that will extend the reach, effectiveness, benefit, and value of our university-community connections.
- i. **Strategy:** Identify and embrace opportunities to build, strengthen, and extend the University of Alberta's connections to and engagement with external stakeholders, including the general public, neighbouring communities, ethnic and cultural communities, and other communities of practice.
  - ii. **Strategy:** Develop an integrated institutional strategy for fostering and rewarding community-engaged research and evaluation that is intentionally collaborative from research question design through to knowledge mobilization.
  - iii. **Strategy:** Engage with government, community, industry, business, and the post-secondary sector to address shared local, provincial, national, and global challenges.
  - iv. **Strategy:** Continue to build mutually beneficial, authentic relationships with alumni and donors.
  - v. **Strategy:** Welcome increased community access, participation, and engagement at all University of Alberta sites, such as our downtown campus at Enterprise Square and our sports facilities at South Campus.

...and to build interdisciplinary connections...

17. **OBJECTIVE:** Facilitate, build, and support interdisciplinary, cross-faculty, and cross-unit engagement and collaboration.
- i. **Strategy:** Identify and remove systemic barriers to interdisciplinarity, and where necessary, expand or create policies, resources, infrastructure, and strategies to encourage and reward academic and administrative partnerships and collaborations.
  - ii. **Strategy:** Incent the development of interdisciplinary and cross-faculty graduate and undergraduate teaching and learning initiatives, including programs, courses, and embedded certificates.
  - iii. **Strategy:** Develop mechanisms for identifying research expertise at the institution for more effective cultivation of emerging research opportunities and funding programs, particularly those requiring interdisciplinary research teams.

...that support institutional partnerships locally, nationally, and internationally.

18. **OBJECTIVE:** Seek, build, strengthen, and sustain partnerships with local, national, or international research agencies, governments, government ministries and agencies, universities, Indigenous communities, libraries, not-for-profits, industry, business, and community organizations.
- i. **Strategy:** Provide leadership in Alberta's post-secondary sector and support integration, collaboration, and partnership across the province's six-sector model to the benefit of all Albertans.
  - ii. **Strategy:** Participate and provide leadership in municipal, provincial, national, and international consortia, networks, and programs.
  - iii. **Strategy:** Encourage municipal, provincial, national, and international collaborations, partnerships, and MOUs at the institutional, faculty, department, unit, and individual levels.
  - iv. **Strategy:** Seek, enhance, and support partnerships with industry, including small and medium enterprises.
  - v. **Strategy:** Work closely with key provincial partners and government agencies, including members of Campus Alberta, Alberta Health Services, Alberta Innovates, The Alberta Library, NEOS, etc., to undertake mutually beneficial research, and where possible, co-ordinate, streamline, and deliver shared systems, services, and processes to the benefit of all Albertans.

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As a proud public university, the University of Alberta not only serves the people of our province and our country, but also receives their steadfast support. We earn that support and trust because of the quality of our work and the benefits we bring to all Albertans and Canadians as a leading global institution founded on more than a century of excellence in teaching, learning, research, and service. We maintain that support and trust because we take seriously our responsibility to steward and sustain public investments in our people, operations, infrastructure, and systems. One of Canada's Greenest Employers since 2009, we strive to model sustainability as an integral part of university life, recognizing that the health and well-being of our people are tied to the health and well-being of our environment, economy, and social systems. The University of Alberta is a recognized leader in environmental sustainability and energy management in practice as well as in teaching and research. We promote a culture of continuous improvement in administration and governance, and ensure that our resources are used and sustained effectively to ensure the long-term vibrancy of our institution. We do this to the benefit of Campus Alberta as a whole: we share critical research infrastructure, provide systems and services to smaller institutions, facilitate student mobility, and build partnerships across the province to ensure that all Albertans have access to their provincial university and the benefits we offer.

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# SUSTAIN

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**GOAL:** Sustain our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all Albertans.

To achieve our strategic goals, the University of Alberta will attract and steward the resources we need to excel and deliver our core teaching and research mission at the high standard expected by all Albertans. We will build on our capacities for securing new sources of operating, capital, research, and philanthropic funding. We will continue to model and advance teaching and learning in the area of environmental sustainability on our campuses and in our work. We must sustain our people by promoting health, wellness, and safety as a defining feature of the University of Alberta's learning and working experience, and by maintaining and enhancing the university's essential teaching, learning, and research infrastructure. Continuous improvement and cross-unit engagement and co-operation will define our approach to governance and administration to ensure that our systems, policies, and procedures facilitate the achievement of our shared goals.

Our success as an institution will be determined by our support for our people...

19. **OBJECTIVE:** Prioritize and sustain student, faculty, and staff health, wellness, and safety by delivering proactive, relevant, responsive, and accessible services and initiatives.
- i. **Strategy:** Develop an integrated, institution-wide health and wellness strategy, which increases the reach and effectiveness of existing health and wellness resources, programs, and services, and promotes resilience and work-life balance.
  - ii. **Strategy:** Bolster resources for and increase access to mental health programs that provide support to students, faculty, and staff.
  - iii. **Strategy:** Endorse a strong culture of safety awareness, knowledge, planning, and practice to ensure the safety of students, employees, and visitors to our campuses.

...and our commitment to sustainability.

20. **OBJECTIVE:** Continue to build and support an integrated approach to social, economic, and environmental sustainability that incorporates teaching and learning, research, outreach, capacity building, and the operations that support them.

- i. **Strategy:** Integrate sustainability into teaching, learning, research, and outreach in ways that foster critical, interdisciplinary, long-term systemic thinking on sustainability.
- ii. **Strategy:** Embed social, economic, and environmental sustainability into the development and care of the university's natural and built environments.
- iii. **Strategy:** Enhance awareness of, and engagement with, the university's environmental sustainability features, practices, and resources across University of Alberta campuses and external communities.

Our commitment extends to administration and governance...

21. **OBJECTIVE:** Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.

- i. **Strategy:** Encourage transparency and improve communication across the university through clear consultation and decision-making processes, substantive and timely communication of information, and access to shared, reliable institutional data.
- ii. **Strategy:** Ensure that individual and institutional annual review processes align with and support key institutional strategic goals.
- iii. **Strategy:** Consolidate unit review and strategic planning processes, and where possible, align with accreditation processes, to ensure efficient assessment practices.
- iv. **Strategy:** Facilitate easy access to and use of university services and systems; reduce duplication and complexity; and encourage cross-institutional administrative and operational collaboration.
- v. **Strategy:** Develop a set of equitable, meaningful, and relevant measures to monitor our progress toward strategic goals and develop the tools required to report on them.



...financial resources....

22. **OBJECTIVE:** Secure and steward financial resources to sustain, enhance, promote, and facilitate the university's core mission and strategic goals.

- i. **Strategy:** Seek and secure resources needed to achieve and support our strategic goals.
- ii. **Strategy:** Ensure a sustainable budget model to preserve and enhance our core mission and reputation for excellence in teaching, learning, research, and community engagement.
- iii. **Strategy:** Ensure responsible and accountable stewardship of the university's resources and demonstrate to government, donors, alumni, and community members the efficient and careful use of public and donor funds.

...and infrastructure.

23. **OBJECTIVE:** Ensure that the University of Alberta's campuses, facilities, utility, and information technology infrastructure can continue to meet the needs and strategic goals of the university.

- i. **Strategy:** Secure and sustain funding to plan, operate, expand, renew, and optimize the use of campus infrastructure to meet evolving teaching and research priorities.
- ii. **Strategy:** Build, operate, and maintain undergraduate and graduate student housing to support our students' academic success and sense of belonging to the university community.
- iii. **Strategy:** Provide effective IT solutions and enhancements that enable secure and reliable delivery of high-quality programs and services.
- iv. **Strategy:** Engage and strategically partner with stakeholders to explore and develop joint-use projects.

The University of Alberta, one of this province's oldest public institutions, anchors Alberta's integrated, diverse post-secondary education sector. We stand among Canada's premier research-intensive, medical-doctoral universities. Our international ranking confirms our placement with the finest public universities in the world. As our mission states, the University of Alberta gives a national and international voice to innovation in our province, taking a lead role in placing Canada at the global forefront.

Leadership, we know, requires action and purpose. Leadership demands that we build on our existing foundational strengths; experience and disseminate the power of transformative ideas and opportunities; excel in all that we do; engage across disciplines, communities, and sectors; and sustain the vibrancy of our multi-campus communities.

As a community, we have developed a long-term, multi-layered plan. Some of the goals, objectives and strategies envisioned here can be implemented immediately; others will unfold over the course of the next decade. We will regularly measure our progress and anticipate the need for an in-depth review in year five.

At the highest level, "For the Public Good" is meant to empower and enable each member of the University of Alberta to build, experience, excel, engage, and sustain. The successful implementation of the plan will depend on all of us, individually and collectively, taking action.

Together, we will propel this great institution—the University of Alberta—to a place of unprecedented leadership, and in common cause, we will build a better province, a better Canada, and a better world.

INSTITUTIONAL STRATEGIC PLANNING ADVISORY COMMITTEE

David Turpin (Co-Chair)

Steven Dew (Co-Chair)

Lorne Babiuk (Vice-Chair)

Tim Caulfield

Walter Dixon

Joseph Doucet

Leanne Garon

Lars Hallstrom

Tammy Hopper

Jacqueline Leighton

Mackenzie Martin

Mary Persson

Fahim Rahman

Ann Revill

Jeremy Richards

Christie Schultz

Arya Sharma

Kisha Supernant

Kimberly TallBear

Jane Traynor

Helen Vallianatos

Sheena Wilson

Project leads:

Anne Bailey

Amy Dambrowitz

Project support:

Bobbi Schiestel



[UAB.CA/STRATEGIC-PLAN](http://UAB.CA/STRATEGIC-PLAN) | [ENGAGE@UALBERTA.CA](mailto:ENGAGE@UALBERTA.CA)

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**To the University of Alberta community:**

Please find the final draft of “For the Public Good” attached. Thank you for your engagement, advice, and feedback throughout the months of consultation and preparation of the document.

As a community, we have developed one long-term, multi-layered plan to guide the overall decision-making and governance processes of the University of Alberta. Some of the goals, objectives and strategies envisioned here can be implemented immediately; others will unfold over the course of the next decade. We anticipate the need for an in-depth review in year five.

At the highest level, “For the Public Good” is meant to empower and enable each member of the University of Alberta to build, experience, excel, engage, and sustain. The successful implementation of the plan will depend on all of us, individually and collectively, taking action.

**Following approval of “For the Public Good,” we will have three immediate tasks.**

**The first will be to determine priorities for the short, medium, and long-term.** The president and provost will lead this process and assign responsibility for specific goals at the institutional level. At the same time, leaders across the university will begin to develop, or continue to work towards, parallel strategic priorities and objectives that flow from the plan for specific faculties, departments, and units.

**The second will be to develop an equitable, meaningful, and relevant set of qualitative and quantitative measures** by which we will monitor our progress and success on an annual basis over the coming years. These measures will be determined by the president and provost in consultation with the Institutional Strategic Planning Advisory Committee, Board of Governors, vice-presidents and deans, General Faculties Council, and other key stakeholders across the university.

**The third will be to create a transparent, effective, and sustainable annual institutional reporting process** to ensure that we hold ourselves accountable to the plan at all levels of the university. As the title of this plan suggests, we must also develop avenues for internal and external communication of the university’s annual progress to demonstrate in detailed, concrete ways how we, as a public university, are indeed acting for the public good.

Once the plan is approved, we will continue to communicate frequently on the progress and outcomes of these initial steps.

David H. Turpin  
President and Vice-Chancellor

Steven Dew  
Provost and Vice-President (Academic)

**OUTLINE OF ISSUE**

Agenda Title: **Proposed New Copyright Regulations**

**Motion:** THAT the Board Learning and Discovery Committee, on the recommendation of General Faculties Council, recommend that the Board of Governors approve the proposed new Copyright Regulations for the various Academic Staff Agreements.

Note: General Faculties Council will be considering this item at its meeting on the afternoon of May 30. The Board Human Resources and Compensation Committee will also consider this item for recommendation to the Board at its meeting on May 30.

**BOARD MOTION:**

*Motion: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, Board Learning and Discovery Committee, and General Faculties Council, approve the proposed new Copyright Regulations for the various Academic Staff Agreements.*

**Item**

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Provost and Vice-President (Academic) and Vice-President (Research)
Presenter	Steven Dew, Provost and Vice-President (Academic)
Subject	Proposed New Copyright Regulations

**Details**

Responsibility	Provost and Vice-President (Academic) and Vice-President (Research)
The Purpose of the Proposal is (please be specific)	To clarify when the staff member owns copyright, and when the University owns copyright.
The Impact of the Proposal is	To update and revise the language in Article 10 related to copyright in the various academic collective agreements (APO Agreement, Faculty Agreement, FSO Agreement, Librarian Agreement, CAST Agreement, SOTS Agreement, TRAS Agreement).
Replaces/Revises (eg, policies, resolutions)	Article 10 in the various Academic Staff Agreements.
Timeline/Implementation Date	July 1, 2016
Estimated Cost	N/A
Sources of Funding	N/A
Notes	<p>The rules regarding copyright created by academic staff at the University are based on two documents; the Post-Secondary Learning Act (PSLA) and the collective agreements between the Board and the AASUA.</p> <p>The PSLA states:</p> <p>Intellectual Property 68(1) Unless otherwise agreed to by the board, the ownership of any invention, work, information or material, regardless of form, including any patent, copyright, technological or industrial design process or trademark acquired or produced by an officer of the post-secondary institution or an employee of the board that results from or is connected with the officer's or employee's duties or employment vests in the board and may be made available to the public under conditions, on payment of fees or royalties or</p>

otherwise, as the board may determine.

The collective agreements between the Board of Governors and AASUA have contained Copyright Regulations (as Articles and/or Appendices) since 1977. Over the years, there has been a significant amount of confusion when the parties have attempted to interpret the Copyright Regulations as it is not clear from the language when the University would own copyright and when it would be owned by the staff member. The generally accepted practice (although not strictly based on the language) has been to acknowledge that academic staff own the copyright in their teaching materials, but the University has some sort of limited license to use that material.

In 2010, the University of Alberta and the AASUA agreed to form an "Agreement Review Committee" that would examine two aspects of intellectual property: a) copyright and b) the emerging issue of intellectual property that is not covered by patent or copyright practices. The ARC that was created has focused solely on the first issue - copyright. This ARC has been meeting regularly since and has developed proposed new Copyright Regulations which would replace the existing regulations in their entirety. The ARC believes that the new language creates greater certainty as it relates to copyright ownership and use.

The key elements of the proposed new Regulations include:

1. *Clear ownership by academic staff of copyright in works they create as a result of or connected with their duties or employment.*
2. *An immediate, non-exclusive, royalty-free, non-transferable and irrevocable license to the University to use these works for purposes related to its approved mandate.*
3. *A more limited license to the University to use a staff member's detailed teaching materials, for example if the staff member is unable or unavailable to deliver all or part of a course assigned to that staff member during that academic year.*
4. *Ownership by the University of copyright of works created by a staff member in the course of performing administrative or management duties or activities.*
5. *A clear statement that a staff member's copyright in works created as part of a sponsored research agreement is governed by the terms of that agreement. This gives the University the right to alter copyright ownership in a sponsored research agreement, the way it is currently able to be done for Patentable Intellectual Property.*

\*It is important to note that the proposed Regulations deal with copyright that is created by a University of Alberta academic staff member in performing his employment duties. It does not apply to the use by the University of copyright materials from other sources (textbooks, library books, online sources, etc). There is a separate policy suite being drafted that deals with such issues.

**Alignment/Compliance**

<p>Alignment with Guiding Documents</p>	<p>Dare to Discover, Dare to Deliver, Comprehensive Institutional Plan, academic collective agreements</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p><b>1. Post-Secondary Learning Act (PSLA):</b> Alberta’s Post-Secondary Learning Act (PSLA) gives the Board of Governors the authority to “develop, manage and operate, alone or in co-operation with any person or organization, programs, services and facilities for the educational or cultural advancement of the people of Alberta” (Section 60(1)).</p> <p>Further, the Board of Governors “must consider the recommendations of the general faculties council, if any, on matters of academic import prior to providing for [...] any other activities the board considers necessary or advantageous” (Section 19(e)).</p> <p><b>2. Post-Secondary Learning Act (PSLA):</b> Section 26(1) states that, “[s]ubject to the authority of the board, a general faculties council is responsible for the academic affairs of the university and, without restricting the generality of the foregoing, has the authority to [...] (o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the university [...].”</p> <p>Further, the PSLA, states in Section 31(1) that “[t]he general faculties council has general supervision of student affairs at a university [...].”</p> <p><b>3. GFC Committee on the Learning Environment Terms of Reference (3. Mandate of the Committee)</b></p> <p>“The Committee on the Learning Environment is responsible for making recommendations concerning policy matters and action matters with respect to the following: [...] b) To review and, as necessary, recommend to the GFC Academic Planning Committee or the GFC Executive Committee policies on teaching, learning, teaching evaluation, and recognition for teaching that promote the University’s Academic Plan. [...] i) To consider any matter deemed by the GFC Committee on the Learning Environment to be within the purview of its general responsibility.”</p> <p><b>4. GFC Academic Planning Committee Terms of Reference (3. Mandate of the Committee)</b></p> <p>“The Academic Planning Committee (APC) is GFC’s senior committee dealing with academic, financial and planning issues. As such, it is not only responsible to GFC (or the Board) for the specific matters itemized below, but may also ask to consider or recommend to GFC on any academic issue, including: 1) those issues under the purview of other GFC committees, 2) any academic issue related to restructuring, 3) any research-related issue, or 4) issues linked to academic service units where those issues have a significant academic impact. In like manner, the President, Provost and Vice-President (academic) or other Vice-Presidents may refer any matter to APC for consideration or recommendation to GFC. APC is also responsible to GFC for promoting</p>



an optimal learning environment for students and excellence in teaching, research, and graduate studies. (GFC 29 SEP 2003)”

**5. GFC Executive Committee Terms of Reference (3. Mandate of the Committee)**

“5. Agendas of General Faculties Council

GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC Agenda, and the order in which those agenda items appear on each GFC agenda. [...]

When recommendations are forwarded to General Faculties Council from APC, the role of the Executive shall be to decide the order in which items should be considered by GFC. The Executive Committee is responsible for providing general advice to the Chair about proposals being forwarded from APC to GFC.”

**6. Board Learning and Discovery Committee Terms of Reference (3. Mandate of the Committee)**

“Except as provided in paragraph 4 hereof and in the Board’s General Committee Terms of Reference, the Committee shall, in accordance with the Committee’s responsibilities with powers granted under the Post-Secondary Learning Act, monitor, evaluate, advise and make decisions on behalf of the Board with respect to matters concerning the teaching and research affairs of the University, including proposals coming from the administration and from General Faculties Council (the “GFC”), and shall consider future educational expectations and challenges to be faced by the University. The Committee shall also include any other matter delegated to the Committee by the Board.

Without limiting the generality of the foregoing the Committee shall:

a. review and approve initiatives related to the overall academic mission and related plans and policies of the University; b. review, provide feedback and approve teaching and research policies[.] [...]”

**7. Board Human Resources and Compensation Committee (3. Mandate of the Committee)**

“Except as provided in paragraph 4 and in the Board’s General Committee Terms of Reference, the Committee shall monitor, evaluate, advise and make decisions on behalf of the Board with respect to, and the Board delegates to the Committee responsibility and authority for, all policies and procedures affecting staff working condition at the University and matters for collective bargaining and related service contracts. The Committee shall also consider any other matter delegated to the Committee by the Board.

Without limiting the generality of the foregoing the Committee shall:

(a) consider and propose changes in collective agreements and confirm the mandate for negotiating committees with all bargaining units;[...]

(g) review and approve material changes to personnel policies of the University that are outside the regular collective bargaining process and consider trends affecting such policies;”

**Routing** (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> <li>• Those who have been informed</li> <li>• Those who have been consulted</li> <li>• Those who are actively participating</li> </ul>	<p>The Agreement Review Committee (ARC) on Copyright Regulations has met regularly since 2010, and both parties have also had numerous internal meetings. The composition of the ARC's membership has changed significantly over time; the Vice-President (Research) has been a member from the beginning, as has Geoffrey Rockwell (Department of Philosophy). They have provided important continuity to the discussions over the past six years.</p> <p>During 2010, before detailed discussions began, a review of the copyright regulations of some of the University's peer institutions in Canada (McGill, UBC, University of Toronto) and the US (University of Wisconsin, University of Michigan, Penn State) was carried out. This provided important context for the discussion about possible changes to the University's copyright regulations.</p> <p>While significant work was done by email between meetings, the ARC met face to face on the following dates: December 20, 2010; February 16, 2011; February 28, 2011; April 1, 2011; April 26, 2011; December 19, 2011; February 14, 2012; October 26, 2012; May 14, 2013; June 19, 2013; October 28, 2013; September 5, 2014; October 17, 2014; and December 11, 2014. A significant portion of 2015 was taken up with finalizing the wording of the Copyright Regulations as well as drafting and finalizing a series of Frequently Asked Questions which will be posted on the AASUA website following the approval of the new Copyright Regulations. The Memorandum of Agreement (MOA) was signed on February 26, 2016.</p> <p>There will be a parallel approval process, involving both the AASUA membership as well as GFC/Board. The approval route noted below is for GFC/Board, which is the responsibility of administration.</p>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Committee on the Learning Environment (for recommendation) – April 6, 2016  GFC Academic Planning Committee (for recommendation) – April 20, 2016  GFC Executive Committee (for recommendation) – May 16, 2016  General Faculties Council (for recommendation) – May 30, 2016  Board Human Resources and Compensation Committee (for recommendation) – May 30, 2016  Board Learning and Discovery Committee (for recommendation) – June 2, 2016  Board of Governors (for approval) – June 17, 2016</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Attachments:

1. Memorandum of Agreement, signed by the AASUA and University administration on February 26, 2016 (27 pages)
2. Frequently Asked Questions Concerning the New Copyright Regulations, developed by the AASUA and University administration, dated March 5, 2016 (7 pages)

**MEMORANDUM OF AGREEMENT**

**Between:**

**THE ASSOCIATION OF ACADEMIC STAFF:  
UNIVERSITY OF ALBERTA**

**(The "AASUA")**

**- and -**

**THE GOVERNORS OF  
THE UNIVERSITY OF ALBERTA**

**(The "Board")**

**RE: COPYRIGHT**

**WHEREAS:**

The various collective agreements between the Board and the AASUA contain provisions under Article 10, ("Copyright") and Appendix B ("Copyright Regulations") that relate to copyright ownership, which together comprise the "Copyright Rules";

The parties signed a Memorandum of Understanding dated January 12, 2010 to establish an Agreement Review Committee (ARC) for the purpose of reviewing and recommending changes to the Copyright Rules;

The ARC has been established and has completed its work in accordance with the Memorandum of Understanding;

**THEREFORE** the ARC is recommending ratification of the following changes to the Copyright Rules appearing under each of the following agreements:

**1. FACULTY AGREEMENT**

**Article 10 is deleted in its entirety and replaced with the following:**

- 10.01 Pursuant to the *Post-Secondary Learning Act* (Alberta), unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.

- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix B.
- 10.04 Appendix B contains the detailed terms regarding Works created by a staff member.

**Appendix B is deleted in its entirety and replaced with the following;**

**Appendix B  
Copyright Regulations**

**1. Ownership**

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
  - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, including an agreement under Article 7.02.2 of the Agreement, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the

sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

## **2 University Licence**

### ***General Principles***

- 2.1 Subject to 2.2 to 2.9 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act* (Alberta).
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

### ***Limited Exception – Works Created to Fulfill Assigned Course Responsibilities***

- 2.6 Except in the cases described in 2.7 to 2.9 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 7.02.1 and 7.03.1 of the Agreement.

- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

### **3. Computer Programs and the University Patent Policy**

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

### **4. Conflict of Interest and Conflict of Commitment**

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

### **5. Collaborative Works**

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;

- (b) a written agreement between the University and another organization; or
- (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

## **6. Guidelines**

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

## **2. FACULTY SERVICE OFFICER AGREEMENT**

**Article 10 is deleted in its entirety and replaced with the following:**

- 10.01 Pursuant to the *Post-Secondary Learning Act (Alberta)*, unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix B.
- 10.04 Appendix B contains the detailed terms regarding Works created by a staff member.

**Appendix B is deleted in its entirety and replaced with the following;**

### **Appendix B Copyright Regulations**

#### **1. Ownership**

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, 3.1, 5.1, and 5.2 of this Appendix.

- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, “Work” or “Works” means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers’ performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator’s right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
  - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University’s arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

## **2 University Licence**

### ***General Principles***



- 2.1 Subject to 2.2 to 2.9 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdatedness, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

***Limited Exception – Works Created to Fulfill Assigned Course Responsibilities***

- 2.6 Except in the cases described in 2.7 to 2.9 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 7.01 and 7.02 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

**3. Computer Programs and the University Patent Policy**

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

**4. Conflict of Interest and Conflict of Commitment**

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

## **5. Collaborative Works**

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
  - (b) a written agreement between the University and another organization; or
  - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

## **6. Guidelines**

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

## **3. LIBRARIAN AGREEMENT**

**Article 10 is deleted in its entirety and replaced with the following:**

- 10.01 Pursuant to the *Post-Secondary Learning Act* (Alberta), unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix B.
- 10.04 Appendix B contains the detailed terms regarding Works created by a staff member.

**Appendix B is deleted in its entirety and replaced with the following;**

**Appendix B  
Copyright Regulations**

**1. Ownership**

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act* (Canada), whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act* (Canada).
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
  - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.

- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

## **2 University Licence**

### ***General Principles***

- 2.1 Subject to 2.2 to 2.9 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act* (Alberta).
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdatedness, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

### ***Limited Exception – Works Created to Fulfill Assigned Course Responsibilities***

- 2.6 Except in the cases described in 2.7 to 2.9 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 7.01.1, 7.01.2, 7.02.2 and 7.03 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

### **3. Computer Programs and the University Patent Policy**

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

### **4. Conflict of Interest and Conflict of Commitment**

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

### **5. Collaborative Works**

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign

copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.

- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
  - (b) a written agreement between the University and another organization; or
  - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

#### **6. Guidelines**

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

### **4. ADMINISTRATIVE AND PROFESSIONAL OFFICER AGREEMENT**

**Article 10 is deleted in its entirety and replaced with the following:**

- 10.01 Pursuant to the *Post-Secondary Learning Act* (Alberta), unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix B.
- 10.04 Appendix B contains the detailed terms regarding Works created by a staff member.

**Appendix B is deleted in its entirety and replaced with the following;**

#### **Appendix B Copyright Regulations**

## **1. Ownership**

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
  - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the

third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

## **2 University Licence**

### ***General Principles***

- 2.1 Subject to 2.2 to 2.9 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

### ***Limited Exception – Works Created to Fulfill Assigned Course Responsibilities***

- 2.6 Except in the cases described in 2.7 to 2.9 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 8.02 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.



### **3. Computer Programs and the University Patent Policy**

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

### **4. Conflict of Interest and Conflict of Commitment**

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

### **5. Collaborative Works**

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
  - (b) a written agreement between the University and another organization; or
  - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

### **6. Guidelines**

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

## 5. CONTRACT ACADEMIC STAFF: TEACHING AGREEMENT

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act (Alberta)*, unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix E.
- 10.04 Appendix E contains the detailed terms regarding Works created by a staff member.

Appendix E is deleted in its entirety and replaced with the following:

### Appendix E Copyright Regulations

#### 1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work

(a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or

(b) for the purposes of a committee or group of a Department, Faculty, or the University;

then the University owns copyright in the Work.

1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.

1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

## **2 University Licence**

### ***General Principles***

2.1 Subject to 2.2 to 2.10 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.

2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.

2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to

cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.

- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdating, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

***Limited Exception – Works Created to Fulfill Assigned Course Responsibilities***

- 2.6 Except in the cases described in 2.7 to 2.10 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 8.01 and 8.03 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.
- 2.10 If a staff member is assigned course responsibilities under Article 8.03 of the Agreement that entail the preparation of course materials for use in multiple courses or courses taught in multiple sections, the licence contemplated by 2.1 applies to those materials for a term of three (3) years from the date that the materials are last revised by the staff member and it shall not be an interference in the creator's moral rights for the University to modify the course materials as required for the purpose of keeping them current.

**3. Computer Programs and the University Patent Policy**

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

**4. Conflict of Interest and Conflict of Commitment**

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns

copyright remain subject to the University's conflict of interest and conflict of commitment policies.

## **5. Collaborative Works**

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
  - (b) a written agreement between the University and another organization; or
  - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

## **6. Guidelines**

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

## **6. TRUST/RESEARCH ACADEMIC STAFF**

**Article 10 is deleted in its entirety and replaced with the following:**

- 10.01 Pursuant to the *Post-Secondary Learning Act* (Alberta), unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be

made available to the public under conditions, on payment of fees or royalties, as the University may determine.

- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix F.
- 10.04 Appendix F contains the detailed terms regarding Works created by a staff member.

**Appendix F is deleted in its entirety and replaced with the following;**

### **Appendix F Copyright Regulations**

#### **1. Ownership**

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
  - (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
  - (b) for the purposes of a committee or group of a Department, Faculty, or the University;then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.

- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

## **2 University Licence**

### ***General Principles***

- 2.1 Subject to 2.2 to 2.10 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

### ***Limited Exception – Works Created to Fulfill Assigned Course Responsibilities***

- 2.6 Except in the cases described in 2.7 to 2.10 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 7.01, 7.03 and 7.05 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.
- 2.10 If a staff member is assigned course responsibilities under Article 7.03 of the Agreement that entail the preparation of course materials for use in multiple courses or courses taught in multiple sections, the licence contemplated by 2.1 applies to those materials and it shall not be an interference in the creator's moral rights for the University to modify the course materials as required for the purpose of keeping them current.

### **3. Computer Programs and the University Patent Policy**

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

### **4. Conflict of Interest and Conflict of Commitment**

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

### **5. Collaborative Works**

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the



case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.

- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
  - (b) a written agreement between the University and another organization; or
  - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

## **6. Guidelines**

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

## **7. SESSIONALS AND OTHER TEMPORARY STAFF**

**Article 10 is deleted in its entirety and replaced with the following:**

- 10.01 Pursuant to the *Post-Secondary Learning Act (Alberta)*, unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix E.
- 10.04 Appendix E contains the detailed terms regarding Works created by a staff member.

**Appendix E is deleted in its entirety and replaced with the following;**

### **Appendix E**

## Copyright Regulations

### 1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
  - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff

member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

## **2 University Licence**

### ***General Principles***

- 2.1 Subject to 2.2 to 2.10 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdatedness, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

### ***Limited Exception – Works Created to Fulfill Assigned Course Responsibilities***

- 2.6 Except in the cases described in 2.7 to 2.10 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 8.01 and 8.03 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

- 2.10 If a staff member is assigned course responsibilities under Article 8.03 of the Agreement that entail the preparation of course materials for use in multiple courses or courses taught in multiple sections, the licence contemplated by 2.1 applies to those materials and it shall not be an interference in the creator's moral rights for the University to modify the course materials as required for the purpose of keeping them current.

### **3. Computer Programs and the University Patent Policy**

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

### **4. Conflict of Interest and Conflict of Commitment**

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

### **5. Collaborative Works**

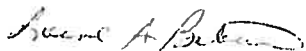
- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
  - (b) a written agreement between the University and another organization; or
  - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

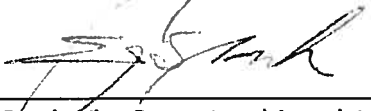
**6. Guidelines**

6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.


Signed this 26 day of FEBRUARY, 2016

On behalf of the Governors  
of the University of Alberta:

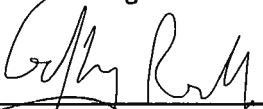
  
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Lorne Babiuk, Vice-President (Research)

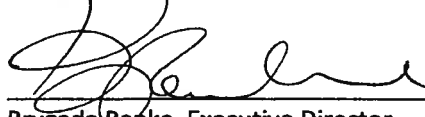
  
\_\_\_\_\_  
Jay Spark, Vice-Provost and Associate  
Vice-President (Human Resources)

On behalf of the Association of the Academic  
Staff of the University of Alberta:

  
\_\_\_\_\_  
Heather Bruce, President

  
\_\_\_\_\_  
Denise Koufogiannakis

  
\_\_\_\_\_  
Geoffrey Rockwell

  
\_\_\_\_\_  
Brygeda Renke, Executive Director

## **Frequently Asked Questions Concerning the New Copyright Regulations**

**Please Note: These FAQs are for the information of academic staff members, and shall not be used by any party in any dispute over the interpretation of the Regulations.**

### **1. What prompted the creation of the Agreement Review Committee (ARC) and the drafting of the new Copyright Regulations?**

When the Association of Academic Staff negotiated the patent policy with the Board of Governors, it was recognized that the collective agreement provisions regarding copyright needed substantial revision. Under the Post-secondary Learning Act of Alberta, whatever rights staff have as individuals to their creative work is governed by the collective agreements between the AASUA and the Board. As was seen at the time of the patent review, the current language is quite opaque and in need of revision. Recognizing the need for change, the Board and AASUA agreed to form an “Agreement Review Committee” that would examine provisions of our collective agreements regarding copyright, and to review two aspects of intellectual property: copyright and the emerging issue of intellectual property that is not covered by patent or copyright practices. The membership of this ARC has changed over time, but both the Board and the AASUA are pleased to bring forward new Copyright Regulations.

### **2. Why did this process take so long?**

Due to the membership of the ARC and various members going on sabbatical leave or unable to serve on the ARC due to their work responsibilities, it was difficult to schedule meetings. It also took time to deliberate on the issues and to write language that was agreeable to both sides.

### **3. What are the key principles underlying the new Copyright Regulations?**

First, the idea was to replace confusing and out of date language in the academic staff collective agreements with language that would provide academic staff and the Board with clear guidance on the subject.

Second, the idea was to replace language asserting that the Board owns the copyright of staff works in Article 10 with language starting with the principle that staff own the copyright to their work, with some exceptions, discussed below.

Third, we wanted to add protections to ensure that the Board would have a license to use the work of staff to do its core business in certain circumstances.

Fourth, we settled on the principle benefiting both parties that in cases where the University needed ongoing access to copyrighted materials, a non-exclusive license would allow staff to do what they wanted with materials they created even if they leave the University, while still allowing the University to continue to use key materials for specific purposes.

**4. If we didn't have a collective agreement, who would own copyright in works produced by academic staff in the course of their duties?**

In the absence of provisions within a collective agreement, the Board of Governors – not academic staff - would own the copyright to Works that “result from” or “are connected with”, staff members’ duties or employment. Section 68 of the *Post-Secondary Learning Act* provides as follows:

68(1) Unless otherwise agreed to by the board, **the ownership of any invention, work, information or material, regardless of form, including any patent, copyright, technological or industrial design process or trademark acquired or produced by an officer of the post-secondary institution or an employee of the board that results from or is connected with the officer's or employee's duties or employment vests in the board** and may be made available to the public under conditions, on payment of fees or royalties or otherwise, as the board may determine.

(2) The board may compensate a person described in subsection (1).

(3) The board may enter into an agreement with a person to whom the board has provided or proposes to provide facilities, equipment or financial aid providing for the respective rights, obligations and liabilities of the board and the person with respect to the ownership of any invention, work, information or material, regardless of form, including any patent, copyright, technological or industrial design process or trademark acquired or produced by the person while engaged in a project funded in whole or in part by the board.

**5. To what creative products do the Copyright Regulations apply? What counts as a “Work”?**

For the purposes of the Copyright Regulations, a Work is any creative product respecting which copyright is recognized under the *Copyright Act*. Very generally, copyright applies to original literary, dramatic, musical or artistic works – regardless of format or technology of presentation (digital movies as much as handwritten plays). Copyright also applies (for example) to “performers’ performances,” which would include lectures.

The Regulations would also apply, for example, to online course products, such as “MOOCs”. Keep in mind, though, that these sorts of projects can be expensive and involve many parties. It would be very likely that intellectual property rights will be dealt with by the contract(s) that establish the project (see 1.5, 5). If a staff member chooses to enter into these sorts of contracts, the terms of the contracts shall govern copyright ownership.

The Copyright Regulations do not apply to creative products that are not governed by the *Copyright Act*, such as inventions that fall under the Patent Policy, industrial designs, or trademarks.

## **6. What are the main elements of the Copyright Regulations?**

Basic rule – paragraph 1.1: a staff member who creates a Work resulting from or connected with the staff member’s duties or employment **owns copyright in the work, with some exceptions discussed below.**

At the same time, Works are licensed to the University – paragraph 2.1: the University is entitled to a licence (details about this below) to a Work referred to in paragraph 1.1, for all purposes within the University’s approved mandate under the PSLA.

**Exceptions** to the University’s licence are referred to in paragraphs 2.1 – 2.6: the licence does **not** apply to any Work created by a staff member “to fulfill assigned course responsibilities” (details about this below – the point: no paragraph 2.1 licence to teaching materials).

Despite those exceptions, and in specified circumstances, the University has limited rights to use even materials described in paragraphs 2.6 – 2.8, 2.9 (and paragraph 2.10 for some categories of Academic staff): e.g., if a staff member is unavailable or unable to deliver all or part of a course duly assigned to the staff member (the University’s rights will be only for the duration of the course for that academic year)

## **7. Are there any situations in which an academic staff member would not own copyright in a Work that he or she produced in connection with employment duties?**

There are situations in which a staff member would not own copyright in a Work produced in connection with job responsibilities.

Under paragraph 1.4, a staff member would not have copyright in Work produced – generally – for administrative purposes. While 1.4 provides some context, guidance may also be provided by the “frequently asked questions” that will be prepared.

Paragraph 1.5 recognizes that a staff member may create a Work pursuant to a written agreement – he or she may be hired by the University to produce some creative product. Intellectual property rights respecting that creative product will be addressed in the agreement.

Paragraph 1.6 recognizes that some types of research funding have provisions respecting intellectual property ownership – a condition of receiving the funding is complying with the intellectual property aspects of the arrangement. It may be that under the terms of a funding arrangement, the funder is to hold copyright in works produced with the research funding. The University, as intermediary between the researcher and the funder, may “obtain from the staff member an assignment or licence of the copyright as necessary to fulfill [the University’s] obligations to the sponsor under the sponsored research funding agreement.”

Paragraph 1.7 recognizes that a staff member may – e.g., during a secondment – create Works pursuant to a contract between the University and a third party. In these cases, copyright ownership and licensing are governed by such agreements.



## **8. Do the Copyright Regulations recognize “moral rights”?**

Yes. “Moral rights,” generally, are rights to claim authorship, to remain anonymous, or to use a pseudonym; the right of integrity (the right to resist distortion or modification of a work that is prejudicial to the honour or reputation of the creator); and the right of association (the right to resist the use of a work in association with a product, service, cause, or institution, if such use would be prejudicial to the honour or reputation of the creator).

Moral rights are recognized in paragraph 1.3.

Additionally, paragraph 2.5 describes an academic type of moral right: A staff member who reasonably believes that his or her Work is unsatisfactory for a proposed use because it is outdated, it is incomplete, its use would have a negative effect on the professional reputation of the staff member, or there are “other academic grounds” to oppose its use, “may amend the Work or require that its use be withheld. This right is an express limitation to the University’s paragraph 2.1 licence.

## **9. What is the nature of the University’s licence to use Works created by academic staff, referred to in paragraph 2.1?**

The licence is

- (a) “immediate” – it comes into existence when the Work comes into existence; no (e.g.) written licence agreement is necessary;
- (b) “non-exclusive” – the staff member may grant licences to use the Work to others;
- (c) “royalty free” – the staff member is not paid royalties for the University’s use of the Work (this is because – the Work having been created in the course of employment duties – the University has supported its production financially);
- (d) “non-transferrable” – the University cannot transfer its licence to a third party (e.g. some sort of third party educational services provider); and
- (e) “irrevocable” – the staff member can’t unilaterally cancel the licence.

The licence is a right or permission to use the Work “for all purposes within the University’s approved mandate” under the PSLA. Paragraph 2.2 provides some examples of these purposes.

Paragraph 2.4 recognizes that a staff member may agree to grant additional licence rights to the University.

**10. What if, as a condition of publication, a publisher requires the assignment of copyright from the creator?**

Under paragraph 2.3, if a publisher requires the assignment of copyright to the publisher as a condition of publishing, then the staff member has no copyright to licence to the University. The paragraph 2.1 licence, then, does not arise. The staff member is required to make “best efforts” to have a licence analogous to the paragraph 2.1 licence extended to the University. Best efforts is assessed within the context of the situation. It requires doing that which is known to be usual, necessary and proper in attempting to secure the objective.

**11. Are there any Works – besides those referred to in paragraph 2.3 – respecting which the University does not have a paragraph 2.1 licence?**

Yes. Generally, paragraph 2.6 excludes teaching materials from the paragraph 2.1 licence, with certain exceptions (see question 13).

**12. But are there any circumstances in which the University could have a licence even to teaching materials?**

Yes, in defined circumstances:

(a) Under paragraph 2.7, the paragraph 2.1 licence extends to course outlines – but only concerning those elements of a course outline that set out information required by GFC Policy (that is, the paragraph 2.7 exception does **not** capture a full syllabus or course readings and topics).

(b) Under paragraph 2.8, if a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use that staff member’s teaching materials to complete the delivery of the course. This clause would apply, for example, if a staff member died, became ill, or quit – the University would be under an obligation to registered students to finish the course, and the staff member’s materials could be used to do so. The paragraph 2.8 licence is good for the duration of the academic year in question only. Note that it only applies if a course has been “duly assigned.” The University could not – for example – use an instructor’s materials to deliver a course without having first assigned that instructor to that course.

(c) Under paragraph 2.9, “[t]he University may use a Work described in paragraph 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.”

**13. What does paragraph 3.1 – which deals with computer programs – mean?**

Human generated computer code (software), which gives rise to computer programs, are copyright-protected. In some cases, however, the integration of software in inventions may be protected under patent rules. Hence, not only copyright but patent rules may apply “to software

that is patentable intellectual property.” If a computer program is not patentable it remains protected by copyright law only.

**14. What if a staff member uses his or her copyright-protected works to provide educational services for a competitor University?**

The Copyright Regulations deal with copyright ownership. Use of copyright protected materials is still subject to the collective agreements, University policies and procedures, and the general law. The point of paragraph 4.1 is that staff members’ use of copyright protected works is subject to the University’s conflict of commitment and conflict of interest policy.

**15. What happens if a Work is created through the efforts of University personnel, (e.g.) a grad supervisor and a student, or an academic staff member and a non-academic staff member?**

Paragraph 5.1 acknowledges that Works created collaboratively” present special challenges regarding copyright.” Paragraph 5.2 - if the creators are University personnel, the relevant provisions of policies, procedures and collective agreements (including the Copyright Regulations) will apply. Paragraph 5.3 - if a written agreement is in place with third parties, then that agreement will apply, or the general law in the absence of such an agreement. Given the challenges, potential collaborators should consider copyright ownership issues as soon as possible and consider entering a written agreement to deal with ownership issues before starting the collaboration.

**16. How do the Copyright Regulations govern staff members’ intellectual property rights with third parties?**

The Copyright Regulations govern the relationship between staff members as employees, and the Board as their employer, under the collective agreements. Ownership of Works created by staff with or for publishers, external collaborators, funders, and (e.g.) the Tri-Council is determined by a combination of the terms of the Copyright Regulations and the terms of the agreements with those third parties (see paragraphs 1.6, 1.7 and 5.3).

It is important to note that copyright law is not the only area of law that applies to copyrighted Works. For example, the law of defamation) also applies to uses of copyrighted Works.

**17. Who do I contact if I have questions about my rights in a copyrighted work?**

The AASUA should be your first point of contact, and is available to assist its members in discussions with University representatives on questions which may arise relating to rights to a copyrighted work.

**18. Why is paragraph 2.10 included in the CAS:T, SOTS and TRAS agreements only?**

It was recognized that in certain circumstances the University needs to be able to assign to these categories of staff members the creation of “multi-course” or “multi-section” materials, with the

University obtaining a license to use such materials in the future. The more temporary nature of appointments under these agreements means the University needs to ensure it has the right to continue to use such materials past the end date of a staff member's appointment.

**19. Why does the CAS:T agreement make reference to the length of the license back to the University?**

Since CAS:T representatives on AASUA Council felt that limiting the duration that the University could use their material for continuing teaching was important, the University agreed to their request to limit the length of the license to three years.

5 March 2016

**OUTLINE OF ISSUE**

Agenda Title: **Proposal to Establish a Department of Critical Care Medicine and the Concurrent Termination of the Division of Critical Care Medicine, Faculty of Medicine and Dentistry**

**Motion:** THAT the Board Learning and Discovery Committee, on the recommendation of General Faculties Council, approve the establishment of a Department of Critical Care Medicine, as submitted by the Faculty of Medicine and Dentistry and as set forth in Attachment 1, and the concurrent termination of the Division of Critical Care Medicine, to take effect July 1, 2016.

*Note: General Faculties Council will be considering this item at its meeting on May 30.*

**Item**

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Richard Fedorak, Interim Dean, Faculty of Medicine and Dentistry
Presenters	Steven Dew, Provost and Vice-President (Academic) Richard Fedorak, Interim Dean, Faculty of Medicine and Dentistry
Subject	Proposed Establishment of a Department of Critical Care Medicine

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To transform the existing free standing Division of Critical Care Medicine into a Department of Critical Care Medicine. The Division currently operates much like a Department, with a director who sits on the Faculty Evaluation Committee (for evaluation of its own members) and on the Faculty's Chairs Committee. The Division has the responsibility for managing its own budget and teaching plan. We also recommend the current division director become chair of the department.
The Impact of the Proposal is	To strengthen the academic mission of the FOMD by removing organizational barriers to the further development of the academic critical care medicine. A resource-neutral move that both formalizes the <i>status quo</i> and allows the unit to respond to scholarly developments in the academic field. It will also enhance recruitment and retention to compete against other Departments of Critical Care in the country. It will also create effective governance structures without requiring additional costs.
Replaces/Revises (eg, policies, resolutions)	The department will replace the free standing Division of Critical Care Medicine.
Timeline/Implementation Date	July 1, 2016
Estimated Cost	Cost neutral
Sources of Funding	N/A
Notes	When this matter was considered by the GFC Academic Planning Committee, the committee requested that further details on library impact, organizational structure and budget be included for the consideration of General Faculties Council.

**Alignment/Compliance**

Alignment with Guiding Documents	Institutional values (2015 Comprehensive Institutional Plan)  "Our values: The U of A community of students, faculty, staff, and alumni rely on shared, deeply held values that guide behaviour and actions. These values are drawn from the principles on which the University of
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	<p>Alberta was founded in 1908 and reflect a dynamic, modern institution of higher learning, leading change nationally and internationally.</p> <p>Excellence: Excellence in teaching that promotes learning; outstanding research and creative activity that fuel discovery and advance knowledge; and enlightened service that builds citizenship.</p> <p>Student Experience: The centrality of our students and our responsibility to provide an intellectually superior educational environment.</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>1. <b>Post-Secondary Learning Act (PSLA):</b> The <i>PSLA</i> gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs (Section 26(1)). Section 26(1)(o) provides that GFC may make recommendations to the Board of Governors on a number of matters including the budget and academic planning; Section 26(1)(l) provides that GFC may make recommendations to the Board of Governors on the establishment of Faculties, Schools, Departments, Chairs, and programs of study in the University in any subject that GFC thinks fits.</p> <p>2. <b>GFC Academic Planning Committee (APC) Terms of Reference/3. Mandate of the Committee:</b></p> <p>“APC is responsible for making recommendations to GFC and/or to the Board of Governors concerning policy matters and action matters with respect to the following: [...]”</p> <p>2. <b>Units</b></p> <p>a. Subject to Article 32 of the Faculty Agreement, to recommend to GFC on the establishment and termination of Faculties, Departments, Schools and divisions, and on mergers involving Faculties, Departments or Schools. (Divisions are defined as academic units with authority over student programs. They may be budgetary units and may or may not be part of an existing Department.)”</p> <p>3. <b>Board Learning and Discovery Committee (BLDC) Terms of Reference:</b></p> <p>“3. <b>MANDATE OF THE COMMITTEE</b></p> <p>Except as provided in paragraph 4 hereof and in the Board’s General Committee Terms of Reference, the Committee shall, in accordance with the Committee’s responsibilities with powers granted under the <i>Post-Secondary Learning Act</i>, monitor, evaluate, advise and make decisions on behalf of the Board with respect to matters concerning the teaching and research affairs of the University, including proposals coming from the administration and from General Faculties Council (the “GFC”), and shall consider future educational expectations and challenges to be faced by the University. The Committee shall also include any other matter delegated to the Committee by the Board.</p> <p>Without limiting the generality of the foregoing the Committee shall:</p>

Item No. 7

	<p>[...] l. review proposals and recommendations of GFC concerning the establishment, continuation and re-organization of faculties, schools, departments and make recommendations to the Board in respect thereof[.] [...]</p> <p>4. LIMITATIONS ON DELEGATION BY THE BOARD</p> <p>This general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 3, the Board shall make all decisions with respect to:</p> <p>a. the establishment, continuation, reorganization or abolition of faculties, schools and departments”</p>
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**Routing** (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> <li>• Those who have been informed</li> <li>• Those who have been consulted</li> <li>• Those who are actively participating</li> </ul>	<p>Chairs Committee, Faculty of Medicine and Dentistry, October 14, 2015 (For Consultation) Brygeda Renke , AASUA , January 25, 2016 (For Consultation)</p>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Faculty Council Medicine and Dentistry - November 17, 2015 GFC Academic Planning Committee - March 23, 2016 GFC Executive Committee – April 11, 2016 General Faculties Council - May 30, 2016 Board Learning and Discovery Committee - June 2, 2016 Board of Governors – June 17, 2016</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Attachments:

1. Briefing Note Academic Department of Critical Care (29 pages)
2. Chairs Presentation Critical Care Medicine (slides 1 – 21) (4 pages)
3. Recommendation of the Interim Dean, Dr. Richard Fedorak (3 pages)
4. DCCM Transition Brief Executive Summary (2 pages)
5. Letter of Support from Dr. Shelley Duggan (1 page)
6. Letter of Support from Dr. Jonathan Davidow (1 page)
7. Letter of Support from Dr. Michael Murphy (2 pages)
8. Library Impact Statement (not available at time of posting)
9. DCCM Organizational Structure (1 page)
10. DCCM Budget Projections 2016-17 (1 page)

Prepared by: Dr. Richard Fedorak, Interim Dean, [richard.fedorak@ualberta.ca](mailto:richard.fedorak@ualberta.ca)  
with assistance from Valerie Gaul, Executive Assistant to Dr. Fedorak,  
[valerie.gaul@ualberta.ca](mailto:valerie.gaul@ualberta.ca)

# Attachment 1



## **Briefing Note**

**Title:** Proposal for the establishment of an Academic Department of Critical Care Medicine in the Faculty of Medicine and Dentistry

**Date:** May 26, 2015

**Version:** 3.0

**Prepared for:** Richard N Fedorak, MD, FRCPC, FRCP (London), FRSC  
Interim Dean, Faculty of Medicine and Dentistry, University of Alberta

**Prepared by:** David Zygun  
Noel Gibney



## Executive Summary

### **Goals**

To strengthen the academic mission of the FoMD by removing organizational barriers to the further development of the academic critical care medicine.

Ensure the FoMD at the University of Alberta is competitive nationally and internationally in the field of academic critical care medicine by removing barriers to academic recruitment.

Acknowledge the progression of and increasing importance of academic critical care medicine as a distinct specialty within the health care system and align with organizational structure of health services organization such as Alberta Health Services who are, and will remain, major funders of academic critical care medicine.

To remove discrepancies in representation for both primary and secondarily appointed critical care medicine Faculty in important FoMD processes and committees such as FEC.

**Background** Critical Care Medicine is a rapidly developing and expanding discipline, which impacts almost every other area of healthcare. Critical Care Medicine now embodies a unique body of knowledge of the epidemiology, assessment, treatment and outcomes of critical illness and multiple organ failure and represents a significant and growing component of the provision and cost of hospitalized medicine.

The Division of Critical Care Medicine (DCCM) is one of the largest integrated academic and clinical units in Canada with 50 members, of whom 36 have their primary academic appointment in the DCCM (see appendix 1). The other 14 with primary appointments in other parent disciplines are valued members who provide full clinical and academic support to Critical Care. The DCCM has 7 primarily appointed GFT/Special Continuing Status (SCS) Faculty members and 6 GFT members secondarily appointed to Critical Care (individuals are not primarily appointed to critical care due to various financial and clinical issues). With these 13 members, the DCCM is larger than 7 Departments in the FoMD based on data provided in 2014. The Division was successful in recruiting 2 additional special continuing status Faculty this year to join the FoMD in 2015 and 2016. Further, two internal clinical academic colleagues have been recruited to become SCS Faculty members. Finally, the Division has a translational anaesthesiology based Intensivist researcher entering the Clinical Investigator Program and will join Faculty in 2018. This will mean the proposed Academic Department will have 16 members by 2018. The DCCM expects retirement of two clinical academic colleague (CAC) members by 2018. With Departmental status, these positions will be dedicated to academic Faculty. As such, there is potential for 18 GFT/SCS members by 2018.

Research activity within the DCCM has shown remarkable growth in the last 3 years. During this period, up to 2007, the majority of research within the DCCM was performed by the extensive effort of two Faculty members. Since 2007, recruitment of clinician scientists has led to substantial increases in academic productivity with close to 100 publications per year and over a \$1.4 annual grant funding. Academic Intensivists

have supported the growth of our educational program with extensive teaching efforts and financial support. The development of international research and clinical fellowships will further enhance the reputation of the FoMD externally.

**Conclusions** The transition of the current stand-alone Division of Critical Care Medicine to academic Department within FoMD will align the University of Alberta with progression of the academic specialty nationally and internationally, remove barriers to recruitment, remove internal discrepancies for Faculty appointed to critical care medicine, and facilitate the academic mission of the FoMD at the University of Alberta.

## **Purpose**

The purpose of the transition of the Division of Critical Care Medicine to an Academic Department is four fold:

1. Strengthen the academic mission of the FoMD by removing organizational barriers to the further development of the academic critical care medicine
2. Ensure the FoMD at the University of Alberta is competitive nationally and internationally in the field of academic critical care medicine by removing barriers to academic recruitment
3. Acknowledge the progression of and increasing importance of academic critical care medicine as a distinct specialty within the health care system and align with organizational structure of health services organization such as Alberta Health Services who are, and will remain, major funders of academic critical care medicine
4. To remove discrepancies in representation for both primary and secondarily appointed critical care medicine Faculty in important FoMD processes and committees such as FEC

## **Background**

### *History of Critical Care Medicine*

The first post-operative neurosurgery recovery room was created at Johns Hopkins Hospital in the 1920's. During World War II, shock wards were established to resuscitate and care for soldiers injured in battle or undergoing surgery. Critical Care Medicine with the application of life support technology evolved from the response to a poliomyelitis epidemic in Copenhagen 60 years ago where the concept of positive pressure mechanical ventilation was developed and shown to improve patient survival. This demonstrated the potential to employ specialized skills originally developed by anaesthetists to support patients in the operating room, to provide life-sustaining support for patients with respiratory failure. Subsequently, cardiology demonstrated the value of coronary care units to improve the care of patients following acute myocardial infarction. The fledgling specialty of Critical Care Medicine grasped and integrated the rapidly developing technologies of patient monitoring and life support to improve the care of critically ill patients with multiple organ failure from a myriad of causes, while the dedicated intensivist, rather than multiple consulting specialists, coordinated patient care.

### *Unique Body of Knowledge*

Critical Care Medicine now embodies a unique body of knowledge of the epidemiology, assessment, treatment and outcomes of critical illness and multiple organ failure. Premier international medical journals such as the New England Journal of Medicine, Journal of the American Medical Association (JAMA), The Lancet and the British Medical Journal maintain separate collections of articles dedicated to the care of the critically ill patient. There is now a significant number of international and national subspecialty journals entirely devoted to Critical Care Medicine, including some on more specialized

aspects of Critical Care Medicine, including neurocritical care, cardiovascular critical care, respiratory critical care, trauma and burn critical care, pediatric critical care, and critical care nursing. Critical Care Medicine long since evolved from a subspecialty of anesthesia concerned primarily with external means of ventilation to a distinct area of expertise, which through advances and innovation in research, has generated a unique body of knowledge focused on advanced life support technologies related to the support and treatment of critically ill patients characterized by multiple organ dysfunction and failure. There is ongoing work in the areas of advanced monitoring, clinical engineering, and translational medicine including work with biomarkers, genomics and metabolomics to enable us to better understand and treat a broad spectrum of critical illnesses in the future. Critical Care Medicine is a leader in the field of severe infectious disease and pandemic response.

#### *Critical Care Medicine in Canada and at the University of Alberta*

The first multisystem critical care units in Canada were developed in the late 1960's in Toronto, Edmonton and Winnipeg. A fellowship program in Critical Care Medicine developed in Edmonton by Dr. E.G. King in 1970, was one of the first of its kind and trained physicians from Canada and beyond, many of whom went on to develop critical care programs elsewhere in this country and around the world. Initially, Critical Care Medicine resided within Dr. King's academic home, the Division of Pulmonary Medicine. However, over time, it became clear that Critical Care Medicine had practitioners who had varied backgrounds in Anesthesia, Surgery, Emergency Medicine and other medical specialties.

In 1985, the Division of Critical Care Medicine was established under Dr. King as an Interdepartmental Division of the Faculty with the Divisional Director reporting jointly to the Dean and the Chairs of Medicine, Surgery and Anesthesia and attended with the chairs at the monthly meetings of the Dean with the Chairs. In 1987, Dr. Tom Noseworthy succeeded Dr. King as DCCM director and was followed by Dr. Richard Johnston in 1991.

In the mid 1980s, Dr. King and Dr. Tom Noseworthy were instrumental in the development of the Critical Care Medicine training programs of the Royal College of Physicians and Surgeons of Canada (RCPSC). In 1989, the University of Alberta Critical Care Residency Program was one of the first to be accredited by the Royal College of Physicians and Surgeons of Canada under its certification without examination program. Dr. Dat Chin has been a member of the Critical Care Medicine Nucleus Committee for many years and has had significant influence in the evolution of the specialty at the College. In 2006 the Royal College of Physicians and Surgeons of Canada commenced examination for FRCP(C) certification in Critical Care Medicine.

In 1995, following the regionalization of healthcare in Alberta, Capital Health included Critical Care as one of its Clinical Departments, allowing the Regional Program Clinical Director to control intensivist credentialing and provision of clinical privileges. Up to that point in time, credentialing had been the responsibility of the Chairs of Medicine, Surgery and Anesthesia. In 2000, the Regional Program Clinical Director for Critical Care,

Dr. Noel Gibney, was appointed as acting Divisional Director and subsequently, in 2002 was appointed as Divisional Director. This allowed the academic Division and the clinical Department to merge their vision, mission and goals. At this time, it was agreed within the Faculty of Medicine and Dentistry that it should be possible for faculty members to hold a primary appointment in the DCCM and secondary appointments, if desired, in other departments. This was important for intensivists to receive full credit for academic activities in critical care, which, prior to that time, were not always perceived to be fully valued by the traditional base specialties. The ability of academic intensivists to practice and function fully within the DCCM has been a major advance and has significantly facilitated the development of an active research program within the Division.

In 2012, Alberta Health Services created Strategic Clinical Networks (SCNs). Aligned with the Departmental structure of the health care system, critical care was one of the initial specialties to be recognized with network foundation. The goals of the SCNs include: to build a community of research support for the SCN from bench to bedside to community and back again, to establish and facilitate a provincial research network that attracts external funding and is doing research projects of relevance to the SCN, establish the process that ensures the right research is being conducted in a timely manner (sets research priorities and attracts adequate financial and infrastructure support to achieve those priorities with partners) and to collaborate with the AHN and other academic partners to identify interested researchers and link them to appropriate front-line teams to embed research and knowledge translation within the health care system. Major health services research competitions have been created for SCNs by Alberta Innovates: Health Solutions who is supported by Alberta Health to address the needs of Albertans within the health care system. These grants are only available within the network structure and are known as Partnerships for Research and Innovation in the Health System (PRIHS). Critical care investigators have been highly successful in the first two competitions.

#### *Critical Care Medicine in Edmonton*

The sickest and most unstable patients are cared for in our critical care units where highly trained inter-disciplinary teams and advanced life support technology and monitoring equipment are centralized. In addition to this premise, the traditional notion of caring for the critically ill patient within a dedicated location in the hospital has evolved and now integrated the concept of an “ICU without walls” where necessary expertise and support is taken to patients developing critical illness and at-risk for adverse outcomes. Consequently, outreach services are now recognized as a vital component of Critical Care.

Critical Care Units fulfill a number of vital functions within hospitals:

- Life-support of the devastatingly ill patient who would likely die without such care.

- Post-operative life-support of otherwise stable patients after major surgical procedures such as solid organ transplantation, major cancer resections, neurosurgical procedures and complex cardiac and vascular procedures.
- Peri-operative support of the previously ill patient after surgery.
- End-of-life management of the patient originally admitted with potentially reversible illness whose illness is now clearly fatal.
- Outreach services to seriously ill patients on all medical/surgical units and to distant health regions and hospitals via using teleconference and videoconference technology.

The General Systems Intensive Care Units (GSICUs) fulfill these roles for critically ill patients with overwhelming multisystem illnesses from a variety of causes including severe sepsis and septic shock, pneumonia, multiple trauma, catastrophic surgical illness and severe metabolic derangement caused by renal and liver failure. Management of these patients requires highly skilled team members using sophisticated physiological monitoring systems as well as various means of life support techniques including mechanical ventilation, renal replacement therapy, infusion of potent vasoactive medications for hemodynamic support and active cooling and rewarming techniques. The GSICUs provide these critical care services 24 hours/day, 365 days/year.

Critical Care units are becoming an increasing component of hospitalized care. A 2010 study demonstrated the need for intensive care continues to increase. Over 5 years in the US there has been a 4% decrease in the total number of hospital beds but an increase in ICU beds by 7%. Hospital non-ICU inpatient days increased by 5% while ICU inpatient days increased by 10%. Importantly, annual critical care medicine costs increased by 44%. (*Crit Care Med* 2010, **38**:65-71). It is expected. The ratio of ICU beds to hospital beds will continue to rise.

Critical Care in the Edmonton Zone incorporates the General Systems Intensive Care Units (GSICUs) at the Grey Nuns, Misericordia, Sturgeon, Royal Alexandra and University Hospitals which includes the critical care component of the Firefighters Burn Treatment Unit at UAH. These ICUs provide critical care to patients from Edmonton and region, Northern Alberta, Northeastern B.C. Northwest Territories and Western Nunavut. In addition, patients with hepatic failure requiring liver transplantation are referred from all over Alberta, Northeastern British Columbia, Saskatchewan and Manitoba. Over one third of patients are from outside the Edmonton Zone.

The Firefighters Burn Treatment Unit provides care to patients with severe thermal injuries from Northern Alberta, Northeastern B.C. Northwest Territories and Western Nunavut. Its mandate also includes the provision of care for patients with major soft tissue injuries, including those related to trauma and infection, as well as those undergoing major head and neck cancer resections involving microvascular reconstruction. It is progressively being recognized as the Prairie Province referral centre for patients with major burns and soft tissue injury.



The Neurosciences ICU at UAH, is jointly managed in partnership between Critical Care and Neurosciences. Members of the DCCM are the most responsible providers for all patients in the Neurosciences ICU. It provides care to patients with severe neurological injury from trauma and stroke. It also provides advanced life-support to patients who require sophisticated neurological monitoring and critical care following major neurosurgical procedures.

The Cardiovascular ICU (CVICU) at the Mazankowski Alberta Heart Institute is jointly managed by Cardiac Sciences and Critical Care. Intensivists in the CVICU have special interest and skills in the care of critically ill patients following complex cardiac surgery and those receiving extracorporeal membrane oxygenation heart and lung transplantation and ventricular assist devices.

Intensivists provide care in the following critical care units

Hospital	Unit	Beds
Grey Nuns Community Hospital	Intensive Care Unit	8
Misericordia Community Hospital	Intensive Care Unit	6 (+4HIU)
Royal Alexandra Hospital	Intensive Care Unit	25
Sturgeon Community Hospital	Intensive Care Unit	5 (+3HIU)
Mazankowski Alberta Heart Institute	Cardiovascular Intensive Care Unit	24
University of Alberta Hospital	Burn Unit (ICU component)	4
University of Alberta Hospital	Neurosciences Intensive Care Unit	10
University of Alberta Hospital	General Systems Intensive Care Unit	28

Overall, the GSICUs, Burn ICU, and Neurosciences ICU provide over 30,000 patient days of care to approximately 4900 patients each year, while the CVICU provides over 7500 patient days of care to approximately 1600 patients yearly.

#### Service Demographics of Edmonton Zone GSICUs (2014/15)

Unit	Funded Beds	Admissions	Patient days	APACHE II score	ICU Mortality	Mechanically ventilated in first 24 hrs
RAH ICU	25	1382	8061	20.5	12.4%	66.6%

<b>UAH ICU</b>	28	1424	9207	21.3	15.3%	59.0%
<b>GNCH ICU</b>	8	393	1922	21.3	13.0%	61.6%
<b>MCH ICU</b>	6 (+4HIU)	362	2285	21.6	15.7%	70.3%
<b>SCH ICU</b>	5 (+3HIU)	316	2146	20.0	10.8%	53.7%
<b>Total</b>	72	3877	23621			

February 1, 2014 – January 31, 2015

### **Collaboration with pediatric ICU**

There is significant academic and clinical collaboration between Adult Critical Care Medicine and the Pediatric Intensive Care Unit at Stollery Children’s Hospital. Academic Grand Rounds include presenters from the pediatric academic program. Trainee Research Day is shared with the adult ICU, PICU and Neonatal ICU residents/fellows. There are a number of joint seminars for residents and fellows held on issues of common interest, including ethics and disclosure of adverse events. During the Influenza A H1N1 pandemic in 2009, the expertise of the PICU in collaboration was used to develop an adult provincial ECMO program to support critically ill adults with severe viral pneumonia. Critical Care played an integral and lead role for preparations for SARS and Ebola and represents the hospital response for both adults and children.

### **Donation and Transplantation**

Critical Care plays a vital role in the recognition of potential donors for organ transplantation and in the management of critically ill patients prior to and following major organ transplant procedures. Because of the potential for conflict of interest, great care is taken to ensure that intensivists involved in the recognition of potential donors are not involved in the subsequent management of patients who have received organ transplants. Dr. Jim Kutsogiannis has made major contributions to the donation process as chair of the HOPE Advisory Committee and also as the individual who has led the Donation Following Cardiac Death process locally.

### **eCritical Clinical Information System**

Alberta Health Services, including the clinical Department of Critical Care Medicine, Edmonton Zone and the Critical Care Strategic Clinical Network has implemented eCritical, the most comprehensive, multimodal and integrated data repository of patient-specific critical care clinical information in the nation, which will present real-time information in an intuitive fashion for optimal and timely patient-specific decision making, while also enabling the creation of timely unit, zonal and provincial reports for administrative, quality improvement, education and research purposes. The eCritical TRACER data warehouse represents the most in-depth source of patient critical care



data in the world and will strongly support the health services research, translational research and academic quality agenda of the Academic Department. This data warehouse is population based and by the end of 2015 encompass ALL adult patients admitted to a critical care bed in the entire province.

### **RAAPID North**

RAAPID North and South provide coordination of all patient transports, especially critical care transports within and into Alberta. Critical Care Medicine has worked with RAAPID North to develop algorithms for patient transport from centres in Northern Alberta and other provinces to the ICUs.

### **STARS**

Critical Care Medicine has significant involvement with the Shock Trauma Air Rescue Society (STARS). This agency provides mobile critical care using rotary air transport. STARS transports critically ill trauma victims directly from the scene of their injury as well as critically ill patients from hospitals within range of their helicopters. Dr. Gibney was a member of the board of directors of STARS until June 2011. Currently 4 intensivists (Drs. Brindley, Davidow, Hudson and Suen) fly as flight physicians. Dr. Darren Hudson is now the associate medical director responsible for critical care provision. This will facilitate the education of providers and research into critical care transport medicine. This relationship has enabled us to provide education and electives in transport medicine to our trainees.

### **DCCM Faculty Members**

The DCCM has 50 members, of whom 36 have their primary academic appointment in the DCCM (see appendix 1). The other 14 with primary appointments in other parent disciplines are valued members who provide full clinical and academic support to Critical Care and, in addition, serve as “ambassadors” between Critical Care and their other disciplines. The DCCM is larger, in terms of members and Faculty, than the two current academic Departments of Critical Care Medicine (Calgary and Dalhousie).

The DCCM has 7 primarily appointed Faculty members (5 GFT and 2 special continuing appointments). These individuals are Dr. Sean Bagshaw, Dr. Peter Brindley, Dr. Dat Chin, Dr. Noel Gibney, Dr. Jim Kutsogiannis, Dr. Sean van Diepen, and Dr. David Zygun. In addition, the Division has six GFT members secondarily appointed to Critical Care. These members’ academic programs are focused on the critical care aspects of their specialties (individuals are not primarily appointed to Critical Care due to various financial and clinical issues). These individuals include: Dr. Dean Karvellas, an Intensivist/hepatologist with a special interest in the management of acute hepatic failure, intracranial pressure management in acute hepatic failure and hepatic transplantation; Dr. Rachel Khadaroo, a surgical intensivist with a basic science laboratory and translational research program focused on critically ill surgical patients; Dr. Ronald Brisebois, a surgical intensivist with a major surgical administrative role, traumatologist and liaison to the Canadian military; Dr. Sandy Widder, a surgical intensivist and trauma director whose academic program includes health services delivery, quality, acute surgery and trauma; Dr. Lawrence Cheung, an educator and program director for Respiriology who performs all his clinical service within Critical Care, and Dr. Ted Tredget, an international renown burn specialist with an academic program in all aspects of burn care.

With these 13 members, the DCCM is larger than 7 Departments in the FoMD based on data provided in 2014. Importantly, the Division is growing. Without funding from the FoMD or University, the Division was successful in recruiting 2 additional special continuing status Faculty this year. They will join the FoMD in 2015 and 2016. Further, at the suggestion of the Vice Dean, Faculty affairs with the previous Dean’s agreement as a mechanism of growing Faculty, two clinical academic colleagues with academic credentials to warrant (special continuing) Faculty status have agreed to become Faculty members at the Associate Professor level. Finally, the Division has a translational anesthesiology based Intensivist researcher entering the Clinical Investigator Program and will join Faculty in 2018. This will mean the proposed Academic Department will have 16 members by 2018. The Division expects retirement of two CAC members by 2018. With Departmental status, these positions will be dedicated to academic Faculty. As such, there is potential for 18 members by 2018.

**DCCM Academic leadership**

Position	Name
Director	Dr. David Zygun
Residency Training Program Director	Dr. Wendy Sligl
Research Director	Dr. Sean Bagshaw
Junior resident rotation coordinator RAH	Dr. Darren Markland
Junior resident rotation coordinator UAH	Dr. Adam Romanovsky

## **Education**

### **Residency Training Program**

The Division of Critical Care Medicine at the University of Alberta operates an Adult Critical Care Medicine training program. This program was recently internally surveyed in preparation of the external review by the Royal College of Physicians and Surgeons of Canada. It is two years in duration and is currently training six residents that have already completed primary specialty training in another program. In addition, the training program is also responsible for providing Critical Care exposure of two to three months duration to approximately 125 residents from the Department of Surgery, Medicine and its subspecialties, Emergency Medicine, Anesthesia, Neurosciences, Cardiovascular Surgery, Obstetrics and Gynecology and Family Medicine. Training currently occurs at either at the University of Alberta Hospital or the Royal Alexandra Hospital. Graduates from our training program are well qualified to work in any Critical Care environment and are sought after both regionally and nationally. Because of demographic shifts, the need for specialty trained critical care physicians is expected to grow over the next 10 years.

Since its inception, the Adult Critical Care residency training program has an educational philosophy that emphasizes clinical competence and excellence. It is centered on a core of 12 months of critical care training divided between both hospital sites and 12 months of relevant electives. These rotations give the resident a broad range of exposures to nearly the entire spectrum critical illnesses in adults.

Research and research methodologies are also an important and mandatory aspect of the resident's training. Each resident is expected to complete a research project as part of their training and present it at both our annual Resident Research Day and at national or international conferences. This has helped to facilitate many publications from our trainees. Dr. Sean Bagshaw, Dr. Jim Kutsogiannis, Dr. Michael Jacka, and Dr. David Zygun have mentored and supported residents and fellows research activities.

In addition to clinical exposure, the Division provides and all of our residents participate in a weekly academic half-day. This is a mandatory component of their training and all residents are relieved of their clinical responsibilities regardless of their rotation. The half-day starts with a basic and clinical physiology seminar series, then a didactic session on fundamentals of Critical Care Medicine including research, biomedical ethics, medical-legal aspects of medicine, and communication. This is followed by resident driven seminars on specific topics in Critical Care Medicine based on the objectives of training. The Faculty also provides a quarterly "boot camp" to prepare incoming rotating residents for their upcoming ICU rotation and daily didactic teaching sessions for rotating residents at the UAH site.

### **Residency Training Committee**

The Residency Program Committee (RPC) approves the terms of reference for the Program Director and the Critical Care Residency Training Committee. The Program Director chairs the RPC, oversees the Divisional Educational program and reports to the

DCCM Divisional Director and Postgraduate Medical Education Associate Dean. The Program Director, with the assistance from the committee, plans, organizes and supervises the program.

The Program Director and RPC are responsible for the development and operation of the program according to the RCPSC general standards of accreditation and the specific standard of accreditation and specialty training requirements for residency programs in adult Critical Care Medicine. The RPC is also responsible for the selection, evaluation and promotion of the resident as well as receiving and reviewing resident appeals. It provides career planning, mentoring and counseling and assists with problems related to stress. The RPC also reviews the program on a regular basis including its educational components, resources and facilities. In addition, the RPC continuously reviews the teaching in the program, including the basic and clinical sciences, within the CanMEDS competencies using the assessment of teaching staff and the feedback of the trainees.

Drs. Clint Torok-Both, Wendy Sligl and Dat Chin are responsible for the creation and administration of the written and oral examinations. They also assist the program director in preparing and reviewing the various in-training evaluations including: weekly evaluations, 360 degree evaluations, crisis resource management evaluations, family communication checklist, telephone consultation evaluations, grand round evaluations, and patient presentation evaluations. Dr. Sean Bagshaw is responsible for assisting the program director in guiding the residents in their mandatory research requirement and act as a resource for the residents. Drs. Derek Townsend, and Peter Brindley are responsible for ICU grand rounds, and medical simulation events.

Several members of the division have close associations with community ICUs, other Canadian centres and several international programs (including Australia, the U.K and the Middle East). As such, our trainees have many opportunities for diverse clinical electives and exchanges. Regular journal clubs enable development of critical appraisal skills, and opportunities to teach enable our trainees to develop their skills as educators.

While the majority of our residents have originally completed training in one of the more traditional disciplines of Pulmonary Medicine, Anesthesia and General Surgery, we are increasingly seeing residents with backgrounds in other areas such as Emergency Medicine, Nephrology, Cardiology, Neurology and Otolaryngology commencing critical care residency training. Over the last decade we have trained a number of international fellows, primarily from Saudi Arabia.

As a result of the high quality research produced in the division, the training program is receiving research fellowship applications from high quality international applicants. The DCCM is supporting research fellowships for national and international trainees. These trainees have originated from Ontario and South America with one trainee completing his MSc (Epidemiology). One of the challenges facing the program is finding non-

Ministry of Health funding to support these trainees, which will further enhance our international reputation



### **Medical Simulation**

Research has increasingly shown that most adverse patient outcomes and medical errors involve suboptimal communication, teamwork, and crisis management. Furthermore these factors are poorly addressed by traditional education. However, they are ideally suited to Medical Simulation. Over the last five years, Simulation has become a regular feature of training and ongoing quality assurance in our ICUs. Trainees now receive regular and mandatory simulation exposure followed by structured debriefing and feedback based upon validated scoring systems (some of which were developed by our faculty members). For a number of years Dr. Peter Brindley was the Medical lead for Patient Simulation for Capital Health and an advisor on simulation to the Canadian Patient Safety Institute and the Royal College of Physicians and Surgeons of Canada. The University of Alberta and the Alberta Health Services became national leaders in acute care simulation. The regional simulation program has grown enormously over five years and now provides several thousand hours of annual simulation-based education. This has included resident physicians in Critical Care Medicine, Emergency Medicine, General Surgery, Ophthalmology, Neurosurgery and Psychiatry and others. Importantly, however, it has also included Critical Care Nursing Recruits, Trauma Nurses, General Ward Nurses, Critical Care Nurses, Respiratory Therapists and the Rapid Response Team. We have also delivered courses throughout the province (including Grande Prairie, Red Deer, Calgary and Peace River) and hosted a national simulation conference. We have also contributed to a number of peer reviewed simulation publications, national and international presentations, and several large grants for the development and delivery of simulation education.

### **Resident Career Planning**

The career goals and objectives of the resident are identified early, e.g. a career goal as a clinician or academic. The content of the two year training period is reviewed, especially the elective rotations and the need for additional training in specific areas. Once accepted into the program the resident's training is tailored according to their career plans. The following are considered: their primary specialty, prior experience, career plans and need to obtain certification in a primary specialty.

There are multiple opportunities to provide career guidance. Career planning is a standing item on the semi-annual review with the residents. The current and prospective employment market is discussed. Specific advice about search strategies and techniques for ensuring a successful job application are outlined. The Program Director also forwards any advertised opportunities throughout the training period. The program supports a resident who needs to complete an elective in another hospital as

part of a job application. Some residents have entered the program with a potential offer of employment from their “home” university/hospital. Their training is tailored according to the ICU to which they are returning. Each resident is allocated an intensivist mentor who also provides informal career guidance as well as general advice and personal support.

### **Research**

The goal of an academic department is to provide an environment where translational research can flourish; that is, to create an infrastructure with talented individuals where discoveries at the laboratory bench can be moved to the clinical arena in a timely fashion and where puzzling questions or observations at the bedside can be tackled by clinician scientists.

Research activity within the DCCM has shown remarkable growth in the last 3 years. During this period, we believe our Division has achieved several noteworthy accomplishments. Up to 2007, the majority of research within the DCCM was performed by the extensive effort of Drs. Jim Kutsogiannis and Michael Jacka, whose interests have centered primarily on neurotrauma, organ donation and perioperative outcomes.

In 2007, the Division was successful in recruiting Dr. Sean Bagshaw, a clinician scientist to further stimulate and develop a core research infrastructure. Early following his appointment to the Division, Dr. Bagshaw was awarded a major Independent Investigator Award from the Alberta Heritage Foundation for Medical Research. Dr. Sean Bagshaw is now the Director of Research for the DCCM, and has been awarded a Tier II *Canada Research Chair in Critical Care Nephrology*. He is also cross-appointed to the School of Public Health and the Epidemiology Coordinating and Research (EPICORE) Centre.

*Critical Care Nephrology* is a recognized strength of the DCCM. Dr. Bagshaw is recognized as a leader, both nationally and internationally, in this field. In addition, Dr. Kutsogiannis and Dr. Gibney have recognized expertise and research interest in this field. This work is further supported by the presence in the DCCM of 4 intensivist-nephrologists, Dr. Curtis Johnston, Dr. Shelley Duggan, Dr. Darren Markland and Dr. Adam Romanovsky.

On a semi-annual basis, the DCCM has sponsored a state-of-the-art symposium focused on Acute Kidney Injury and Renal Support in Critical Illness, targeted towards clinicians, trainees and nurses. This symposium, supported by Alberta Innovates – Health Solutions, has attracted several notable internationally recognized experts in the field to speak and has been well attended.

### **Landmark Research**

The DCCM has participated and been a major contributor to several recently published landmark clinical studies in critical care.

POISE Trial (Lancet 2008; 371:1839-47): This large multi-centre randomized trial of patients at risk for cardiac events, evaluated the effects of peri-operative beta-blockers. The key findings from this trial were a higher risk of stroke and death in those patients allocated to peri-operative beta-blocker therapy. This trial has significant translational impact on the management of these patients in the peri-operative period. We were one of the top recruiting centers for the POISE Trial.

LOVS Trial (JAMA 2008; 299:637-45): This multi-center randomized trial compared conventional low-tidal volume ventilation with an experimental “open-lung approach” to ventilation for critically ill patients with acute respiratory distress syndrome. This trial found no difference in all-cause mortality between the groups; however, the “open-lung” group has fewer episodes of refractory hypoxemia and use of rescue therapies.

NICE-SUGAR Trial (New England Journal Medicine 2009;360:1283-97): This trial, supported by the Canadian Critical Care Trials Group (CCCTG), evaluated two approaches to glycemic control in critically ill patients. The key finding of this trial that tight glycemic control is associated with harm, has certainly led to widespread changes in clinical practice. We were one of the top recruiting centers for the NICE-SUGAR Trial.

Critically ill patients with 2009 influenza A (pH1N1) in Canada (JAMA 2009; 302:1872-79): This was an investigator initiated observational study of patients with respiratory failure infected with pH1N1 and admitted to ICU. This was a national collaboration. The GSICU, GNH, RAH contributed to the phase I study and the GSICU contributed considerably to the phase II study.

PROTECT Trial (New England Journal Medicine 2011;364:1305-1314): This trial, also supported by the CCCTG, evaluate two regimens for deep venous thrombosis (DVT) prophylaxis in critically ill patients. The key finding of this trial was no difference in the incidence rate of DVT and similar bleeding episode rates; however, there were novel secondary findings to suggest low-molecular weight heparin reduce the rate of pulmonary embolism and heparin-induced thrombocytopenia. Again, the DCCM was a top recruiter for this trial.

Daily sedation interruption in mechanically ventilated critically ill patients cared for with a sedation protocol: a randomized controlled trial (JAMA. 2012 Nov 21;308(19):1985-92) Multicentre randomized controlled trial of 430 critically ill, mechanically ventilated adults conducted in 16 tertiary care medical and surgical ICUs of protocolized continuous opioid and/or benzodiazepine infusions or to protocolized sedation plus daily sedation interruption. Main outcomes were time to successful extubation. Secondary outcomes included duration of stay, doses of sedatives and opioids, unintentional device removal, delirium, and nurse and respiratory therapist clinical workload (on a 10-point visual analog scale [VAS]). Investigator: Jacka. Funding CIHR

ABLE Study (submitted for publication) - Age of Blood Evaluation Trial in the Resuscitation of Critically Ill Patients. This is a randomized trial of “fresh” (<7 days) vs.



standard issue packed red cell transfusion in critically ill patients. We recruited a significant number of patients. Investigators: Bagshaw. Funding: CIHR.

REALISTIC 80 Study (manuscript in preparation)- Realities, Expectations, and Attitudes to Life Support Technologies in Intensive Care for Octogenarians. This is an observational study focused on >80 year olds admitted to ICU – largely examining their experience in and following ICU. Investigators: Bagshaw, Kutsogiannis. Funding: CIHR.

ROSII Trial (manuscript in preparation)- A Randomized, Double-Blinded Controlled Trial Comparing High vs. Standard Dose Oseltamivir in Severe, Influenza Infection in ICU. This is a randomized comparison of standard vs. high-dose oseltamivir for treatment of critically ill patients with severe pH1N1 infection. Investigators: Bagshaw, Kutsogiannis. Funding: PHAC.

OSCILLATE Trial (N Engl J Med. 2013 Feb 28;368(9):795-805) – The Oscillation for ARDS Treated Early (OSCILLATE) Trial. This multi-center randomized trial of early oscillation compared with conventional lung-protective ventilation for critically ill patients with acute respiratory distress syndrome (ARDS). Investigators: Jacka, Bagshaw. Funding: CIHR.

ICU Frailty Study (CMAJ. 2014 Feb 4;186(2):E95-102) - A prospective multicentre observational study of frailty in critically illness. This is an observational study of all admissions aged>50 yrs. to the ICUs at the University of Alberta Hospital, Grey Nuns Hospital, and Misericordia Hospital (Edmonton) and Foothills Medical Centre, Peter Lougheed Hospital, and Rockyview General Hospital (Calgary) to objectively evaluate the prevalence of “frailty” in critically ill patients using the validated “Clinical Frailty Scale”. Investigators: Bagshaw, McDermid, Stelfox, Stollery, Rokosh, Majumdar, Rolfson, Tsuyuki. Funding: CIHR, CICF, UHF

*Examples of DCCM Investigator Initiated:*

SPARK Study (Trials. 2010 May 11;11:50)- A multi-center phase II randomized blinded controlled trial of the effect of furosemide in critically ill patients with early acute kidney injury. This is a randomized trial is a comparison of low dose furosemide infusion vs. placebo to maintain urine output in critically ill patients early acute kidney injury. The primary outcome is progression of kidney injury. Investigators: Bagshaw, Gibney. Funding: AHFMR.

TOP UP Trial - A Randomized Trial of Supplemental Parenteral Nutrition in Under and Over Weight Critically Ill Patients. Investigators: Kutsogiannis, Karvellas. Funding: RAH HF, CICF. This study was integral in the development of a subsequent phase 3, NIH funded study lead by Dr. D. Heyland.

Prophylactic perioperative sodium bicarbonate to prevent acute kidney injury following open heart surgery: a multicenter double-blinded randomized controlled trial (PLoS Med. 2013;10(4):e1001426) - This is a multi-center randomized trial of NaHCO<sub>3</sub> compared with saline for prevention of acute kidney injury in high-risk patients undergoing cardiac surgery with cardiopulmonary bypass. Investigators: Bagshaw. Funding: CICF.

*Examples of DCCM Multi-Center Investigator Initiated:*

STARRT-AKI Trial - Standard versus Accelerated initiation of Renal Replacement Therapy in Acute Kidney Injury (STARRT-AKI). This is a multi-centre pilot randomized trial of early vs. standard RRT initiation in critically ill patients with AKI has led to a multimillion Investigators: Bagshaw. Funding: CIHR, UHF and CIHR.

## **Research Collaboration**

Members of the DCCM are actively collaborating with several well-recognized regional, national and international research groups on a variety of research themes including the following:

Canadian Critical Care Trials Group (CCCTG): Current studies include: OSCILLATE trial, REDOX trial, REALISTIC 80 study, ABLE trial, Influenza A pH1N1 study, and PRECISE trial.

Canadian Acute Kidney Injury (CANAKI) Study Group: This is an investigator-initiated collaborative of Canadian critical care and nephrology researchers, currently led by Dr. Bagshaw (U of A) and Dr. Wald (U of T), with a mutual interest in acute kidney injury and renal support in critically ill patients. The CANAKI Study Group is investigating a program of research centered on the ideal timing of when to initiated renal replacement therapy.

Rapid Response Systems (Medical Emergency Team/Rapid Response Team): In addition to several local investigator-initiated projects focused on RRS, the DCCM is also collaborating with well-established centers of excellence in Australia, United States and Sweden, evaluating the impact of RRS on the quality of care and outcomes for hospitalized patients.

Alberta Sepsis Network: Several members of the DCCM are participants in this provincial network of researchers at the University of Calgary and the University of Alberta and funded by Alberta Innovation – Health Solutions (Zygun, Kutsogiannis, Bagshaw, Sligl, Gibney).

Acute Dialysis Quality Initiative (ADQI): Members of the DCCM (Gibney, Bagshaw) have had an active ongoing role with ADQI since its inception in 2002, an internationally recognized and respected working group that has been a driving force in quality improvement and research in the field of Critical Care Nephrology.

Critical Care Strategic Clinical Network: As indicated previously, DCCM members are active in the core committee and scientific arm of the network. This has afforded the members of the network to participate and be successful in provincial funding through junior investigator funding competitions and PRIHS competitions (AI:HS).

## **Research Infrastructure**

Currently, a dedicated on-site office with 5 research workstations supports research at the University of Alberta Hospital. The office employs a full-time office manager whose salary is supported by contributions from the DCCM intensivists. The office also employs four part-time research coordinators. The current funding structure for coordinators is based on cost-recovery with direct billing to investigators for coordinator activity. In addition, the University provide Human Resources and Finance/Accounting support for the research office. The research office at the Royal Alexandra Hospital currently employs up to four coordinators. The research office at the Grey Nuns Hospital is similarly structured, employing two part-time coordinators.

Research activity in the DCCM is also supported by a number of additional resources. The Minimal Data Set (MDS) database supplied data from 2002 to 2012, which routinely captured key demographic, diagnostic, clinical, and outcome data on individual admissions to all ICUs in the Edmonton zone. This database currently contains patient-level data on approximately 25,000 independent ICU admissions. This resource has proven to have numerous research applications. In addition, the DCCM has recently integrated a provincial bedside critical care-focused computer information system (eCritical). This system has a number of research applications including: patient screening, data capture and numerous primary study applications. The TRACER data warehouse is the most comprehensive critical care data warehouse available to health services researchers in the world.

## **Trainee Supervision**

In addition, the DCCM, largely through the efforts of Drs. Bagshaw, Zygun, Brindley, Sligl, and Kutsogiannis is now supervising the research activity of several trainees, including medical students, post-graduate residents, graduate students and international post-graduate fellows. The results of all of these studies (except those still ongoing) have been either presented at scientific meetings or published in peer-reviewed journals. The DCCM accepted its first international research fellow (Brazil) in September and October 2010.

*Research Activity by Trainees (2007-2015)*

*Recent Trainees Supervised:*

M. Douma, Nurse Practitioner trainee, University of Toronto. Project: Resuscitation following penetrating abdominal and pelvic trauma

Dr. L Remington, Infectious Disease resident, University of Alberta. Project: Community Acquired Pneumonia

Dr. S. Turvey, Infectious Disease resident, University of Alberta. Project: Survival of HIV-infected Critically Ill Patients in the Era of Highly Active Antiretroviral Therapy

Dr. A. McFarlane, Internal Medicine Resident, University of Alberta.

Project: Hospitalized Influenza Patients during 2013-2014; a Comparison of ICU and Ward Treated Patients including Antimicrobial Therapy, Adverse Events, and Outcomes

Dr. T. Dragon, Medical Microbiology resident, University of Alberta. Project: : Nosocomial gram-negative bacteremia in intensive care: epidemiology, antimicrobial susceptibilities and outcomes.

Dr. L Azevedo, International Research Fellow, University of Sao Paulo. Project: Incidence and long-term outcomes of critically ill adult patients with moderate-to-severe diabetic ketoacidosis: retrospective matched cohort study.

Dr. P. Fidalgo, International Research Fellow, Department of Nephrology, Hospital Fernando Fonseca. Project: Association between transient acute kidney injury and morbidity and mortality after lung transplantation: a retrospective cohort study.

Dr. F. de Sousa Cardoso, Hospital Fernando Fonseca. Project: Respiratory rate at intensive care unit discharge after liver transplant is an independent risk factor for intensive care unit readmission within the same hospital stay: a nested case-control study.

Dr. Ilana Kopolovic, Internal Medicine Resident, University of Alberta. Project: Kidney Outcomes in Patients Undergoing Surgical Correction of Abdominal Aortic Aneurysms.

Dr. Wei Wang, Cardiac Surgery Resident, University of Alberta. Project: Post-Cardiac Surgery Acute Kidney Injury in Octogenarians.

Dr. Ivens Augusto de Souza, Post-Graduate Fellow, Sirio Libanes Hospital, University of Sao Paulo, Brazil. Project: Fluid Balance in Critical Illness: Impact of Acute Kidney Injury on Outcome.

Dr. L. Asadi, Infectious Diseases Resident, University of Alberta. Project: Macrolide-based regimens and mortality in hospitalized patients with community-acquired pneumonia: a systematic review and meta-analysis. Dr. Asadi received the Abbott Abstract Award as well as the John Embil Award for excellence in infectious diseases research by a trainee at the Association of Medical Microbiology and Infectious Diseases Annual Meeting, Quebec City, QC, April 2013

Dr. Adam Romanovsky, Critical Care Medicine Fellow, University of Alberta. Project: Rate of correction of hyponatremia post liver transplantation and possible consequences of a rapid rise in serum sodium.

Dr. Heidi Choi, Internal Medicine Resident, University of Alberta. Project: Incidence and outcomes in critically ill patients admitted with diabetic ketoacidosis.

Dr. Dominic Carney, Critical Care Medicine Fellow, University of Alberta. Project: Outcomes of patients with Usual Interstitial Pneumonia admitted to the intensive care unit.

Dr. Constantine Karvellas, Graduate Student, Divisions of Critical Care Medicine and Gastroenterology, University of Alberta. Project: Graduate Student, Divisions of Critical Care Medicine and Gastroenterology, University of Alberta. Project: Perioperative prognostication in liver transplantation.

Dr. Paul Engels, Critical Care Medicine Fellow, University of Alberta. Project: Pleth Variability Index in Critical Care Trauma Patients. Funding: Masimo Inc.

Ambica Parmar, Summer Student, Undergraduate, University of Alberta. Project: Medical emergency team and end-of-life care. Funding: Health Quality Council of Alberta Scholarship and Alberta Heritage Foundation for Medical Research/Alberta Innovates – Health Solutions Summer Studentship.

Dr. Kris Chan, Internal Medicine Resident, University of Alberta. Project: Clinical outcomes and prognostic factors in patients with acute myelogenous leukemia (AML) admitted to the intensive care unit: a case-control study.

Dr. Amanda Roze des Ordons, Anesthesiology Resident, University of Alberta. Project: Clinical outcomes and prognostic factors in patients with acute myelogenous leukemia (AML) admitted to the intensive care unit: a case-control study.

Dr. Hussein Kanji, Emergency Medicine Resident, University of Alberta. Project: Relative Difference between pre-operative and cardiopulmonary bypass mean arterial pressures is independently associated with cardiac surgery-associated acute kidney injury. Funding: Edmonton Civic Employees Grant.

Dr. Holly Hoang, Infectious Diseases Resident, University of Alberta. Project: Macrolide use in the treatment of critically ill patients with pneumonia: incidence, correlates, timing, and outcomes. Dr. Hoang won 1st Prize for Subspecialty Resident Oral Presentation, Department of Medicine Research Day

Dr. Luc Benoit, Internal Medicine Resident, University of Alberta. Project: Tremor due to Vancomycin Therapy: A Case Report and Literature Review.

Dr. Joshua Landy, Internal Medicine Resident, University of Alberta. Project: Gonococcal Septic Shock, Acute Respiratory Distress Syndrome, and Multisystem Organ Failure: A Case Report.

Dr. Constantine Karvellas, Critical Care Fellow, A case-control study of single-pass albumin dialysis for acetaminophen-induced acute liver failure.

Dr. Aidan Cunniffe, Family Medicine/Emergency Medicine Resident, University of Alberta. Project: members of critically ill patients: a feasibility study.

***Thesis Supervision, University of Alberta:***

Dr. K. Macala,

Dr O. Rewa,

MSc (Epi): Acute Kidney Injury. Supervisor: S. Bagshaw

Dr Yahya Khormi, Neurosurgical Resident, University of Alberta. Master's Thesis: Compliance with brain trauma foundation guidelines for intracranial pressure monitoring in severe traumatic brain injury and its effect on outcome: A population based study. Supervisor: D. Zygun

Dominique Michaud R.N. Assessment of 4% trisodium citrate as compared to saline or diluted heparin solution to ensure patency of central venous catheters in critically ill patients in the intensive care unit. Successfully completed MSc Nursing, The University of Alberta, 2002. Co-Supervisor: D.J. Kutsogiannis

Dr. Jun Gao, Biostatistician, Health Canada. Comparison of three methods of correlated survival analysis in a randomized trial of continuous renal replacement therapy. Successfully completed MSc Biostatistics, The University of Alberta, 2004. Co-Supervisor: D.J. Kutsogiannis.

Mrs. Cathy Alberda. MSc Nutritionist, The Royal Alexandra Hospital. Probiotic Therapy in Critically Ill Enterally Fed Patients. Successfully completed MSc Nutrition, The University of Alberta, 2005. Co-Supervisor: D.J. Kutsogiannis.

Dr. Gonzalo G. Guerra. Pediatric Intensivist, The University of Alberta. Safe Administration of Milrinone Infusion. Successfully completed MSc. Epidemiology, The University of Alberta June 6, 2011. Supervisor: Dr. D.J. Kutsogiannis.

Dr. Sayf Gazala. Trainee, General Surgery, The University of Alberta. Quality of Life after video assisted thoracoscopic surgery (VATS) anatomical lung resection for lung cancer. Completed first of two year MSc Clinical Epidemiology, the University of Alberta. Supervisor: Dr. D.J. Kutsogiannis.

## **Research Productivity**

The academic productivity of the proposed Department has increased steadily. The most recent 2 years are included as Appendix 2. In 2013, 79 unique publications were documented by Divisional members. This increased to 94 in 2014.

## **Financial Support**

In addition since 2009, research activity in our Division has been successful in securing funding for the following (mostly peer-reviewed) grant applications: *Canadian Institutes for Health Research, Alberta Innovates: Health Solutions Alberta Heritage Fund for Medical Research), Canadian Intensive Care Foundation, Royal Alexandra Hospital Foundation, University of Alberta Hospital Foundation, Rick Hansen Foundation Man in Motion, Physician Services Incorporated, Children's Hospital of Eastern Ontario Research Institute, Royal Alexandra Hospital Nursing Research Fund, Transplant Fund Value Added, Canadian Blood Services, Edmonton Civic Employees Charitable Assistance Fund, Women and Children's Health Research Institute Innovation Grant, Centre for Excellence for Gastrointestinal Inflammation and Immunity Research, and Royal Alexandra Hospital Nursing Research Fund.* Annual grant funding has increased from \$443,129 in 2013 to \$1,454,231. Examples of funding success are identified in Appendix 2.

The educational program and research office is supported by a voluntary tithe on clinical earnings of intensivists. The members contribute a total of \$245,400 annually. This has increased by \$10000 from 2013 due to efforts of the Research Director, Program Director, and Divisional director.

The FoMD provides funding for 4 GFT academic rank-based salaries (Zygun, Brindley, Chin, Gibney) while the fifth GFT salary is provided in combination with Canada Research Chair (Bagshaw). Alberta Innovates: Health solutions support Drs. Zygun and Bagshaw. All GFT positions are cost shared with Alberta Health Services. In addition, the DCCM shares an Administrative Professional Officer, Jacqueline Jubinville, with the Department of Anesthesiology and Pain Medicine. The Faculty of Medicine and Dentistry provides stipends to the Residency Training Program Director and to the clinical faculty members who are actively involved in teaching. In addition, the FoMD provides a 0.5 FTE administrative assistant to the Director. This assistant along with the 0.5 FTE provided by the Post Graduate Medical Education Office forms a 1.0 FTE administrative assistant for the entire educational program. The Division also utilizes the administrative support provided to the Zone Clinical Department Head and Senior Medical Director by Alberta Health Services as the clinical and academic programs are intimately linked in critical care. (Residents, rotating and critical care, provide tier 1 coverage in the zone ICUs).

The majority of funding required for resident education and research infrastructure is obtained from the faculty members through the aforementioned contributions.

### **Future Directions**

Academic activity in the DCCM has increased considerably in the past years – highlighting a healthy balance between local investigator-initiated studies and educational programs, provincial collaborative efforts, nationally collaborative studies and Participation in the Critical Care Royal College Critical Care subcommittee, along with internationally collaborative work and industry partnership. Members are strongly supportive of dedicated future recruitment aimed to attract academic intensivists that will be facilitated by Academic Department status. All members support the academic mission of the combined AHS Clinical Department of Critical Care Medicine and proposed Academic Department of Critical Care Medicine, FoMD, University of Alberta. The overarching goal for the proposed academic Department of Critical Care Medicine is to improve the lives and care of those individuals affected by critical illness through improvements in health services delivery, translational research, clinical research, epidemiological research, and all levels of physician and allied health care provider education.

### **Health Services Research/Quality/Patient Safety**

Health Services Research and specifically patient safety and quality improvement are concepts, which are deeply embedded in the culture of Critical Care Medicine. This is likely due to the combination of severity of illness of patients combined with the use of multiple high risk medications and sophisticated life support technologies. In collaboration with the Critical Care Strategic Clinical Network and eCritical, we are positioned to become international leaders in health services research for critical care medicine. We have also initiated an international research fellowship program, with the aim of attracting foreign fellows to contribute to and complete research training within the DCCM. Despite our recent success we believe that the research activity of our Division possesses huge potential to be international leaders. Our vision for the near future largely encompasses the successful recruitment of additional clinician scientists. The TRACER data warehouse will provide an unparalleled resource to facilitate health services, quality and patient safety research. In addition to the work Dr. Bagshaw has accomplished in the fields of critical care nephrology, medical emergency teams, and critical care capacity, our two new special continuing status recruits have strong expertise in the areas of quality and health services research. The successful recruitment of a surgical intensivist with graduate training in academic quality and patient safety will further this quality research objective. Our second recruit joining the FoMD in 2016 after completion of his PhD in Epidemiology already has had success in grant and publications in health services research and critical care

### **Translational Research**

The proposed academic Department will continue to strongly support the FoMD Departments of Medicine, Surgery, and Anesthesia Faculty members who possess translational research programs. Currently, Dr. Rachel Khadaroo maintains a laboratory in the Department of Surgery. Due to the challenges of maintaining an acute surgery and intensive care practice Dr. Khadaroo looked for partnerships to maintain y=her



laboratory productivity. She has taken on a major mentorship role for an excellent Anesthesia based Critical Care trainee and with the strong support of Critical Care, Surgery and Anaesthesia, she has entered the CIP program. The Division has committed to recruit this individual to the proposed Academic Department of Critical Care Medicine upon successful completion of her PhD in the CIP program. She will primarily work in Critical Care but there is agreement she will share the laboratory with Dr. Khadaroo. We expect such collaborations to continue to expand with the progression to Academic Department status.

### **Clinical and Epidemiological Research**

The current strengths of the Division in Critical Care Nephrology, Critical Care Epidemiology and clinical research will continue to grow with subsequent recruitment of academic intensivists. With the recruitment of Drs. Dean Karvellas, David Zygum, Sean van Diepen, there is planned increasing academic productivity in subspecialty Critical Care. The fields of focus and strength will be critical care hepatology (including transplant), Neurocritical Care, and Cardiovascular Critical Care. It is expected the academic Department of Critical Care Medicine will be international leaders in these burgeoning Critical Care subspecialties.

### **Education**

Our first goal will be to maintain our excellent RCPSC critical care training program, with expected successful external review in 2017. We have also initiated an international research fellowship program, with the aim of attracting foreign fellows to contribute to and complete research training within the DCCM. We have had three international research fellows in the past two years. We expect the available expertise and resources within the proposed academic Department will increasingly attract these trainees and bolster academic productivity. Significant efforts are underway to develop subspecialty training programs. The fields of neurocritical care and cardiovascular critical care are now recognized subspecialties within critical care recognized by national and international critical care societies. A Cardiovascular Clinical Critical Care fellowship is under development. Two Faculty are now certified neurointensivists as a requirement for the development of an internationally recognized neurocritical fellowship program. The DCCM has made substantial improvements in graduate student supervision over the last two years. The DCCM has gone from two to six Faculty registered to supervise graduate students in the School of Public Health or Medical Science. A concomitant increase in graduate students is only expected to continue with the upcoming recruitment. This will further enhance our academic productivity. We will continue to strongly support supervision of post graduate trainees in Medicine, Surgery, Anaesthesia, and Emergency medicine in their research projects.

### **Leadership**

The members of the DCCM will continue to take leadership roles in the development of Critical Care Medicine in Canada and in our health care system to facilitate the academic

mission of the FoMD. The DCCM was one of the first interdepartmental divisions of Critical Care Medicine and the first stand alone Division of a Faculty of Medicine in the country. Graduates of the residency training program have gone on to currently occupy major academic positions elsewhere in Canada and internationally. The DCCM is increasingly being recognized as a leader in critical care research. The members of the DCCM occupy a number of important leadership positions nationally, within the province and locally. Members of the DCCM play a significant role in many areas within the Faculty of Medicine and Dentistry, Alberta Health Services, Covenant Health and other organizations. Members are also on the executive of the Canadian Critical Care Society and participate actively in the Royal College of Physician and Surgeons Subspecialty (Critical Care) committee.

### **Financial Considerations**

The majority of intensivists are remunerated on a fee for service basis by billing the Alberta Health Care Insurance Plan, which has a separate set of critical care fee codes. In addition, intensivists receive specialist on-call payments from AHS. One intensivist is a member of the Department of Medicine Academic Alternate Practice Plan (AARP) and provides “shadow billings” to that department. Five intensivists have academic geographic appointments within the DCCM and receive academic rank based salaries, all of which are cost shared with AHS. The ICU directors receive a stipend for medical leadership from AHS Medical Affairs. The DCCM first submitted a proposal for a clinical alternate funding plan (AFP) to Capital Health in 2004, which was not supported. Subsequently, efforts were combined with the Academic Department of Critical Care Medicine in Calgary. Unfortunately, despite strong support by both University’s Critical Care Medicine Faculty and the AMA, Alberta Health suspended negotiations with Critical Care Medicine after an initial contract offer was provided by Alberta Health as they planned a major reassessment of the current ARPs in medicine and pediatrics. Since then, the DCCM has participated in efforts to develop and negotiate both AARPs and AFPs within the provincial academic framework. Patterns of work and challenges to academic productivity and measurement are similar to those in the neonatal and Pediatric Critical Care fields and as such negotiations will require. Discussions are ongoing to develop either a clinical AFP or AARP. The fee for service schedule for Critical Care Medicine in Alberta is highly competitive and as such we have had success in recruitment. However, these payments are for clinical work and a stable funding mechanism for academic intensivists is required. This is not an issue isolated to Critical Care Medicine but generalized to all non-ARP Departments. This is not viewed as a barrier to progression to Departmental status but rather a risk to the FoMD generally that we share regardless of academic status.

Currently, the Division does not require additional resources for the transition to Academic Department status. We do request the APO shared with Anaesthesia formally report to both the Chair of Anaesthesia and proposed Chair of Critical Care Medicine. The current APO reports that at times over 50% of her time are spent on the growing academic activity within the Division of Critical Care Medicine. Recognition of her efforts away from Anesthesia and in Critical Care through this minor governance structure

change represents current practice and not a substantial change. The relationship of the current Division with the Department of Anaesthesia is strong and will do not recommend substantial changes to current practice. We will be co-located on the second floor of CSB which will further facilitate the ability of the APO to cross cover these Departments.

### **Conclusions**

Critical Care Medicine is a rapidly developing and expanding discipline, which impacts almost every other area of healthcare. The DCCM Faculty members have created a highly regarded reputation through their clinical care, research, teaching and leadership activities nationally and internationally. For a young discipline, the DCCM has carried a larger clinical, educational and research than might be expected. Similarly, its members have provided invaluable leadership within the Faculty of Medicine and Dentistry, Alberta Health Services and beyond. Although Critical Care Medicine has been a free standing Division within the Faculty of Medicine and Dentistry, creation of a full academic Department of Critical Care Medicine would ensure the appropriate academic profile for the discipline at the University of Alberta. In this respect, many inside and outside the Faculty of Medicine and Dentistry, including granting agencies, do not understand the concept of a free standing academic division within the Faculty. Creation of a full academic Department of Critical Care Medicine would provide clarity. It would also provide consistency with the Clinical Departmental status of Critical Care within Alberta Health Services, Edmonton Zone and with the Departments of Critical Care at the Faculty of Medicine at the University of Calgary and Dalhousie University, the former with whom, we have significant academic contacts in the Alberta Sepsis Network but even more so through the Critical Care Strategic Clinical Network of Alberta Health Services and with whom we are partners in the province-wide Critical Care Clinical Information System.

The Division of Critical Care Medicine does not consume a large proportion of resources within the FoMD due to its partnership with the health care system. Significant resources are not required for the transition. The advancement of Critical Care Medicine to a full academic Department would further elevate the profile of the discipline externally for recruitment. This would improve the attractiveness of Critical Care Medicine as we seek to further to advance the academic mission of the FoMD.

**Appendix 1. Membership of the Proposed Department of Critical Care Medicine**

Attached

**Appendix 2. Research Productivity**

Attached

Office of the Dean  
2J2.00 WMC  
University of Alberta  
Edmonton • Alberta T6G 2R7  
Telephone: (780) 492-6621  
Fax: (780) 492-7303  
med.ualberta.ca

February 22, 2016

Dr. Steven Dew  
Provost & VP Academic  
2-40 South Academic Building

Dear Dr. Dew,

**Re: Transition of the Division of Critical Care Medicine to the Department of Critical Care Medicine in the Faculty of Medicine & Dentistry.**

I'm writing to provide my recommendation for the establishment of the Department of Critical Care Medicine in the Faculty of Medicine & Dentistry.

Internal Faculty approvals have been obtained at the following stages:

- Faculty of Medicine & Dentistry Dean's Executive Committee approved March 9, 2015
- Faculty of Medicine & Dentistry Chair's Committee approved October 7, 2015
- Faculty of Medicine & Dentistry Faculty Council approved November 17, 2015

Critical Care Medicine is undergoing a fundamental change across Canada. Academic Health Science Centers are being challenged to address the rising demand for critical care medicine services and the education of new generations of Critical Care Medicine physicians and related healthcare providers. In addition, we are now asking Critical Care Medicine to standardize care and technologies across multiple hospital sites, optimize Intensive Care Unit integration and in-patient care, and participate in quality assurance, cost control, research and fundraising initiatives.

In order for Critical Care Medicine to meet these objectives, and to advance its long term growth and mission, I believe it must transition from a Division into a free standing Department of Critical Care Medicine within the Faculty of Medicine & Dentistry.

Currently, the Division of Critical Care Medicine in the Faculty of Medicine & Dentistry is one of the largest academic and clinical Critical Care units in Canada with 50 members, of whom 36 have primary academic appointments in Critical Care (5 GFT Faculty, 2 Special Continuing Academic Faculty and the remainder Clinical Academic Colleagues). The other 14 have their primary appointments in other medical subspecialties yet provide clinical and academic support to Critical Care Medicine. In addition, the Division is recruiting 2 Special Continuing Faculty that will join in 2016 and 2018.

#### **Education**

Critical Care Medicine runs a fully accredited Royal College of Physician and Surgeons of Canada, Critical Care Medicine Certification Program. There are currently 6 Residents in this program. In addition, over 115

Residents from Medicine, Surgery, Pediatrics, Anesthesia and Emergency Medicine rotate through the Intensive Care Units across Edmonton as part of their training programs and. With Department status, Critical Care Medicine will be able to enhance Undergraduate Medical Education teaching and increase the number of Graduate students and Research Fellowships.

### **Research**

In 2014 Critical Care Medicine had over academic 80 publications and over \$3 million in grant funding, including 3 CIHR grants, as primary or principle investigator status. Between 2007 and 2015 there were 26 trainee supervised research projects and 8 graduate students completed their thesis. Since 2007, Critical Care Medicine has participated in 11 international multi-center landmark clinical trials, each published in highest impact journals. With Department status, Critical Care Medicine will be able to enhance and expand their research activities through recruitment of additional GFT faculty.

### **Clinical Care**

Currently Critical Care Medicine incorporates the eight Intensive Care Units across the city (Grey Nuns Community Hospital, Misericordia Community Hospital, Royal Alexandra Hospital, Sturgeon Community Hospital, Mazankowski Alberta Heart Institute, University of Alberta Hospital Burn Unit, University of Alberta Hospital Neurosciences Intensive Care Unit and University of Alberta General Systems Intensive Care Unit). This represents 117 intensive care unit beds providing care to Edmonton and Northern Canada and in total providing over 30,000 patient days of care to approximately 5,000 patients each year. Through this clinical care activity there is tremendous opportunity for additional research, education and quality initiatives.

### **Fundraising**

Critical Care Medicine, within the Faculty of Medicine & Dentistry, has tremendous opportunity and prospects for fundraising. It's important to note that members of the Critical Care Medicine Division currently, through their internal tithing process, support the education and research mission of the Division to the extent of approximately \$500,000 per year.

In summary, transition of Critical Care Medicine into an academic department of Critical Care Medicine, Faculty of Medicine & Dentistry, will provide the following advantages:

1. It will strengthen the academic mission of the Faculty of Medicine & Dentistry by removing any organizational barriers to future educational, research and fundraising development within Critical Care Medicine.
2. It will ensure that the Faculty of Medicine is competitive nationally and internationally in the field of Critical Care Medicine by removing any barriers to academic recruitment. Academic Critical Care Medicine Faculty do not want to be recruited into a division and to be competitive we must form a department.
3. Acknowledge the progression and increasing importance of Critical Care Medicine as a distinct specialty within the Royal College of Physicians and Surgeons of Canada and Alberta Health Services.

In support of this application I have attached the following items:

1. Briefing note dated February 23, 2015 by Dr. David Zygun and Dr. Noel Gibney entitled "Proposal for the Establishment of an Academic Department of Critical Care Medicine in the Faculty of Medicine & Dentistry.
2. A PowerPoint presentation entitled "Critical Care Medicine: The Future" prepared by Dr. David Zygun.

3. Letters of support from existing departments within the Faculty of Medicine & Dentistry:
  - a. Chair, Anesthesia, Faculty of Medicine & Dentistry, University of Alberta, Dr. Michael Murphy
  - b. Site Chief of Critical Care, Royal Alexandra Hospital, Dr. Jonathan Davidow
  - c. Site Chief Intensive Care Unit, Grey Nuns Community Hospital, Dr. Shelley Duggan

Sincerely,



Richard N. Fedorak, MD, FRCPC, FRCP (London), FRSC  
Interim Dean, Faculty of Medicine & Dentistry  
University of Alberta

cc: Dennis Kunimoto, Professor, Vice Dean – Faculty Affairs, Faculty of Medicine & Dentistry  
David Zygun, Professor and Director, Division Critical Care Medicine  
Noel Gibney, Professor, Division Critical Care Medicine

RF/ti

## Academic Critical Care Medicine

University of Alberta

Attachment 3 – Slide 1 of 21

THE FUTURE  
IS EXCITING

Attachment 3 – Slide 2 of 21

## Established Specialty

- Critical Care Medicine now embodies a **unique body of knowledge** of the epidemiology, assessment, treatment and outcomes of critical illness and multiple organ failure
- Patients admitted to the ICUs are the healthcare system's **sickest, most complex and expensive patients** to care for (0.66% of GDP). The intensive care unit and intermediate care unit services have been found to be the highest cost among all categories of daily hospital services. Approximately **\$286 million** is spent annually on the provision of critical care services by Alberta Health Services (~**1.5% of annual provincial health expenditures**).

Attachment 3 – Slide 3 of 21

## Established Specialty

- The need for intensive care continues to increase. Over 5 years in the US:
  - 4% decrease in the total number of hospital beds
  - ICU beds increased by 7%
  - Hospital non-ICU inpatient days increased by 5%
  - ICU inpatient days increased by 10%.
  - Annual critical care medicine costs increased by 44%
  - The proportion of hospital costs and national health expenditures allocated to critical care medicine decreased by 1.6% and 1.8
  - The ratio of ICU beds to hospital beds will continue to rise

Attachment 3 – Slide 4 of 21

Crit Care Med 2010, 38:65-71

## Established Specialty

- Post-operative neurosurgery recovery room was created at Johns Hopkins Hospital in the 1920's
- During World War II, shock wards were established to resuscitate and care for soldiers injured in battle or undergoing surgery
- Critical Care Medicine with the application of life support technology evolved from the response to a poliomyelitis epidemic in Copenhagen 60 years ago

Attachment 3 – Slide 5 of 21

## Development in Edmonton

- **First multisystem critical care units in Canada** were developed in the late 1960's in Toronto, Edmonton and Winnipeg
- A fellowship program in Critical Care Medicine developed in Edmonton by **Dr. E.G. King**
- In 1985, the Division of Critical Care Medicine was established under Dr. King as an Interdepartmental Division
- In 1987, Dr. Tom Noseworthy succeeded Dr. King as DCCM director and was followed by Dr. Richard Johnston in 1991.
- In the mid 1980s, **Dr. King and Dr. Tom Noseworthy were instrumental in the development of the Critical Care Medicine training programs of the Royal College of Physicians and Surgeons of Canada (RCSC).**
- In 1989, the University of Alberta Critical Care Residency Program was **one of the first to be accredited** by the Royal College of Physicians and Surgeons of Canada

Attachment 3 – Slide 6 of 21



## Development in Edmonton

- In 1995, following the regionalization of healthcare in Alberta, Capital Health (now AHS) included Critical Care as one of its **Clinical Departments**, with the Regional Program Clinical Director (now Zone Clinical Department Head) responsible for controlling intensivist credentialing and provision of clinical privileges.
- In 2000, the Regional Program Clinical Director for Critical Care, Dr. Noel Gibney, was appointed as acting Divisional Director and subsequently, in 2002 was appointed as Divisional Director.
- **This allowed the academic Division and the Clinical Department to merge their vision, mission and goals.**

Attachment 2 – Slide 7 of 21

## Clinical

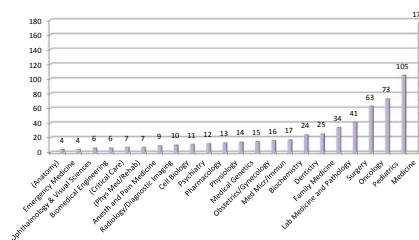
- The Division of Critical Care Medicine, University of Alberta/Department of Critical Care Medicine, Edmonton Zone, Alberta Health Sciences (DCCM) is **(one of) the largest integrated academic and clinical critical care units in Canada.**
- DCCM provides Intensivist coverage for **8 Critical Care Units** (multisystem and specialized) in **5 hospitals** totaling **121 beds**. The DCCM provides care for over **6500 patients** per year (over **37500 patient days**). Thousands of hospitalized patients are seen by our Medical Emergency or Rapid Response teams annually.

Attachment 2 – Slide 8 of 21

## Clinical

- The DCCM has **50 members**, of whom 36 have their primary academic appointment in the DCCM.
- The DCCM is **larger, in terms of members and Faculty, than the two current Canadian academic Departments of Critical Care Medicine (Calgary and Dalhousie).**
- The DCCM has **9 primarily appointed Faculty members (5 GFT and 4 special continuing appointments)**. In addition, the Division has six GFT members secondarily appointed to Critical Care.
- The DCCM was successful in recruiting 2 additional special continuing status Faculty this year and will join the FoMD in 2015 and 2016. Finally, the DCCM has a translational anesthesiology based Intensivist researcher in the Clinical Investigator Program and will join Faculty in 2018. **This will mean the proposed Academic Department will have 16 GFT/SCS members by 2018.**

Attachment 2 – Slide 9 of 21



Attachment 2 – Slide 10 of 21

10

## Clinical

- **Base Specialty**
  - 56% Medicine (Pulmonary, Nephrology, Infectious Disease, Hepatology, Cardiology, GIM)
  - 15% Anesthesia
  - 23% Surgery (Trauma, General, Cardiac, Burns)
  - 6% Emergency Medicine

Attachment 2 – Slide 11 of 21

## Research

- The academic productivity of the proposed Department has increased steadily. In 2013, 79 unique publications were documented by Divisional members. This increased to 94 in 2014. It is expected 2015 will see over 100 unique publications
- Dr. Sean Bagshaw, a clinician scientist and the Director of Research for the DCCM, holds a Tier II *Canada Research Chair in Critical Care Nephrology*.

Attachment 2 – Slide 12 of 21

## Research

- Since 2009, research activity in the DCCM has been successful in securing funding for the following (mostly peer-reviewed) grant applications: *Canadian Institutes for Health Research, Alberta Innovates: Health Solutions Alberta Heritage Fund for Medical Research, Canadian Intensive Care Foundation, Royal Alexandra Hospital Foundation, University of Alberta Hospital Foundation, Rick Hansen Foundation Man in Motion, Physician Services Incorporated, Children's Hospital of Eastern Ontario Research Institute, Royal Alexandra Hospital Nursing Research Fund, Transplant Fund Value Added, Canadian Blood Services, Edmonton Civic Employees Charitable Assistance Fund, Women and Children's Health Research Institute Innovation Grant, Centre for Excellence for Gastrointestinal Inflammation and Immunity Research, and Royal Alexandra Hospital Nursing Research Fund.* Annual grant funding has increased from **\$443,129 in 2013 to \$1,454,231 in 2015.**

## Education

- The DCCM operates an accredited 2 year RCPC Adult Critical Care Medicine training program.
- Currently training six residents that have already completed primary specialty
- The program has recently been approved for growth of an additional resident per year (third largest in country)
- The DCCM trains one or two international critical care residents a year in addition to the RCPC residency program trainees
- The DCCM has developed a research fellowship for graduate training and a cardiac intensive care fellowship (one and two year)

## Education

- The training program is also responsible for providing Critical Care exposure of two to three months duration to approximately 125 residents from the Department of Surgery, Medicine and its subspecialties, Emergency Medicine, Anesthesia, Neurosciences, Cardiovascular Surgery, Obstetrics and Gynecology as required by the RCPC.
- Graduate student supervision in health services research, clinical epidemiology, translational research is increasing.

## Other Contributions

- Canadian Critical Care Society
- End of Life Care
- Goals of Care Designations
- Canadian Critical Care Trials Group
- Trauma Services
- Burn Treatment
- Cardiac Surgery
- Neurosciences
- Donation and Transplantation
- Medical Simulation
- Crisis Management
- Sepsis Infectious Disease – H1N1, Ebola, MERs

## Risks to not proceeding

- Impair recruitment and research productivity
- A disengaged Clinical Faculty will be unlikely to continue to contribute in the same way (time, \$250K per year) placing our education and research infrastructure at risk
- Competitively disadvantaged compared to other Departments of Critical Care Medicine

## Critical Care Organizations in Academic Medical Centers in North America: A Descriptive Report

Stephen M. Pastores, MD, FCCM<sup>1,2</sup>; Neil A. Halpern, MD, MCCM<sup>3,4</sup>; John M. Ortopello, MD, FCCM<sup>5</sup>; Natalie Kosteleccky, RN<sup>6</sup>; Vladimir Kvetan, MD, FCCM<sup>7</sup>

**Objectives:** With the exception of a few single-center descriptive reports, data on critical care organizations are relatively sparse. The objectives of our study were to determine the structure, governance, and experience-to-date of established critical care organizations in North American academic medical centers.

**Design:** A 40-item survey questionnaire was electronically distributed using Survey Monkey to the leadership of 27 identified critical care organizations in the United States and Canada between September 2014 and February 2015. A critical care organization had to be headed by a physician and have primary governance over the majority, if not all, of the ICUs in the medical center.

**Measurements and Main Results:** We received 24 responses (89%). The majority of the critical care organizations (83%) were called departments, centers, systems, or operations committees. Approximately two thirds of respondents were from larger (> 800 beds) urban institutions, and nearly 80% were primary university medical centers. On average, there were six ICUs per

academic medical center with a mean of four ICUs under critical care organization governance. In these ICUs, intensivists were present in-house 24/7 in 49%; advanced practice providers in 63%; hospitalists in 21%; and telemedicine coverage in 14%. Nearly 60% of respondents indicated that they had a separate hospital budget to support data management and reporting, overnight of these ICUs, and rapid response teams. The transition from the traditional model of ICUs within departmentally controlled services or divisions to a critical care organization was described as gradual in 80% and complete in only 20%. Nearly 90% indicated that their critical care organization governance structure was either moderately or highly effective; a similar number suggested that their critical care organizations were evolving with increasing domain and financial control of the ICUs at their respective institutions.

**Conclusions:** Our survey of the very few critical care organizations in North American academic medical centers showed that the governance models of critical care organizations vary and continue to evolve. Additional studies are warranted to improve our understanding of the factors that can foster the growth of critical care organizations and how they can be effective. (Crit Care Med 2015; XX:00-00)

**Key Words:** administrative, critical care; governance; intensive care unit; organization; staffing

<sup>1</sup>Critical Care Medicine Service in the Department of Anesthesiology and Critical Care Medicine, Memorial Sloan-Kettering Cancer Center, New York, NY

<sup>2</sup>Department of Medicine and Anesthesiology, West Cornell Medical College, New York, NY

<sup>3</sup>Chair of Critical Care Medicine, Department of Surgery, Icahn School of Medicine at Mount Sinai, New York, NY

<sup>4</sup>Harvard Medical School, Boston, Massachusetts

**Critical Care Organizations in Academic Medical Centers in North America: A Descriptive Report**

Stephen M. Paterson, MD, FCCM<sup>1,2</sup>; Neil A. Halpern, MD, MCCM<sup>3</sup>; John M. Ortopello, MD, FCCM<sup>4</sup>; Natalie Kowalecky, RN<sup>1</sup>; Vladimir Kostan, MD, FCCM<sup>5</sup>

- The objective of the study was to determine the structure, governance, and experience to date of established critical care organizations (CCO) in North American academic medical centers. A CCO had to have an advanced governance structure, that is, headed by a physician with primary governance over the majority, if not all, of the ICUs and critical care operations in the medical center.
- They identified 37 CCOs. 10 were subsequently excluded leaving 27 CCOs identified.
- The first CCO has been in place for more than 30 years, four CCOs were set up between 1990 and 2000, five between 2001 and 2005, eight between 2006 and 2010, and six between 2011 and 2014. Only one CCO was exclusively a pediatric CCO.
- Approximately 38% (9/24) identified their CCO officially as a department, 21% (5/24) a center, 13% (3/24) a system, 13% (3/24) an operations committee, 4%(1/24) an institute, 4% (1/24) a service line, 4% (1/24) a signature program, and 4% (1/24) a critical care hospital.

Attachment 2 – Slide 19 of 21

UNIVERSITY OF ALBERTA  
FACULTY OF MEDICINE & DENTISTRY  
Division of Critical Care Medicine

**Critical Care Organizations in Academic Medical Centers in North America: A Descriptive Report**

Stephen M. Paterson, MD, FCCM<sup>1,2</sup>; Neil A. Halpern, MD, MCCM<sup>3</sup>; John M. Ortopello, MD, FCCM<sup>4</sup>; Natalie Kowalecky, RN<sup>1</sup>; Vladimir Kostan, MD, FCCM<sup>5</sup>

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- They identified 27 CCOs
- The first CCO has been in place for more than 30 years, four CCOs were set up between 1990 and 2000, five between 2001 and 2005, eight between 2006 and 2010, and six between 2011 and 2014. Only one CCO was exclusively a pediatric CCO.
- Approximately 38% (9/24) identified their CCO officially as a department, 21% (5/24) a center, 13% (3/24) a system, 13% (3/24) an operations committee, 4%(1/24) an institute, 4% (1/24) a service line, 4% (1/24) a signature program, and 4% (1/24) a critical care hospital.

**They Missed Us!**

Attachment 2 – Slide 20 of 21

UNIVERSITY OF ALBERTA  
FACULTY OF MEDICINE & DENTISTRY  
Division of Critical Care Medicine

Questions?

*Progress is impossible without change, and those who cannot change their minds cannot change anything.*

- George Bernard Shaw

Attachment 2 – Slide 21 of 21

UNIVERSITY OF ALBERTA  
FACULTY OF MEDICINE & DENTISTRY  
Division of Critical Care Medicine

# Attachment 4



## Proposal for the establishment of an Academic Department of Critical Care Medicine in the Faculty of Medicine and Dentistry

### *Overarching Goal*

- To strengthen the academic mission of the FoMD by further development of the academic critical care medicine.

### *Development as a Specialty*

- The first multisystem critical care units in Canada were developed in the late 1960's in Toronto, Edmonton and Winnipeg.
- A fellowship program in Critical Care Medicine developed in Edmonton by Dr. E.G. King in 1970, was one of the first of its kind.
- In the mid 1980s, Dr. King and Dr. Tom Noseworthy were instrumental in the development of the Critical Care Medicine training programs of the Royal College of Physicians and Surgeons of Canada (RCPSC).
- In 1989, the University of Alberta Critical Care Residency Program was one of the first to be accredited by the RCPSC.
- In 2000, the Regional Program Clinical Director for Critical Care, Dr. Noel Gibney, was appointed as Divisional Director. This allowed the academic Division and the clinical Department to merge their vision, mission and goals. Faculty members could now hold a primary appointment in the DCCM and secondary appointments, if desired, in other departments.
- In 2012, Alberta Health Services created Strategic Clinical Networks (SCNs). Aligned with the Departmental structure of the AHS, critical care was one of the initial specialties to be recognized with network foundation.

### *Clinical*

- Critical Care units are becoming an increasing component of hospitalized care. A 2010 study demonstrated the need for intensive care continues to increase. Over 5 years in the US there has been a 4% decrease in the total number of hospital beds but an increase in ICU beds by 7%. Hospital non-ICU inpatient days increased by 5% while ICU inpatient days increased by 10%. Importantly, annual critical care medicine costs increased by 44%. (*Crit Care Med* 2010, 38:65-71). It is expected the ratio of ICU beds to hospital beds will continue to rise.
- The Division of Critical Care Medicine, University of Alberta/Department of Critical Care Medicine, Edmonton Zone, Alberta Health Sciences (DCCM) is (one of) the largest integrated academic and clinical critical care units in Canada.
- DCCM provides Intensivist coverage for 8 Critical Care Units (multisystem and specialized) in 5 hospitals totaling 121 beds. The DCCM provides care for over 6500 patients per year (over 37500 patient days). Thousands of hospitalized patients are seen by our Medical Emergency or Rapid Response teams annually.
- The DCCM has 50 members, of whom 36 have their primary academic appointment in the DCCM. The DCCM is larger, in terms of members and Faculty, than the two current Canadian academic Departments of Critical Care Medicine (Calgary and Dalhousie).
- The DCCM has 9 primarily appointed Faculty members (5 GFT and 4 special continuing appointments). In addition, the Division has six GFT members secondarily appointed to Critical Care. With these 15 members, the DCCM is larger than 7 Departments in the FoMD based on data provided in 2014.



- The DCCM was successful in recruiting 2 additional special continuing status Faculty this year and will join the FoMD in 2015 and 2016. Finally, the DCCM has a translational anesthesiology based Intensivist researcher in the Clinical Investigator Program and will join Faculty in 2018. This will mean the proposed Academic Department will have 16 GFT/SCS members by 2018.

#### Research

- The academic productivity of the proposed Department has increased steadily. In 2013, 79 unique publications were documented by Divisional members. This increased to 94 in 2014. It is expected 2015 will see over 100 unique publications
- Since 2009, research activity in the DCCM has been successful in securing funding for the following (mostly peer-reviewed) grant applications: *Canadian Institutes for Health Research, Alberta Innovates: Health Solutions Alberta Heritage Fund for Medical Research), Canadian Intensive Care Foundation, Royal Alexandra Hospital Foundation, University of Alberta Hospital Foundation, Rick Hansen Foundation Man in Motion, Physician Services Incorporated, Children's Hospital of Eastern Ontario Research Institute, Royal Alexandra Hospital Nursing Research Fund, Transplant Fund Value Added, Canadian Blood Services, Edmonton Civic Employees Charitable Assistance Fund, Women and Children's Health Research Institute Innovation Grant, Centre for Excellence for Gastrointestinal Inflammation and Immunity Research, and Royal Alexandra Hospital Nursing Research Fund*. Annual grant funding has increased from \$443,129 in 2013 to \$1,454,231 in 2015.
- Dr. Sean Bagshaw, a clinician scientist and the Director of Research for the DCCM, holds a Tier II *Canada Research Chair in Critical Care Nephrology*.

#### Education

- The DCCM operates an accredited 2 year RCPSC Adult Critical Care Medicine training program.
- Currently training six residents that have already completed primary specialty
- The program has recently been approved for growth of an additional resident per year.
- The DCCM trains one or two international critical care residents a year in addition to the RCPSC residency program trainees
- The DCCM has developed a research fellowship for graduate training and a cardiac intensive care fellowship (one and two year)
- In addition, the training program is also responsible for providing Critical Care exposure of two to three months duration to approximately 125 residents from the Department of Surgery, Medicine and its subspecialties, Emergency Medicine, Anesthesia, Neurosciences, Cardiovascular Surgery, Obstetrics and Gynecology as required by the RCPSC.
- Graduate student supervision in health services research, clinical epidemiology, translational research is increasing.

#### Other Significant Contributions to Society

- Canadian Critical Care Society – End of Life Care, Goals of Care Designations
- Canadian Critical Care Trials Group
- DCCM is integral to Trauma Services, Burn Treatment, Cardiac Surgery, Neurosciences and Donation and Transplantation with U of A Hospital a referral centre for Western Canada

## Attachment 5



Covenant Health  
Grey Nuns  
Community Hospital

January 15, 2016

Dr. Richard Fedorak  
Interim Dean  
Faculty of Medicine and Dentistry  
University of Alberta  
2J2.00 Walter C Mackenzie Health Sciences Centre  
8440 – 112 Street NW  
Edmonton, AB  
T6G 2R7

Dear Sir:

**RE: Critical Care Medicine**

One can define a Department as a group comprised of individuals devoted to a particular academic discipline within a university. Not only is the goal to deliver excellent clinical care, but to further research, promote education, and generally support and advance the mission of the institution.

Since Dr. Zygun joined the Division of Critical Care in 2012, he has been focused on the transition from Division to Departmental status. It was a vision that was shared by the membership and we fully supported his efforts. We have grown tremendously during his tenure and now have strong leaders in the areas critical to Department success. We have a sought after training program, national research leaders as well as clinical expertise in cutting edge clinical care such as transplantation and cardiac support devices. As a consequence, we will be able to recruit outstanding individuals who will achieve individual and institutional success.

The Grey Nuns team fully supports this next phase of Critical Care in Edmonton without reservation. We are excited for the future and will support our Department in any way possible.

Yours truly,

Shelley Duggan, MD, FRCPC  
Facility Chief, Grey Nuns ICU

cc: Dr. David Zygun

## Attachment 6



**Jonathan Davidow MD, FRCP(C)**

*4228 10240 Kingsway Avenue, Edmonton, AB, T5H 3V9  
Site Chief, Critical Care, Royal Alexandra Hospital  
Associate Clinical Professor, University of Alberta*

May 11, 16

Dr. Richard Fedorak  
Dean, Faculty of Medicine and Dentistry,  
University of Alberta,  
2J2.01WC Mackenzie HSC  
Edmonton, AB T6G 2R7

Dear Dr. Fedorak,

As Site Chief of Critical Care at the Royal Alexandra Hospital, I am writing this letter to express my support of the Division of Critical Care Medicine's application for Departmental status within the FoMD at the University of Alberta. Our site has a very active role in the education of residents from various specialties and in training our own RCPSC Adult Critical Care Medicine residents, but we feel we have been underperforming with respect to academic productivity.

Over the past year, we have successfully recruited an Otolaryngologist/Intensivist who is completing his Master's degree in Health Quality and an Anesthesiologist/Intensivist who is completing her PhD in Physiology in the Clinical Investigator Program. We have several impending retirements in the next 3-4 years, and as we work on our strategic plan, we look to recruit towards our future goals of increasing our academic productivity, particularly in the area of Health Quality research. I feel strongly that the graduation of our Division to Departmental status will give us a competitive advantage in recruiting individuals who will help achieve these goals. We are very grateful for your ongoing support of this process.

Sincerely,

A handwritten signature in black ink, appearing to be "JD" followed by a long horizontal stroke.

Jonathan Davidow

2-150S Clinical Sciences Building  
Edmonton, Alberta, Canada T6G 2G3  
Tel: 780.407.8861  
Fax: 780.407.3200  
[www.anesthesiology.med.ualberta.ca](http://www.anesthesiology.med.ualberta.ca)

17 Jan 2016  
Edmonton AB

Richard Fedorak MD, FRCPC  
Interim Dean, Faculty of Medicine and Dentistry  
University of Alberta  
Edmonton AB, Canada

**Re: Support for Critical Care's bid to become a full department**

Dear Dr Fedorak,

The Department of Anesthesiology and Pain Medicine is fully supportive of the Division of Critical Care Medicine being awarded full Department status in the FoMD at the University of Alberta.

To some, this may be surprising in that Critical Care Medicine had its beginnings largely in anesthesiology, with other specialties such as pulmonology. However, it has become clear to us in anesthesia that Royal College certification in anesthesia does not fully prepare one to practice as a specialist in Critical Care Medicine. The same applies to Pulmonology. Additional specific training in Critical Care Medicine is now necessary to produce a competent anesthesiologist/intensivist, as it does for all other specialties such as pediatrics, surgery, medicine, emergency medicine and others.

You have heard me say before that there is no question that Critical Care Medicine has reached 'stand alone' specialty status. I say that for the following reasons:

- The Royal College says so: Critical Care Medicine has its own residency program and specialist credential
- Critical Care is a unique body of knowledge, science and literature with a research and education agenda based on and driving these factors
- Specialists in Critical Care Medicine are required to possess unique credentials, and are subject to unique privileging by health care organizations
- Critical Care as a specialty has its own professional associations, societies, awards, scientific meetings, etc
- Gravitation to 'closed units' because of the unique body of knowledge is occurring on an international scale.

Clearly, the future of acute care medicine is integrally connected to Critical Care Medicine as larger and larger portions of our hospitals become critical care, observation and step down units. The natural consequence is that greater and greater proportions of our research base (especially clinical and health

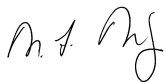


systems) and learner education will fall to specialists in Critical Care Medicine.

Taken together, these factors insist that Critical Care Medicine has an academic agenda that is unique and substantial. The mission of the Faculty of Medicine and Dentistry is highly dependent on the activities of Critical Care Medicine now, and will only grow into the future in my opinion.

To reiterate my opening statement: The Department of Anesthesiology and Pain Medicine is fully supportive of the Division of Critical Care Medicine being awarded full Department status in the FoMD at the University of Alberta.

Yours truly,

A handwritten signature in black ink, appearing to read "M. F. Murphy". The signature is written in a cursive, flowing style.

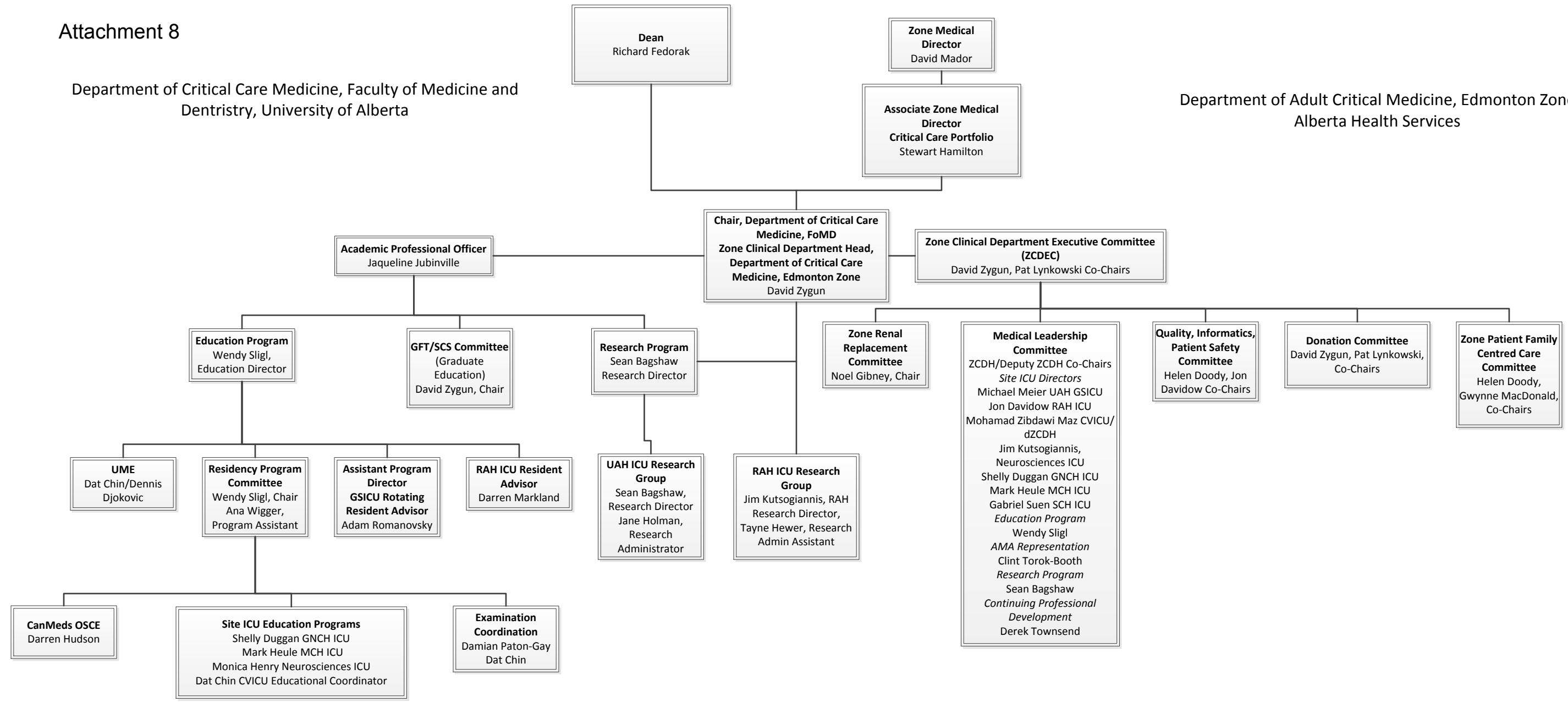
Michael F Murphy MD, FRCPC  
Professor and Chair

cc. Dr David Zygun

Attachment 8

Department of Critical Care Medicine, Faculty of Medicine and Dentistry, University of Alberta

Department of Adult Critical Medicine, Edmonton Zone Alberta Health Services



# Attachment 9

## Division of Critical Care 2016-2017 Budget Projections

Fiscal 2016-2017 (Updated March 31, 2016)

	Operating	Conference	CPE	CVICU	Donations	Foreign	Neuro	PGME PD	Research Office	Resident Fund	Total:
<b>Revenue:</b>											
Base Funding	108,263										108,263
Budget Planning											0
External Revenue		25,000									25,000
Faculty Funding	511,457										511,457
Fellows Revenue											0
Physician Contributions				88,000					103,000	19,000	210,000
Transfers In						70,000		15,000			85,000
Unrestricted Donations											0
<b>Total Revenue:</b>	<b>619,720</b>	<b>25,000</b>	<b>0</b>	<b>88,000</b>	<b>0</b>	<b>70,000</b>		<b>15,000</b>	<b>103,000</b>	<b>19,000</b>	<b>939,720</b>
<b>Expenses:</b>											
Salaries	619,740							15,000	54,041	1,000	689,781
Benefits									12,500		12,500
Fellows Stipends											0
Fellows Expenses											0
Other Stipends											0
Merit and Cola 15/16											0
Merit and Cola 16/17											0
Communications		172							1,000		1,172
Conference Travel						22,500					22,500
General Research Support				25,000							25,000
General Travel		21,470	10,000	5,000					3,200	24,480	64,150
Journal Clubs						10,000					10,000
Miscellaneous						4,651					4,651
PD/MEPA Travel						15,000					15,000
Rentals/Leasing		1,260									1,260
Residency Program						20,000					20,000
Simulation Exercises						25,000					25,000
Small Equipment						10,000					10,000
Start Up Funding for Researchers											0
Statistical/Database Services				25,000							25,000
Supplies and Services		2,554	5,000						6,723	23,345	37,622
Visiting Speakers			10,000			10,000					20,000
<b>Total Expenses:</b>	<b>619,740</b>	<b>25,456</b>	<b>25,000</b>	<b>55,000</b>	<b>0</b>	<b>117,151</b>	<b>0</b>	<b>15,000</b>	<b>77,464</b>	<b>48,825</b>	<b>983,636</b>
<b>Net Revenue and Expense:</b>	<b>-20</b>	<b>-456</b>	<b>-25,000</b>	<b>33,000</b>	<b>0</b>	<b>-47,151</b>	<b>0</b>	<b>0</b>	<b>25,536</b>	<b>-29,825</b>	<b>-43,916</b>
<b>Flex/Beginning Balance:</b>	<b>0</b>	<b>22,340</b>	<b>37,035</b>	<b>259,421</b>	<b>8,435</b>	<b>117,151</b>	<b>1,800</b>	<b>0</b>	<b>341,501</b>	<b>38,075</b>	<b>825,758</b>
<b>Ending Balance:</b>	<b>-20</b>	<b>21,884</b>	<b>12,035</b>	<b>292,421</b>	<b>8,435</b>	<b>70,000</b>	<b>1,800</b>	<b>0</b>	<b>367,037</b>	<b>8,250</b>	<b>781,842</b>